



TENTH REGIONAL OBSERVER PROGRAMME INTERSESSIONAL WORKING GROUP

Online

5 November 2026

10:00am – 2:00pm (Pohnpei Time)

Discussion Paper on the CCFS Process Flow

ROPIWG10-2026-01

24 October 2026

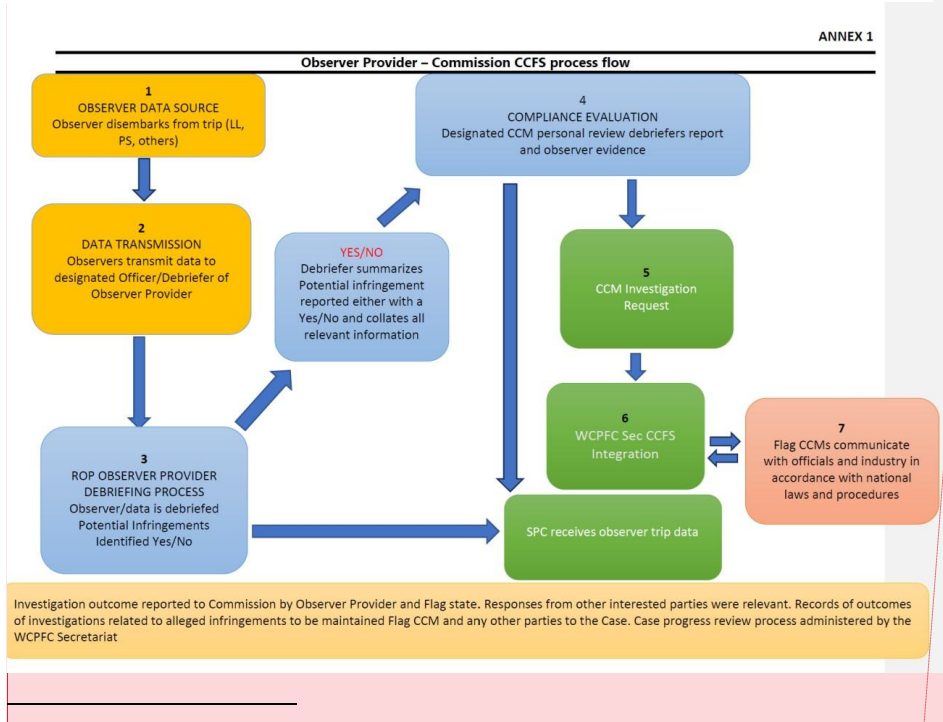
Submitted by the ROPIWG Chair

Purpose

1. This paper presents a revised working draft proposal of the Compliance Case File System (CCFS) Process Flow which incorporates comments and feedback received from CCM participants up to and during TCC22.
2. CCM participants are invited to review this document and provide further feedback, as appropriate, during the ROP-IWG10 meeting to support preparation of a consolidated clean version. A clean version with all track changes removed has been provided in addition to this document to assist CCM's review.
3. Based on the outcomes of this meeting, the proposal will be finalized and advanced to WCPFC23 for consideration and adoption.

What the Chair's version currently provides

4. The Chair's Annex 1 flow (Steps 1–7) is the right pathway: observer disembarkation and data transmission; ROP debriefing using the WCPFC ROP Trip Monitoring Summary Questionnaire; CCM compliance evaluation; a formal CCM investigation request under Articles 23(5) and 25(2) and CMM 2018-05 paragraph 11; Secretariat CCFS tracking; and flag CCM investigation under national law. PNA supports that overall path and the move away from Secretariat-led pre-notification / GEN-3 TUBS-load case creation.



