



TECHNICAL AND COMPLIANCE COMMITTEE
Eighteenth Regular Session
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**UPDATE ON IMPROVING THE WCPFC ONLINE COMPLIANCE CASE FILE SYSTEM AND
PROPOSED APPROACHES FOR RECEIVING CCM FEEDBACK**

WCPFC-TCC18-2022-15
19 August 2022

Paper by the Secretariat

Purpose

1. The purpose of the paper is to table for TCC18’s consideration and noting, an update on the progress of implementing enhancements to the WCPFC online Compliance Case File System (CCFS). The paper also sets out a proposed process for the Secretariat to receive further feedback from CCMs, including on the trial messaging tool to track observer report requests.

Background

2. The original requirement for the CCFS when it was launched in April 2016, was to provide the Secretariat with a mechanism for the structured and centralized recording of correspondence related to individual alleged infringements of Conservation and Management Measures. As such, the CCFS was originally a tool to support the Secretariat’s delivery of tasks under the WCPFC Compliance Monitoring Scheme (CMS). However, the eventual design of the CCFS included allowing relevant CCMs to view “cases” and to submit information that they considered relevant to a case.

3. Since December 2018, the Commission has specified within the Conservation and Management Measure for the Compliance Monitoring Scheme (initially CMM 2018-07, more recently CMM 2021-03) the purpose of the CCFS. Within the measure there is direction provided to the Secretariat that the CCFS be maintained “*as a secure, searchable system to store, manage and make available information to assist CCMs with tracking alleged violations by their flagged vessels.*” The measure also confirmed which CCMs should have access to a case, that notifications should be sent when new cases are created and gave guidance about what the aggregated summary tables generated from the CCFS should contain and what information flag CCMs are to provide in response to each case related to their vessels. The four guiding principles for the Compliance Monitoring Scheme of effectiveness, efficiency, fairness and cooperation towards compliance should also be considered relevant and as guidance to the CCFS.

4. In 2019, and specifically during TCC15, some CCMs expressed concern that the CCFS was not adequately meeting their needs. As a result of these concerns, in early 2020 a review of the CCFS was initiated. The findings of the review of the CCFS which was commissioned by the

Secretariat in 2020 was presented to TCC16 as [WCPFC-TCC16-2020-12](#) *Review of the WCPFC Online Compliance Case File System*. The outcome from the consideration of the Review was a series of WCPFC17 mandated CCFS enhancement tasks. In 2021, TCC17 received an update on progress to deliver the tasks and the Secretariat explained that it was necessary for the remaining CCFS enhancement tasks to be delivered through the development of an upgraded CCFS ([WCPFC-TCC17-2021-12](#) *Update on progress to implement proposed WCPFC online Compliance Case File System enhancements*).

Release of a new CCFS

5. On 23 March 2022, the Secretariat advised CCMs that the new CCFS had been launched ([Circular 2022/16](#)). The basis for the new CCFS has been formed by:

- minimum requirements of the CCFS;
- discussions at TCC17; and
- taskings through WCPFC18's approval of the TCC Workplan 2022 - 2024 which includes trialing a messaging tool to track observer report requests.

6. The aim of the new CCFS remained to enhance and improve the ease of use of the system. The Circular included a more detailed document as Attachment 1 '*Update on Progress to Implement Proposed Online Compliance Case File System Enhancements*' which summarises relevant TCC and Commission decisions, and Secretariat actions in response to these taskings. A copy of the detailed document is included herein for TCC's information as **Attachment 1**.

7. The CCFS is a secure web application accessed by authorized CCM users through the following link <https://ccfs.wcpfc.int/> using the same login used to access other WCPFC website online resources such as secure meeting documents i.e. an authorized CCM users email address and the password. Short guides are available at [WCPFC Helpdesk: CCFS](#) and range from a high-level overview of the sections and navigation in the website through to how to use the website to manage case files including the trial messaging tool to track observer report requests. The CCFS is the data source for the aggregated information referred to in CMM 2021-03 paragraph 26(ii), and for which TCC18 will be further considering recommendations and advice related to the process for TCC to review the information alongside the draft Compliance Monitoring Report (TCC17 Provisional Agenda item 5.1(e)).

