



TECHNICAL AND COMPLIANCE COMMITTEE
Nineteenth Regular Session
20 – 26 September 2023
Pohnpei, Federated States of Micronesia

**UPDATE ON UPGRADES OF IT-RELATED TOOLS SUPPORTING CCM
REPORTING AND IMPLEMENTATION OF OBLIGATIONS**

WCPFC-TCC19-2023-22
11 September 2023

Paper by the Secretariat

Purpose

1. The paper provides an update on the Secretariat's upgrades of IT-related tools used to support CCM reporting and implementation of obligations.

Introduction

2. The Secretariat has been progressing a multi-year program of work to incrementally enhance the IT-related tools that support CCM reporting and implementation of obligations. The objective of this program is to strengthen Secretariat support for the Commission's work.
3. The paper is structured as follows:
 - I. Progress with necessary IT-related system consolidation.
 - II. Additional IT-related tasks from WCPFC19 to support CCM reporting.
 - III. Update on continual improvement to IT-related tools to improve the ease of use for CCMs to manage their own information and reporting.

Progress with necessary IT-related system consolidation

Background

4. The necessary IT-related system consolidation work is one of the larger and more significant system development activities that the Secretariat has been progressing over recent years. Work commenced in late 2021, after the Secretariat informed TCC and

the Commission of some significant technical limitations¹ with the WCPFC's Intranet site², which critically affected planned IT-related tool enhancement and development work.³

5. At that time, an immediate concern for the Secretariat was that requested enhancements to make the online Compliance Case File System (CCFS) easier for CCMs to use, could not be delivered through the WCPFC's Intranet site⁴.
6. After assessing different options and their feasibility, the Secretariat proposed that the Drupal platform⁵, which hosts the main WCPFC website (www.wcpfc.int), should be used to deliver an upgraded CCFS and other key IT-related tools supporting CCM's ability to better manage their reporting and implementation of obligations.⁶
7. The workplan for each system upgrade would include the following steps:
 - i. Analysis of existing workflows, processing tasks and data interfaces;
 - ii. Develop new system specification;
 - iii. Build new system;
 - iv. Review new system;
 - v. Implement any change to original specification arising from the review;
 - vi. Create new systems documentation; and
 - vii. Update user documentation/helpdesk.
8. The indicative schedule for upgrades for IT-related system consolidation was as follows:
 - i. CCFS - commencing in late 2021;
 - ii. Record of Fishing Vessels (RFV) - 2022/23; and
 - iii. Annual Report Part 2 and Compliance Monitoring Report (CMR) - 2023.

¹ From the technical perspective, at the time Microsoft had announced their intent to move away from the on-premises version of SharePoint in favor of cloud hosted SharePoint services and the Secretariat had found that some of the customizations to support CCM reporting in the WCPFC were no longer supported by Microsoft.

² The WCPFC's Intranet is hosted on an on-premises Sharepoint instance at <https://intra.wcpfc.int> and in 2023 the WCPFC's Intranet was used by CCMs for Annual Report Part 2 reporting, for the Secretariats preparation of the draft CMR and to facilitate CCMs reporting of replies to the draft CMR.

³ The Secretariat's reports on this issue confirmed there were broader implications for other externally facing WCPFC ICT application systems (see [TCC17-2021-17](#) and [WCPFC18-2021-IP12](#)).

⁴ See [TCC17-2021-12](#): *Update on progress to implement proposed WCPFC online Compliance Case File System enhancements*

⁵ **Drupal** is content management software used to make many of the websites and applications you use every day ranging from personal weblogs to large community-driven websites. Website: <https://drupal.org/>

⁶ The rationale was that Drupal was already in full operational use by the Secretariat, and was a proven, reliable solution that could deliver the enhancements requested by members currently as well as potential enhancements that may be required through Commission workplans, to the extent they are known. At the time the Secretariat's assessment was that the upgrade path for SharePoint software, as recommended by Microsoft, would incur substantial costs both from licensing new tools and from the redevelopment effort.

9. The upgraded CCFS system (<https://ccfs.wcpfc.int>) which was released in March 2022, utilized IMS-related budgetary resources. A report on the upgrade was provided by the Secretariat to TCC18 ([TCC18-2022-15](#)).