Commented [LT1]: Considered removed and replaced with new refined version agreed to at TCC22

5. On the specific points that need refinement, the Chair's current draft does the following:

- **Diagram / Step 3:** Step 3 (ROP Observer Provider Debriefing Process) and the intervening YES/NO box show the debriefer identifying potential infringements Yes/No and summarising that Yes/No before the file moves to Step 4.
- **Notes to Step 3:** If the debriefer records "YES", the form and evidence are passed to Step 4 "to verify and validate the debriefer's potential compliance summary." If "NO", the trip is treated as cleared for SPC. The Notes therefore place the first YES/NO compliance gate with the debriefer.
- **Notes to Step 4 / sample form:** Step 4 reviews the debriefer's report, compiles the observer sourced case package, and triggers the Article 23(5) / 25(2) request. The sample questionnaire already includes a "FOR COMPLIANCE OFFICIAL USE ONLY" block (CLEARED vs notified for investigation) — which sits at odds with a Step 3 debriefer YES point.

- **Steps 6 and 7:** Step 6 is “WCPFC Sec CCFS Integration” and Step 7 is flag CCM investigation / national process. The Notes to Step 5 already have the flag initiating investigation on the formal request, while Step 6 has the Secretariat entering the case on copy of that request.
- **SPC pathway:** SPC receives cleared trip data; the diagram shows paths from the debriefing / compliance side to SPC.

What PNA proposes to change in the diagram and notes

6. The proposed diagram does not redesign the Chair’s flow. It makes four changes so the picture matches a Convention-compliant, CCM-led process.

Change A — Move the authoritative YES/NO from Step 3 to Step 4 (main change)

Chair version (now):

- Debriefing at Step 3 records YES/NO on alleged infringement and that Yes/No drives what happens next.
- Step 4 is framed mainly as verifying/validating the debriefer’s YES.

Proposed version (diagram + Notes):

- Step 3 remains debriefing and completion of the Trip Monitoring Summary Questionnaire (YES/NO responses and supporting information). The debriefer’s role is to produce an accurate debrief report — not to decide whether a compliance case proceeds.
- The completed Questionnaire (all YES/NO responses and supporting evidence) from Step 3 is always forwarded to Step 4.
- Step 4 (Compliance Evaluation and Vetting), by designated CCM compliance personnel, makes the authoritative YES/NO decision: proceed to a formal investigation request, or clear as “NO CASE” / CLEARED for SPC.
- Diagram edit: remove or re-label the intervening “YES/NO — Debriefing summarizes...” box so it does not read as the decision point. Show the YES/NO decision gate on Step 4 (aligned with the sample form’s “FOR COMPLIANCE OFFICIAL USE ONLY” block).

Why: Observer debriefers, as understood, are not authorised officers under national law to make compliance determinations. That point was raised by PNG at ROP-IWG08 and restated by PNA at ROPIWG09.

Change B — Clarify sequencing of Flag investigation and Secretariat CCFS entry (Steps 6 and 7)

Chair version (now):

- Step 6 = WCPFC Secretariat CCFS Integration; Step 7 = Flag CCM investigation / national process.

Proposed version:

- Step 6 = Flag CCM Investigation (flag CCM initiates full investigation and provides progress reports through the CCFS, consistent with Article 25(2)).
- Step 7 = WCPFC Secretariat CCFS Integration (Secretariat enters/tracks the case in CCFS after the formal request is transmitted to the flag and coastal State CCMs).

Why: Keeps the flag State's Article 25(2) role visually central and makes clear that CCFS integration is tracking after a CCM-initiated request — not case creation from raw ROP data loads.

Change C – Show the data-clearance / SPC pathway clearly

Chair version (now):

- SPC receives observer trip data, with paths indicated from the debriefing/compliance side.

Proposed version:

- Tie the diagram's SPC pathways to the sample Trip Monitoring Summary Questionnaire's "FOR COMPLIANCE OFFICIAL USE ONLY" checkboxes at Step 4:

• Debriefers Name: _____	Observer Name: _____
• Signature: _____	Signature: _____
FOR COMPLIANCE OFFICIAL USE ONLY [Tick the appropriate box] ☒ No Potential Compliance Issue – Trip Data is CLEARED ☒ Potential Compliance Issues – Trip Data is being Notified to relevant CCMs for investigations	

☒ Checkbox — "No Potential Compliance Issue – Trip Data is CLEARED": show clearly that when Step 4 ticks this box (NO CASE / CLEARED), trip data is cleared for SPC science and archiving.