Proposed approaches for CCMs to provide further feedback on the CCFS

8. The Secretariat has received some feedback and continues to welcome further CCMs feedback on the CCFS. During TCC18 the enhancements to the CCFS will be reviewed and some requests for further improvements may be proposed. Specifically, TCC workplan Priority project specific tasks (i) and (n), which corresponds to TCC18 Provisional Agenda items 5.3 and 7.3, intends that TCC18 will review the "*update on enhancements to the CCFS*" and the "*the trial CCFS messaging tool to track observer report requests and responses*" and to provide relevant advice and recommendations including on the "*continued development of the Commission's Information Management System to support implementation of the Compliance Monitoring Scheme*". Noting that the TCC Chair has encouraged the use of the TCC18 Online Discussion Forum (ODF) for preparatory and supplementary work to enable TCC to best utilize the limited

time available in the Zoom plenary, three approaches are presented for CCMs further feedback on the CCFS.

9. First, and in accordance with the tasks from WCPFC17 to enhance the CCFS in response to CCMs feedback, the Secretariat intends to continue to update the online help system in response to CCMs feedback and as relevant improvements to the CCFS are introduced by the Secretariat. Since the launch the Secretariat has provided CCM users with online training for the upgraded CCFS on request. The Secretariat will continue to explore opportunities to provide CCM users with online training. Since the launch of the new CCFS, an area that the Secretariat has noted for CCMs attention, is that each CCM needs to ensure they have ensured the necessary authorization is given so that appropriate authorized users can access the CCFS. For example, appropriate authorized CCM users need to be allocated the “CCFS editor role”, including ROP Observer Coordinators, so they can support the use of the observer report tracking tool and can provide updates on cases.

10. Second, as an initial response to the remaining WCPFC17 mandated CCFS enhancement task (c) “*for the Secretariat to complete a survey of CCMs to verify that an appropriate level of ease-of-use has now been achieved with the CCFS*” the Secretariat encourages CCMs to consider providing feedback in writing through the ODF to the question of “whether an appropriate level of ease-of-use has now been achieved with the CCFS?”. This will allow all CCMs to view and comment on proposals for improvement.

11. Third, in respect of any areas for potential improvements to the CCFS that CCMs might identify for the future, the Secretariat will need to consider feasibility and estimated costs of the suggestions before confirming a possible schedule for implementation. To assist with the Secretariats consideration, TCC18 CCM participants with suggested ideas of additions to a workplan of potential improvements to the CCFS, are requested to submit the ideas to the TCC18 ODF, or alternatively they may also be submitted directly to the Secretariat. The Secretariat will compile a list of suggestions into a list that can be further considered and explored after TCC18. Best efforts will also be made by the Secretariat to consider suggested improvements, alongside the forthcoming TCC18 paper that will provide a preliminary consideration of anticipated forecast of Secretariat work commitments for TCC in 2023/24.

Recommendation

12. CCMs are invited to submit through the dedicated TCC18 ODF topic for CCFS or to the Secretariat directly, feedback to the question of “*whether an appropriate level of ease-of-use has now been achieved with the CCFS?*”

13. CCMs are also invited to submit in writing to the Secretariat directly or through the TCC18 ODF any suggestions of areas CCMs would like to be considered in a workplan for further improvement of the CCFS.

14. TCC18 is invited to note the progress of implementing the WCPFC17 mandated CCFS enhancements as presented in this paper, and to provide guidance and direction to the Secretariat on the process post-TCC18 to further consider any potential improvements for the CCFS.