Updates since TCC18

10. Secretariat planning for the RFV upgrade commenced early in 2022. In addition to completing the necessary system upgrades, the aim was also to streamline CCM's ability to exercise greater control and management of their data in the RFV, WCPFC VMS MTU activations, and associated CCM reporting.
11. An upgraded RFV system and supporting training system was released in April 2023, (<http://www.vessels.wcpfc.int>) and utilized the 2022 IMS-related budgetary resources (WCPFC Budget Part 2.3). This system was the outcome of the combined efforts of Secretariat IT and Compliance staff supported by IT contractors (Eighty Options and Taz-E).
12. Details on the key features of the upgraded RFV and how they are intended to support CCM reporting and management of their data are included in the TCC19 Annual Report on the VMS ([TCC19-2023-RP01](#)) and RFV ([TCC19-2023-RP05](#)).
13. In support of the release of the upgraded RFV system, the Secretariat has provided training sessions to Australia, Canada, China, Cook Islands, European Union, FSM, Fiji, Indonesia, Japan, Korea, Kiribati, RMI, Nauru, New Zealand, PNG, Philippines, Samoa, Solomon Islands, Chinese Taipei, Tokelau, Tonga, Tuvalu, USA, Vanuatu, and El Salvador. The Secretariat also made a presentation to the FFA MCS Working Group in March 2023. The aim of the presentations was to demonstrate the features of the new systems and ensure CCMs are aware of the features available and to assist them to use the RFV more efficiently. Many of the RFV training sessions also provided an opportunity for refresher training for relevant CCMs on CCFS, VMS-related reporting tools, the annual reporting system, and the broader processes that these systems support. It is anticipated this will assist them to understand the purpose for this work and to use the system most efficiently.
14. Coinciding with the release of the upgraded RFV system, the Secretariat expanded the content of short guides available on WCPFC support helpdesk (<https://wcpfc.freshdesk.com/support/home>). As resources permit, the Secretariat will continue to develop the content in WCPFC support helpdesk and welcomes feedback from CCMs of suggested improvements including where existing guidance would be useful.
15. To date, feedback from CCMs on the ease of navigation of the upgraded online RFV system has been positive. The Secretariat remains available for ongoing support to CCMs in their efforts to ensure completeness and accuracy of their RFV and associated vessel-related data.
16. The development of the workplan and indicative schedule for the Annual Report Part 2 and CMR upgrade is currently underway. Further internal work and consultations

are planned to consider the feasibility of commencing the work in late 2023 with possible release in 2024. The Secretariat will provide the FAC17 with further information about the proposed schedule and required resources.

17. Future planning of development work will recognise the need for some refinements to systems already released as feedback is generated through CCM and Secretariat experience. This is an anticipated part of the systems development work.

Additional IT-related tasks from WCPFC19 to support CCM reporting

18. In early 2023, the Secretariat upgraded the “[Conservation and Management Measures](#)” section of the WCPFC webpage which now includes:

- i. A consolidation of historic and current CMMs and their individual obligations in a way that enables users to view changes more easily over time.
- ii. Linking of adopted Audit Points to the relevant obligations in a CMM to assist CCMs with understanding the requirements for compliance with any one obligation.
- iii. Linking of available information about CCM’s limits to the relevant obligations to make it more accessible to CCMs and stakeholders.
- iv. Information relevant to the Risk Based Assessment Framework (RBAF), including CCMs risk-rating assessments, which may be viewed as a combined list of all obligations or linked to the relevant obligation and maintained over time, and as assessments change.
- v. Presentation of other information which supports the dCMR, including the CMR categories for relevant obligations (limit, implementation, report and/or report deadline), compliance history, an indication of whether an obligation is included in Annual Report Part 2 and/or also to be included in the draft CMR.

19. The Secretariat considers the upgrades completed to the CMM page as an initial response to the WCPFC19 tasks to the Secretariat for a one-stop shop to support the implementation of the CMS.⁷

20. The upgrade of this system utilized the 2022 CMS Future Work budgetary resources (WCPFC Budget Part 2.3) and was the outcome of the combined efforts of Secretariat IT and Compliance staff, supported by IT contractors (Eighty Options and Taz-E). In

⁷ The relevant tasks were for the Secretariat:

- to publish tables of CCM’s limits and baselines for all relevant CMMs, and notes on their sources; and
- to maintain the information relevant to the Risk Based Assessment Framework, a list of all binding obligations, audit points, data sources, compliance history and other information which supports the dCMR in one place associated with information related to the Compliance Monitoring Scheme and Conservation and Management Measures. (WCPFC19 Summary Report 351 (iv, vii))

designing this upgraded system, the Secretariat considered the link to the IT-related system consolidation for the Annual Report Part 2 and CMR which is necessary to complete in the short-term.

21. The Secretariat took the opportunity during each of the various CCM training sessions on the upgraded RFV system to include an introduction to the CMM system and to the WCPFC-website calendar (<https://www.wcpfc.int/calendar/upcoming>) which includes reporting reminders for CCMs. A presentation on the CMM system, CCFS and Aggregate Tables report was provided by the Secretariat to the PNA Compliance Data Review Internship (August 2023).
22. The Secretariat welcomes feedback as well as suggestions to further improve the usefulness of the CMM system for CCMs.