☒ Checkbox — "Potential Compliance Issues – Trip Data is being Notified to relevant CCMs for investigations": where Step 4 ticks this box and an investigation proceeds, show that trip data notified to the flag CCM can still be cleared for SPC archiving in parallel (dotted pathway), so science data are also not held hostage to the compliance track.

Change D — Scope of the observer-sourced case package (Notes to Step 4)

Chair version (now):

- Step 4 compiles a full observer-sourced case package (Infringement Notification Form/Report; signed Questionnaire; supporting evidence / relevant observer report forms).

Proposed version:

- Retain "observer data" terminology (FFA/PNA regional usage) rather than shifting to "trip report" as the operative term.
- Red-line: only observer data and forms relevant to the specific alleged infringement are included in the Observer-Sourced Case Package at Step 4 — not the entire trip data by default.
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Summary table — Chair vs PNA+ proposed. The flag CCM may request, through the CCFS, any further observer data for the trip.

Element	Chair draft (ROPIWG09-2026-02)	PNA+ proposed change
YES/NO gate	Debriefers YES/NO at Step 3; Step 4 verifies	Step 3 always forwards Questionnaire; authoritative YES/NO at Step 4 Compliance
Steps 6 and 7	6 Sec CCFS; 7 Flag investigation	6 Flag investigation; 7 Sec CCFS tracking
SPC / clearance	SPC paths from debrief/compliance	Map SPC paths to Step 4 compliance checkboxes: CLEARED → SPC; Notified/investigation → parallel dotted SPC clearance
Case package	Full observer-sourced package at Step 4	Only data/forms relevant to the specific alleged infringement ; the flag CCM may request further trip data through the CCFS

1. **Relationship to TCC22.** This refined flow was spoken to at ROP-IWG09. It was not submitted to the ROPIWG Chair at that time so that Parties could consider it first. It is annexed to the PNA TCC22 Brief for Agenda 7.4 as this Attachment 1.