**UPDATE ON PROGRESS TO IMPLEMENT PROPOSED WCPFC ONLINE COMPLIANCE
CASE FILE SYSTEM ENHANCEMENTS**

**WCPFC Circular 2022/16
22 March 2022**

Paper by the Secretariat

Purpose

1. The purpose of the paper is to provide an update to CCMs on the progress on the implementation of the proposed Compliance Case File Systems (CCFS) enhancements. The paper is for noting.

Background

2. The WCPFC ICT application portfolio was initiated around the same time as the Commission Headquarters was established in 2008 with the development of the Record of Fishing Vessels (RFV). At the time of developing the RFV, Microsoft SharePoint was selected as a low-cost, feature rich, easy to use web-based database. Since 2013, the Commission has provided budgetary resources to support a sustained commitment to the development of the Integrated Information Management System (IMS) development.

3. In 2019, and specifically during TCC15, some CCMs expressed concern that the CCFS was not adequately meeting their needs. The outcome from TCC15 was that “TCC15 recommended that WCPFC16 tasks CCMs to provide the Secretariat with any suggested improvements to the online compliance case file system, so that the Secretariat can provide a paper for TCC16 that outlines the feasibility and costs, as well as any implications from potential resolution of paragraph 27 of CMM 2018-07” (TCC15 Summary Report, paragraph 175). The said TCC15 recommendation was accepted as part of the TCC15 report that was adopted by WCPFC16 in December 2019.

4. As a result of these concerns, in early 2020 the review of the CCFS was initiated, led by Consultant, Mr Kim Duckworth (Kapiti Apps Ltd) with input from WCPFC ICT Manager Mr Tim Jones, WCPFC Compliance Manager Dr Lara Manarangi-Trott and IT Contractor Mr Nesh Petrovic (Taz-E Ltd). To facilitate the collation of CCMs views, in March 2020 CCMs were invited to answer a 32-question survey about the CCFS.

5. Twenty-one CCMs, representing 97 – 98% of flag state CCMs responsible for cases in the CCFS, responded to the survey. The survey identified a widespread desire among CCMs to have the CCFS enhanced to better meet their needs. The Review Report presented the analysis and findings of the survey results, and a recommended work programme of enhancements to the CCFS.

The estimated cost of implementing the first three recommendations in the report was approximately \$50,000. The fourth recommendation suggested some further work by CCMs and TCC to review and provide guidance to the Secretariat. The findings of the review of the WCPFC online compliance case file system (CCFS) which was commissioned by the Secretariat in 2020 was presented to TCC16 as [WCPFC-TCC16-2020-12](#) *Review of the WCPFC Online Compliance Case File System*.

6. The outcomes approved by the Commission at WCPFC17 stemming from the Review Report were as follows...

Excerpt from WCPFC17 Summary Report

Improving the online Compliance Case File System (CCFS)

313. The Commission endorsed the TCC16 recommendation in paragraph 118 of the TCC16 Summary Report and tasked the Secretariat to prioritise in its work planning for 2021 to:

- i. undertake the ten actions identified in Table 1 of the Review Report (**Appendix I**) to enhance the CCFS, to automatically notify people within the CCM when a single case is created or updated, make the CCFS easier to use, allow CCMs to browse a single list containing all cases, enhance the aggregated summary tables produced by the CCFS, improve communication with CCMs regarding which internet browsers the CCFS works best on, improve the CCFS quick guide and offer CCFS training to CCMs;
- ii. undertake the one action contained in Table 1 of the Review Report (**Appendix I**) to implement a proof-of-concept online graph / table creation tool for CCFS data; and
- iii. to provide an update to TCC17 on the progress on the implementation of the proposed CCFS enhancements.

Other related WCPFC17 outcomes

7. Alongside the Review Report for the CCFS, in 2019 the TCC Observer-related WG presented recommendations to TCC16 related to how the CCFS could be utilised and enhanced to support the tracking of observer report requests.