Update on continual improvement to IT related tools to improve the ease of use for CCMs to manage their own information and reporting

23. At WCPFC19, the Secretariat presented updates on a list of collated suggestions, including some from TCC18, for future CCFS system improvements ([WCPFC19-2022-IP18](#), Annex 3). The list was noted as “work in progress” and the Secretariat undertook to continue to consider the feasibility of items in the list and to provide updates to TCC19.
24. **Attachment 1** provides an updated list of suggested improvements to the CCFS and to the RFV System. Table 1 includes the original thirteen items from the suggested CCFS improvements provided by CCMs, which were presented for review by WCPFC19, many of which were implemented early in 2023. Further updates on the Secretariat’s consideration of feasibility and some additional suggestions have been added. Table 2 provides a running list of the suggested areas of improvement to the RFV System. Work on both lists remain in progress and further updates will be provided to TCC19.

Process for considering additional areas of potential improvement of IT-related tools that support CCM reporting and implementation of obligations

25. The Secretariat will need time to consider the feasibility and estimated costs of further CCM suggestions for potential improvements to any IT-related tools before confirming a possible schedule for implementation. In some cases, follow-up consultations with CCMs to clarify the suggestion may also be needed. To assist with the Secretariat’s consideration, CCMs are invited to submit their suggestions a through the TCC19 ODF, or alternatively directly to the Secretariat. The list of additional suggestions can be further explored after TCC19.

Additional future considerations

26. The Secretariat and feedback from some CCMs have identified specific areas for improvements that are not ‘system specific’ but that reflect the need for a more holistic approach to how the Commission systems and website function together and use WCPFC data to better effect.

27. The age of the website and the need for incremental changes have resulted in information and content that can be hard to find and that are complicated and time consuming to manage. Analytical products now being produced, some of which are shown or referred to in various TCC19 Secretariat reports, yield important outcomes that inform the Commission of the value of its data sets to enhancing awareness and understanding of the Commission’s monitoring tools, and where refinements may be needed.⁸
28. Whilst an incremental and progressive approach to development and release of upgraded individual IT-related systems was necessary over past years to utilize available resources most efficiently, it is now time to consider opportunities to further improve integration opportunities between the various IT-related systems to improve the ease of use for CCMs.
29. The following are some areas identified for future developments:
- More integrated approach to how users access reporting systems and web-based information through WCPFC online tools would enhance CCM’s ease of use and access to information;
 - Improved links between reporting systems and web-based information would enhance CCMs awareness of, and ability to use, the information and tools available to assist in their routine identification and management of reporting issues;
 - A refreshed website would allow a more flexible and streamlined way to update and display content that more holistically reflects the ongoing advances in how the Commission manages its responsibilities;
 - Include the outcomes from analytical products as routine displays for CCMs to support their understanding of their fleets’ activities for scientific, management and monitoring purposes; and
 - Display Commission data in a way that facilitates an understanding of the activities in the Convention Area, and assists CCMs and the public to better understand the facts and figures, and the performance of the WCPFCs management frameworks.
30. These broader considerations can be accommodated in future planning and scheduling of IT-related work and in decisions on how future systems are developed.

Conclusion

31. This paper has provided a range of updates covering the period since TCC18 on the work that the Secretariat has progressed both in terms of IT-related upgrades, but also

⁸ [TCC19-2023-18](#) provides additional details on the work that has been supported by two Analytical Consultancies in 2023.

the broader work that is intended to support CCMs in most efficiently using these systems for reporting and implementation of obligations.

32. An overall WCPFC website refresh is planned for 2024. This will provide a timely opportunity to address the request from CCMs for the WCPFC website to provide a more integrated and streamlined way for them to access the tools they need to complete their reporting and to access and manage their data. The outputs from two recent analytical consultancies provide an opportunity for including additional information and improved management for CCMs of their data in addition to streamlining Secretariat verification and management tasks. Further update and views from the Secretariat to support this work is to be provided to FAC17.

Recommendation

- | |
|---|
| <ol style="list-style-type: none">33. TCC19 is invited to note and discuss the updates on the Secretariat's upgrades of IT-related tools used to support CCM reporting and implementation of obligations. |
|---|

Table 1. Suggestions of areas CCMs and Secretariat would like to be considered in a workplan for further improvement of the CCFS and notes on feasibility