Data Process Diagram - Proposed / marked-up process flow diagram

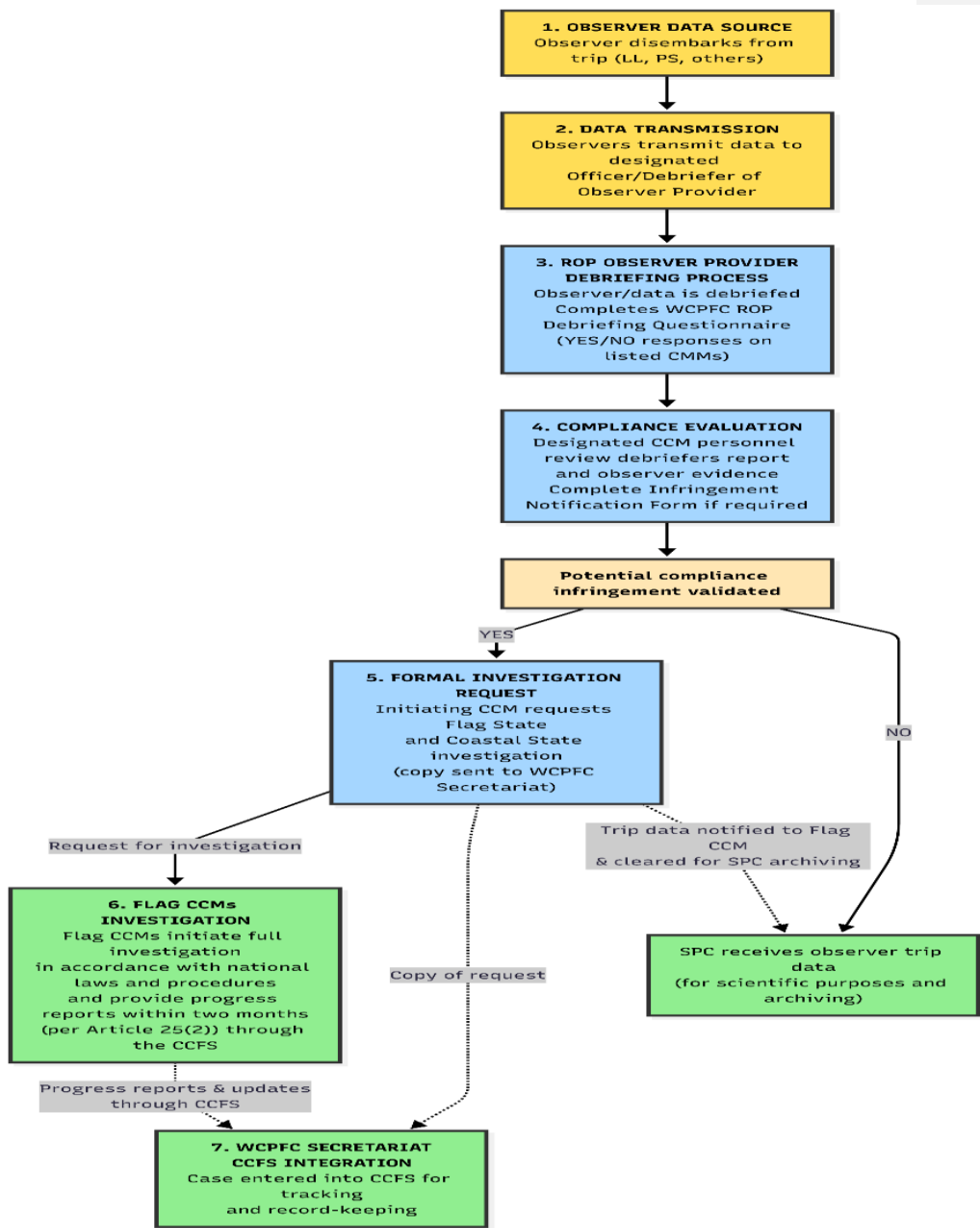


Diagram text changes: (a) re-label the YES/NO box "Potential compliance infringement identified" (not "validated"); (b) boxes 2–4: replace "designated CCM" with "Initiating CCM" as defined in Step 5;

[\(c\) box 5: request to the flag CCM and, where the alleged infringement occurred in an area under national jurisdiction, the coastal State CCM, with consultation to avoid duplication; \(d\) show all trip data to SPC following Step 4, whether or not a case is notified](#)

Notes to process flow diagram:

1. Observer Data Source

- Observer disembarks
- Once the observer disembarks in port (home or foreign) the trip data is expected to be completed upon disembarkations or whilst observer is in port during back-to-back trips. The phrase “trip data” refers to end data collections, written reports, and any other observer sourced evidence from the trip.
- Observer will notify observer provider to arrange for debrief and repatriation

CMM (agreed minimum standards and guides of ROPs) Standard requirement - IWGROP2/TCC4/WCPFC5

Note that the requirements set out in [CMM 2017-03](#) Conservation and Management Measure for the protection of WCPFC Regional Observer Programme Observers would also apply to matters related to the health, safety and welfare of observers.

2. Data transmission from Observer to Debriefing Observer Provider

- Observer provides trip data either through hard copy in port or by ER processes (observer – ER database) to the Debriefing Observer Provider
- [It is recognized](#) that within the Pacific Islands region, there are often existing arrangements that facilitate an observer being debriefed by another debriefing observer provider. For example, SBOB on a POA trip is debriefed by a PGOB debriefer.