8. The related outcomes approved by the Commission at WCPFC17 were as follows...

Excerpt from WCPFC17 Summary Report

Improvements to the tracking of observer report requests and responses in order to better identify impediments to the flow of observer reports

314. The Commission endorsed the TCC16 recommendation in paragraph 178 of the TCC16 Summary Report and tasked the Secretariat to provide a paper for TCC17 that outlines the feasibility and costs of further developing the CCFS such that it has the ability to: (1) serve as a messaging tool through which CCMs can request observer reports and ROP Providers can respond to requests; and (2) keep track of such requests and responses. In particular, it should be developed so that, to the extent possible:

- i. requests and responses for observer reports are tied to specific cases in the CCFS, but also can include requests and responses related to investigations of possible violations other than those identified in the CCFS.
- ii. from the perspective of the Secretariat, the messaging and tracking functions are automated, and do not increase the ongoing workload of Secretariat staff.
- iii. it can handle bulk requests for observer reports and responses to bulk requests (i.e., multiple cases), provided that sufficient details are included by the requesting CCM.

315. The Commission endorsed the TCC16 recommendation in paragraph 179 of the TCC16 Summary Report and agreed that once the CCFS's messaging tool is fully functional and the Secretariat has successfully trialled it with a subset of CCMs for a period of three months, all requests for observer reports, and all responses to such requests, should be sent through the CCFS's messaging tool so they can be tracked.

9. Additionally, the Commission had noted that there was a linkage between the above CCFS related work and work to be undertaken by the TCC Chair on how TCC17 would consider the aggregated tables alongside the draft CMR. The related outcome approved by the Commission at WCPFC17 was ...

Excerpt from WCPFC17 Summary Report

379. WCPFC17 also noted the delay in advancing the work agreed at WCPFC16 concerning the aggregated tables and tasked the TCC Chair to lead work intersessionally prior to TCC17, with a view to providing guidance on how TCC17 would consider the aggregated tables alongside the draft CMR. This work will also benefit from the TCC16 recommended analytical work that the Secretariat will be undertaking related to the CCFS and approaches to present the data.

10. The complete list of WCPFC17 mandated CCFS enhancement tasks is provided in **Appendix 1**, and the table includes some accompanying notes that briefly summarize progress to date as of 22 March 2022.

Appendix 1

Summary of Progress related to delivery of tasks for the Secretariat to improve the online Compliance Case File System
(as at 22 March 2022)

ID	Action	Reference	Notes on COMPLETION as at 2 September 2021 through legacy CCFS	Notes on COMPLETION as at 22 March 2022 through upgraded CCFS
a	Enhance the CCFS so that it automatically notifies CCMs when a case is created or updated. This notification would be in the form of a daily summary email to a single email address nominated by each CCM. This daily summary email would identify all cases, which the CCM was authorised to view, that had been created or modified (by the Secretariat or another CCM) in the past 24 hours.	TCC16-2020-12 rec 1 pg18	Circular 2021-18 dated 7 April 2021 advised CCMs that the CCFS email alert system is now operational which coincided with the publishing of the 2020 alleged infringements.	Through the upgraded CCFS, authorised CCFS users who have been granted access to the CCFS by their Party Administrator can elect to receive a daily digest of cases updated in the last 24 hours.
b	Initially, enhance the CCFS to make it easier to use by: simplifying the interface (including removing elements that are unnecessary to the user), improving the language used, consistently formatting links and adding screen specific help pages.	TCC16-2020-12 rec 1 pg20	<i>Partial</i> - improving the language used has been completed <i>For other items customisation is required that cannot currently be delivered in SharePoint</i>	The upgraded CCFS has a simplified interface, and language improvements made in 2021 were maintained. WCPFC Helpdesk has been updated to further assist CCMs https://wcpfc.freshdesk.com/support/solutions/51000066768 .
c	Subsequently, six months after these initial enhancements have been implemented, survey CCMs to verify that an appropriate level of ease-of-use has now been achieved.	TCC16-2020-12 rec 1 pg20	<i>Pending</i>	<i>A survey of CCMs will be planned six months after launch of upgraded CCFS</i>
d	Enhance the CCFS to make it easier to use by expanding the range of information that is shown in the six single case screens to include: observer trip data, vessel trip ID, infringement ID, trip number and provider trip number.	TCC16-2020-12 rec 1 pg20	Delivered in late 2020	The upgraded CCFS “Case File tab” provides a single list of all cases a CCM is involved with. The Case File tab does include key information relevant to the case.