Requested CCFS Feature	Date of request	Expected effort (days)	Secretariat Response (as of 9 Sep 2023)
1. Add a filter to the dashboard view allowing CCMs to filter all cases by Observer and CCM Initiated Case Types (FAI, OAI, SHK, CWS, POL, PAI, AIR, HSBI, PORT, VMS, OTH)	2022	0.5	Completed Nov 2022
2 Allow multiple files to be attached as a response to an observer report request	Sep 2022	0.5	Completed Jan 2023
3. Increase allowed file size of an observer report	Sep 2022 Jul 2023	0.5	Completed Jan 2023
4. Allow sort on Vessel column. Currently not working as expected	Sep 2022	0.75	Completed Jan 2023
5. Allow sort on Case ID and last Updated Date	Sep 2022	0.25	Completed Jan 2023
6. Rearrange filtering options, move event year and notified year out of advanced to primary filter options	Sep 2022	0.25	Completed Jan 2023
7. Add Report Requested as a filter to be used in conjunction with Report Received	Sep 2022	0.25	Completed Jan 2023
8. Display Report Requested Date in the list of cases	Sep 2022	0.25	Completed Jan 2023
9. Allow case responses to be imported in bulk from a spreadsheet	Sep 2022	2.5	Since the launch of the RFV we have learnt some lessons with the bulk loading process and these can be applied to CCFS to ensure the process is reliable and secure for CCMs
10. Submit same response to multiple cases	Sep 2022	2.5	The Secretariat suggest in order to constrain the complexity of the CCFS, this feature be accomplished through the bulk load
11. In addition to online training, downloadable training videos are also a cost-effective way of providing training to CCMs and something that the Secretariat should explore	Sep 2022	<i>tbc</i>	Possible options are under consideration with application to wider WCPFC online systems

Requested CCFS Feature	Date of request	Expected effort (days)	Secretariat Response (as of 9 Sep 2023)
12. Improvement in vessel search functionality	Sep 2022	<i>tbc</i>	Has the improvements to the filtering options satisfied this requirement?
13. CCFS should have the contact point from each CCMs, especially the contact information of observer provider and flag CCMs, facilitate the communication between each other. The CCFS further could develop the communication function like leaving message direct to the observer provider or flag CCMs which could prove the endeavor of both sides to settle the outstanding case and protect the interest of both sides.	Sep 2022	<i>tbc</i>	The Secretariat would like to have additional discussions with CCMs during TCC19 now the system has been operational to review this request.
14. Improve the search, filtering and reporting of related CCFS cases - so that users can view similar cases for the same obligation (to check consistency with approach, outcomes, across multiple or select CCMs)" created	Jan 2023	<i>tbc</i>	Some changes to CCFS are required to integrate with the new CMM system to facilitate this request
15. Streamline HSBI report filing processes and creation of HSBI records noting that those that result in the need for Art 25(2) case creation	Jan 2023	<i>tbc</i>	Under consideration
16. Currently there is a limitation in CCFS for Article 25(2) initiated cases to notify reporting CCM and responsible CCMs only. CCFS needs to permit, as an exception, the addition of additional CCM/s who are confirmed to have an interest in Article 25(2) initiated cases eg Coastal CCM or chartering CCM.	May 2023	<i>tbc</i>	Under consideration
17. Enable the Secretariat to identify cases that cannot be closed because of circumstances that prevent the normal outcomes being achieved. This would be through e.g. a drop down box with categories such as statute of limitations; entity no longer exists or has changed; change in vessel flag etc. Gives basis to members to discussion how they wish us to approach these cases e.g. a new end status and allows tracking of the use of this mechanism over time.	May 2023	<i>tbc</i>	Under consideration

Requested CCFS Feature	Date of request	Expected effort (days)	Secretariat Response (as of 9 Sep 2023)
18. Streamline and enhance process for Secretariat and CCMs to review case updates from CCMs - filter and/or update rules for request observer report	May 2023	<i>tbc</i>	Under consideration
19. Automate a change from New Case to Investigation in Progress where the only change has been the flag State request for the observer report	May 2023	<i>tbc</i>	Under consideration
20. Allow for case creation for vessels not on the RFV and apply to relevant cases already generated	May 2023	<i>tbc</i>	Under consideration

Table 2. Suggestions of areas CCMs would like to be considered in a workplan for further improvement of the RFV and notes on feasibility

Requested Vessels System Feature	Date of request	Expected effort (days)	Secretariat Response (as of 9 Sep 2023)
1. Provide a facility to support charter notifications being reopened, eg to modify the end date	Aug 2023	<i>tbc</i>	Under consideration
2. Secretariat to review the rules that close the Fished and Did Not Fish reports, and to provide a facility that supports these CCM reports being reopened at the request of the CCM, eg as part of post-TCC responses to the pCMR.	Aug 2023	<i>tbc</i>	Under consideration
3. An online facility for CCM Party Administrators to request or view a log of recent updates made to their RFV records, including the user who made the updates.	Aug 2023	<i>tbc</i>	Under consideration
4. Provide a report for CCMs of which of their vessels have and have not had recent MTU Audit Inspections reported	Aug 2023	<i>tbc</i>	Under consideration
5. Resolve discrepancy between the bulk loading template and the SSP with respect to: Name of fishing vessel/ Name of the fishing vessel, Flag of fishing vessel/ Flag of the fishing vessel	Aug 2023	<i>tbc</i>	Under consideration