3. ROP Observer Debriefing Process (WCPFC ROP Trip Monitoring Summary Questionnaire in Annex 1)

- Observer trip data for each ROP Trip is debriefed by a Regional Observer Provider CCM, [or the CCM conducting the debriefing in whose port the observer disembark](#) ~~coastal CCM, or other designated CCM~~ (the “Debriefing Observer Provider” or “debriefeer”)
- Debriefing will be conducted in line with the most recent WCPFC ROP Agreed Minimum Standards and Guidelines (last updated in 2025).
- Debriefing will prioritize any potential infringements against from the agreed -upon listed of CMMs’ paragraphs identified either with a YES/NO through in a ‘WCPFC ROP Trip Monitoring Summary Questionnaire’. [Those YES/NO marks are debrief outputs \(filling in the questionnaire YES/NO form\); they are not a decision that an allegation is a compliance case.](#)
- ~~If on the WCPFC ROP Trip Monitoring Summary Questionnaire, the debriefer gives a “YES” to indicate an alleged infringement of in any or all of the agreed/listed CMMs paragraphs in the WCPFC ROP Trip Monitoring Summary Questionnaire, that form with supporting observer – sourced evidence (photo/video/statement), is then compiled and passed on to the designated CCM’s personnel/contacts in Step 4 to verify and validate~~

the debriefers' potential compliance summary report generated from the WCPFC ROP Trip Monitoring Summary Questionnaire.

- [The completed WCPFC ROP Trip Monitoring Summary Questionnaire \(with all YES/NO responses and supporting observer-sourced information/evidence\) from Step 3 will always be forwarded to Step 4 \(Compliance Evaluation and Vetting\). Step 3 YES/NO marks are debrief outputs — debriefers filling in the questionnaire YES/NO form. They are not a decision that an allegation is a compliance case. The debriefer's role is to produce an accurate debrief report; authoritative case determination \(investigation request vs NO CASE / CLEARED\) is made at Step 4.](#)
- ~~If a "NO" is attained from the WCPFC ROP Trip Monitoring Summary Questionnaire on the listed CMM paragraphs, the debriefer then passes on a signed copy noting the trip data has been verified and confirmed no CMM potential violation been reported. CCM's vetting personal/contacts to confirm and indicate the trip data is cleared and notifies the Regional Observer Programme to send to SPC for scientific purposes and archiving.~~
- [NO CASE / CLEARED decisions for SPC science and archiving are made at Step 4 by designated CCM compliance personnel, using "FOR COMPLIANCE OFFICIAL USE ONLY" checkboxes on the Trip Monitoring Summary Questionnaire \(those checkboxes appeared in ROIWG09 and are absent from 24A Annex 1 — see Step 4\).](#)
- [Diagram note: remove or re-label any intervening "YES/NO — Debrief summarises..." box so it does not read as the case gate. Show the case-determination YES/NO gate at Step 4, consistent with sample Questionnaire compliance-official checkboxes. The box shall read "Potential compliance infringement" identified rather than validated.](#)

4. Compliance Evaluation and Vetting

- ~~The CCM designated vetting personal/contact will review the verified WCPFC ROP Trip Monitoring Summary Questionnaire with supporting observer sourced evidence (the "debriefers report") and complete an "Infringement Notification Form/Report" (data), if potential infringements indicated in the debriefers report are established to be genuine with supporting observer sourced evidence/information obtained from the observer report.~~
- [The CCM designated personnel/contact will review the debriefer's report \(completed Trip Monitoring Summary Questionnaire with supporting observer-sourced evidence\) and make the authoritative case determination on whether a potential infringement should proceed to a formal investigation request or be cleared as "NO CASE". Where investigation is warranted, complete an "Infringement Notification Form/Report" \(24A requires this form but supplies no sample\).](#)
- [Before transmission under step 5, the case package shall be signed and dated by an official authorized by the competent authority of the initiating CCM. Handwritten observer materials relied on shall be accompanied by a copy of the original and, where reasonably required, a typed transcription verified by the initiating CCM. The case package shall contain the vessel and trip details and facts set out in parts D and E of the Form. Each alleged infringement shall identify the CMM paragraph allegedly breached and the evidence relied on.](#)
- [☑ Checkbox — "No Potential Compliance Issue – Trip Data is CLEARED": when Step 4 ticks this box \(NO CASE / CLEARED\), trip data is cleared for SPC science and archiving.](#)

Commented [LT2]: Text refinement in box 4 'case gate' to read 'potential compliance infringement' **identified** rather than validated, as per US comments