ID	Action	Reference	Notes on COMPLETION as at 2 September 2021 through legacy CCFS	Notes on COMPLETION as at 22 March 2022 through upgraded CCFS
e	Enhance the CCFS to include a screen containing a list of all six types of case (that the user is authorised to see) combined. The primary focus of this screen should be to provide users with access to data columns that are common to most/all types of case. Users should be surveyed to determine what additional columns, that are case type specific, should also be displayed; and what Group By options are required.	TCC16-2020-12 rec 1 pg26	<i>Pending - Customisation is required that cannot currently be delivered in SharePoint</i>	
f	Produce an alternative format of the aggregated summary tables in which (i) the tables are in “Classic” pivot table format, and (ii) the sub-totals and expand / contract buttons are removed, and (iii) the columns are centred; then survey CCMs on whether this alternative format is better than the current format. If CCMs prefer this alternative, then enhance the CCFS to implement it.	TCC16-2020-12 rec 1 pg28	Circular 2021-68 dated 13 August 2021 advised CCMs that the Secretariat had prepared an enhanced version of the aggregated report in response to paragraph 26(ii) of CMM 2019-06 that was dynamic, rather than a static pdf file.	In 2022, further work led by the TCC Chair is expected related to a revised process to implement paragraph 26(ii) of CMM 2021-03 for the consideration of aggregated summaries of information drawn from the online Compliance Case File System ahead of TCC18.
g	Enhance the CCFS so that the aggregated summary tables address the full range of questions required by the TCC / Commission.	TCC16-2020-12 rec 1 pg28	The Secretariat's dynamic aggregated summary table file has taken into consideration the stated intention of the tables as described in paragraph 26(ii) of CMM 2019-06. <i>To date no further guidance has been provided to the Secretariat on the full range of questions required by TCC / Commission.</i>	<i>Time and resources-permitting the Secretariat will consider if further enhancements to the aggregated report prepared in response to paragraph 26(ii) of CMM 2021-03 can be made to support the work led by the TCC Chair, and also considering feedback from CCMs during TCC17.</i>

ID	Action	Reference	Notes on COMPLETION as at 2 September 2021 through legacy CCFS	Notes on COMPLETION as at 22 March 2022 through upgraded CCFS
h	Enhance communication with CCMs regarding (i) which internet browsers work best with the CCFS and (ii) the known limitations of the CCFS Export to Excel function.	TCC16-2020-12 rec 1 pg35	Circular 2021-15 dated 5 March 2021 advised CCMs of the online support system (https://wcpfc.freshdesk.com/support/home). In accordance with the tasks from WCPFC17 to enhance the CCFS in response to Member feedback, the Secretariat will continue to update the online help system in response to Member feedback and as relevant improvements to the CCFS are introduced by the Secretariat.	The online support system (https://wcpfc.freshdesk.com/support/solutions/51000066768) has been updated. The Secretariat will continue to update the online help system in response to Member feedback and as relevant improvements to the CCFS are introduced by the Secretariat.
i	Offer CCFS training to CCM users, either in the form of (i) training on the margins of other WCPFC meetings, or (ii) an online course, or (iii) a downloadable training video (or videos).	TCC16-2020-12 rec 1 pg41		
j	Improve and update the CCFS user guide to cover all the features present in the enhanced CCFS, and additionally improve how this is named and stored on the WCPFC intranet.	TCC16-2020-12 rec 1 pg44		<i>The Secretariat is exploring opportunities to provide CCM users with online training for the upgraded CCFS.</i>
k	Implement a limited proof of concept online graph / table creation tool, providing CCM users with access to a small range of graphs / tables which interrogate the CCFS data that all CCMs are entitled to view. This tool should be implemented using software that can subsequently be re-used to provide similar functionality for other types of WCPFC data.	TCC16-2020-12 rec 2 pg39	Partial - the Secretariats dynamic aggregated summary table contains some interactive graphs and tables.	The upgraded CCFS includes proof of concept online graph / tables. The “CCFS Home” tab displays a pie chart indicating the number of outstanding cases your CCM is involved in either as a Flag State, Coastal EEZ, Observer provider, and/or Chartering CCM and/or for Article 25(2) cases as the Initiating CCM. The “Dashboard” provides a reporting tool CCMs can use to review the status of cases for individual, groups of CCMs or all CCMs. Select the CCM or CCMs and the relevant reporting year or years. <i>Other reports may be added over time as required by members.</i>
			<i>This task of a limited proof of concept online graph / table creation tool remains under consideration by the Secretariat.</i>	