Commented [LT3]: CN, proposed case package reviewed, signed and dated by authorised initiating CCM's competent government authority - refinement inclusions inline with US comments on investigators requesting additional infor via CCFS messaging, initiating CCM responds within resonable time

- ☒ Checkbox — “Potential Compliance Issues – Trip Data is being Notified to relevant CCMs for investigations”: where Step 4 ticks this box and an investigation proceeds, trip data notified to the flag CCM can still be cleared for SPC archiving in parallel (dotted pathway), so science data are not held hostage to the compliance track.
 - All observer trip data shall be transmitted to SPC following step 4, whether or not a case is notified. Transmission to SPC shall not be delayed by any investigation per the data transmission rules of 100 days.
 - ~~At this step, a full observer sourced case package is compiled with the following details:~~ an observer- sourced case package is compiled. The case package shall include all observer-sourced information relevant to, and only that necessary to **substantiate**, each alleged infringement. Personal information shall be handled in accordance with the Commission’s data rules and procedures. The package includes the following details; ~~The case package will always include complete set of observer-created documents and collected data, including all pages of observer journals and any observer statement(s) that are relevant to the specific alleged infringement only.~~
1. An Infringement Notification Form/Report outlining the:
 - a. Vessel and Trip Details,
 - b. Infringement Descriptions (Date/Time, Location, Set/Species #, etc.),
 - c. Compliance Analysis,
 - d. Recommendation for flag/coastal CCM investigations.
 - e. **Certification (signed) by CCM personal/contact**
 2. A signed and verified WCPFC ROP Trip Monitoring Summary Questionnaire with supporting observer-sourced evidence (photo/video, observer statement or crew statement), including relevant observer reports ~~with forms and observer journal pages (redacted as necessary) that contain specific information to the particular alleged infringement).~~
- These details will be then used under CMM 2018-05 paragraph 11, to trigger an Article 23(5) or Article 25(2) CCM request in **Step 5** for investigations by the flag CCM into the infringement occurred. This request will also copy the coastal CCM and chartering CCM (if any).
 - ~~If the compliance evaluation carried out resulted in NO CASE (due to insufficient observer information and or evidence), the data is given a CLEARED authenticity on the WCPFC Debriefers Report Form (Trip Monitoring Summary Questionnaire) and submitted to SPC.~~
 - If the compliance evaluation is NO CASE (including where evidence is insufficient), Step 4 ticks “No Potential Compliance Issue – Trip Data is CLEARED” on the Trip Monitoring Summary Questionnaire and the trip data is submitted to SPC for scientific purposes and archiving.
- If the compliance evaluation is a YES CASE (including where evidence is sufficient), Step 4 ticks “Potential Compliance Issues - Trip information is being Notified to relevant CCMs for investigations” on the Trip Monitoring Summary Questionnaire and the relevant trip information is abstracted to support STEP 5 flag state request, whilst the full Observer trip data is submitted to SPC (as shown in the revised process flow with dotted lines).
5. ~~Referral Notice and~~ Formal Investigation Request

Commented [LT4]: Refine text edits capturing support from EU, though US prefers full observer materials (workbook, trip report and entire journal) options to request by CCM through CCFS, any further observer data for trip and not compromising Commission data rules

Commented [LT5]: Inclusion of person to sign off

Commented [LT6]: Noting EU comment, considering delay of data in step 4, data still proceed to SPC once determined of no PAI ad cleared, which US proposed a text wording from Validated - identified

- The “Initiating CCM” (the CCM whose national or sub-regional observer programme provided the observer, or the CCM conducting the debriefing in whose port the observer disembarks, acting through its competent authority) (Regional Observer Provider CCM, coastal CCM, or other designated CCM responsible for debriefing and compliance evaluation/vetting), submits a formal request and supporting documentation to the flag CCM, copying the coastal CCM and chartering CCM, and where the alleged infringement occurred in an area under national jurisdiction, the coastal state CCM, to investigate the alleged violation, as outlined in step 4. if any, to investigate the alleged violation, as outlined in Step 4.

Commented [LT7]: Text refinement clarifying debriefing observer provider and designated CCM, legal legitimacy of multiple unspecified CCM by EU

Commented [LT8]: CTP proposed comments to “other designated CCM delete as ‘unclear’ inline with EU comments on the clarification on CCM status

- The formal request shall be transmitted no later than 14 days after debriefing
- The formal request is transmitted via email and/or on the CCFS system attaching the observer-sourced case package and, if emailed, copying the WCPFC Secretariat for CCFS integration in Step 6.
- The formal request is transmitted via email copying the WCPFC Secretariat for CCFS integration in Step 7.
- Following transmission of the formal request, the flag CCM initiates a full investigation and provides progress reports within two months, per Article 25(2) (see Step 6).
- Where the alleged infringement occurred in an area under national jurisdiction, the coastal state CCM and Flag CCM shall consult to avoid duplication of proceedings. Nothing in this process prejudices Article 25(9) of the Convention.

Commented [LT9]: EU comments seeking clarifications on the time frame to process investigation formal request

Commented [LT10]: In response to EU comment on who to deal with alleged infringement under national jurisdictions,

6. WCPFC Secretariat CCFS Integration. Flag CCM Investigation / Investigations of Alleged Infringements and Domestic Enforcement [Chair Step 6 title was: WCPFC Secretariat CCFS Integration] PNA+ proposed sequencing: Step 6 is Flag CCM Investigation (Chair’s former Step 7 content, refined).

- Upon receipt of a copy of the initiating CCM’s formal request and documentation, the Secretariat enters the case into the CCFS together with all supporting documentation, (creating a case ID) for tracking and centralized record keeping of the case until it is closed.
- The responsible flag CCM acts on a formal investigation request to investigate, prosecute, and penalize proven infringements in accordance with national laws.
- The responsible Flag CCM and other parties act on notification of a potential infringement and investigate, prosecute, and penalize proven infringements in accordance with national laws.
- The investigation outcomes and data from this process and through the CCFS are then considered in the CMS process for inclusion in the CMR, ensuring timely and accurate compliance assessments.
- The flag CCM shall investigate and provide through the CCFS progress reports within two months of the initial notification (and within two months of any request for an update thereafter), per Article 25(2) of the Convention. A coastal state CCM may report on any action taken under its national law, with prejudice to article 25 (9)

Commented [LT11]: Text refinement, US comments on introducing responsible CCM investigate and report within 2 months, positive for coastal State role, but Art 25(2) duty is on the flag State; cautious in shifting flag reporting obligations onto coastal States or bring PNA-zone cases into CCFS reporting.

7. Investigations of Alleged Infringements and Domestic Enforcement WCPFC Secretariate CCFS Integration [Chair Step 7 title was: Investigations of Alleged Infringements and Domestic Enforcement] PNA+ proposed sequencing: Step 7 is WCPFC Secretariat CCFS Integration (Chair’s former Step 6 content, refined).

- ~~The responsible flag CCM acts on a formal investigation request to investigate, prosecute, and penalize proven infringements in accordance with national laws.~~
- Upon receipt of a copy of the initiating CCM's formal request together with all supporting documents, the Secretariat enters the case into the CCFS (creating a case ID) for tracking and centralized record-keeping of the case until it is closed. CCFS integration is for tracking after a CCM-initiated Article 25(2) request
- ~~The responsible flag CCM (and any other notified CCMs wishing to do so) provide, through the CCFS, progress reports within two months of the initial notification (and within two months of any request for an update thereafter), per Articles 25(2) and 23 (5) of the Convention.~~
- The investigation outcomes and data from this process and through the CCFS are then considered in the CMS process for inclusion in the CMR, ensuring timely and accurate compliance assessments.