ID	Action	Reference	Notes on COMPLETION as at 2 September 2021 through legacy CCFS	Notes on COMPLETION as at 22 March 2022 through upgraded CCFS
L	<p>WCPFC17 also noted the delay in advancing the work agreed at WCPFC16 concerning the aggregated tables and tasked the TCC Chair to lead work intersessionally prior to TCC17, with a view to providing guidance on how TCC17 would consider the aggregated tables alongside the draft CMR. This work will also benefit from the TCC16 recommended analytical work that the Secretariat will be undertaking related to the CCFS and approaches to present the data.</p>	<p>WCPFC17 Summary Report para 379</p>	<p>Circular 2021-68 dated 13 August 2021 presented the TCC Chair’s proposed approach for considering the aggregate tables at TCC17.</p>	<p><i>As above at f</i></p>
m	<p><i>Improvements to the tracking of observer report requests and responses in order to better identify impediments to the flow of observer reports</i></p> <p>The Commission endorsed the TCC16 recommendation in paragraph 178 of the TCC16 Summary Report and tasked the Secretariat to provide a paper for TCC17 that outlines the feasibility and costs of further developing the CCFS such that it has the ability to: (1) serve as a messaging tool through which CCMs can request observer reports and ROP Providers can respond to requests; and (2) keep track of such requests and responses. In particular, it should be developed so that, to the extent possible:</p> <ul style="list-style-type: none"> i. requests and responses for observer reports are tied to specific cases in the CCFS, but also can include requests and responses related to investigations of possible violations other than those identified in the CCFS. ii. from the perspective of the Secretariat, the messaging and tracking functions are 	<p>WCPFC17 Summary Report para 314 - 315</p>	<p><i>Pending - consideration of options and their feasibility will depend on how the issue of customisation required for CCFS is handled</i></p>	<p>The upgraded CCFS includes a trial CCFS messaging tool to track observer report requests and responses. For further info see (https://wcpfc.freshdesk.com/support/solutions/51000066768).</p> <p><i>A survey of CCMs will be planned six months after launch of upgraded CCFS</i></p>

ID	Action	Reference	Notes on COMPLETION as at 2 September 2021 <i>through legacy CCFS</i>	Notes on COMPLETION as at 22 March 2022 <i>through upgraded CCFS</i>
	<p>automated, and do not increase the ongoing workload of Secretariat staff. iii. it can handle bulk requests for observer reports and responses to bulk requests (i.e., multiple cases), provided that sufficient details are included by the requesting CCM.</p> <p>The Commission endorsed the TCC16 recommendation in paragraph 179 of the TCC16 Summary Report and agreed that once the CCFS’s messaging tool is fully functional and the Secretariat has successfully trialed it with a subset of CCMs for a period of three months, all requests for observer reports, and all responses to such requests, should be sent through the CCFS’s messaging tool so they can be tracked.</p>			