Commented [LT12]: The Secretariat enters the case on receipt of request "together with all supporting documentation". US comments

Annex 1

A Sample WCPFC ROP Trip Monitoring Summary Questionnaire

Trip Information

- Observer Name: _____
- Observer Programme: _____
- Vessel Name: _____
- Flage CCM: _____
- Trip Start Date: _____
- Trip End Date: _____
- Total Number of Sets: _____
- ROP Trip ID: _____

Trip Monitoring Summary Questionnaire

The following table lists questions related to the potential compliance issues under the agreed lists of WCPFC CMMs for the CCFS purposes. Check YES or NO for each question. For ANY responses requiring further information, provide details (e.g., date, time, location, coordinates, set number) in the Details column or attached additional documentation -such as photos, videos and statements.

Note the information in the following sample, if agreed, would be updated to reflect new CMMs and changes through decisions on the “Scope of Monitoring for CCFS Case” also being discussed by the ROPIWG in parallel with the CCFS Process Flow

CMM 2018-05 (Regional Observer Programme), Paragraph 15(g) and Annex B			
QUESTIONS	YES	NO	Details (Date, Time, Location, Who, Notes)
1. Were there any instances during the trip where observer duties were obstructed (e.g., captain’s directives, crew interference)? <i>If YES, provide details in observer report.</i>	✓		<i>e.g; Observer was assaulted by the radio operator on xx/xx/2025, inside XX EEZ. Observer statement attached.</i>
2. Were there any instances where the observer was intimidated, resisted or delayed in performing duties, per Annex B (2(m), 4(a))? <i>If YES, provide details in observer report.</i>			

Commented [LT13]: Japan’s proposed text refinements highlighted in blue per TMSQ considered relevant

CMM 2017-04 (Marine Pollution), Paragraph 2			
QUESTIONS	YES	NO	Details (Date, Time, Location, Who, Notes)
3. Were there any instances during the trip where plastics (e.g., packaging, items containing plastic, polystyrene) were discharged from the vessel? <i>If YES, provide details (e.g., material type, time, date coordinates, location) in observer report.</i>			<i>e.g Date: April 26, 2025; Time: 14:30; Coordinates: 2°S, 175°E; Location: XX EEZ; Notes: Observer noted a paper box containing plastic packaging discarded overboard.</i>
CMM 2023-01 (Tropical Tuna), Paragraphs 13-14 & 16			
QUESTIONS	YES	NO	Details (Date, Time, Set No's, Location, Notes)
4. Were there any instances during the trip where FADs were deployed, serviced, or set on between July 1 and August 15 in EEZs or high seas between 20N and 20S? <i>If YES, specify set numbers and details (date, time, coordinates, location).</i>			
5. Were there any instances during the trip where FADs were deployed, serviced or set on in high seas during the CMM's notified 1-month closure (April, May, November or December) <i>If YES, specify set numbers and details of the FAD design and specifications in the event of a potential infringement.</i>			<i>e.g No high seas FAD activity; CCM notified April closure, but trip sets were in EEZ.</i>
6. Were any FADs observed to use entangling materials (e.g., mesh nets on any part of the FAD, or entangling raft/subsurface designs), violating Paragraph 16? <i>If YES, specify set numbers / FADs observed and details (material type, description).</i>			
CMM 2025-06 (Sharks), Paragraph 7-9, 24(1-2)			
QUESTIONS	YES	NO	Details (Date, Time, Set No's, Location, Notes)
7. Were there any instances of finning observed (i.e. shark fins removed and retained while the carcass was discarded at sea)? <i>If yes, provide details in observer report</i>			
8. Were there any instances where oceanic whitetip or silky sharks were retained onboard, transshipped, stored, or landed in whole or in parts? <i>If YES, specify set numbers, species, quantities and details.</i>			
9. Were there any instances where oceanic whitetips or silky sharks were not promptly released with minimal harm (e.g., not following safe release guidelines) <i>as soon as possible, in a</i>			<i>e.g., Set 20; Date: April 20, 2025. Time: 10:15; Coordinates: 1°S, 176°E; Location: XX</i>

manner that resulted in as little harm to the shark as possible, despite no particular concern about the safety of the crew? If YES specify set numbers and details (e.g., condition: alive/dead)			EEZ; Notes: Silky sharks not released promptly; one appeared injured.
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CMM 2025 -06 (Whale Sharks), Paragraph 25 (1-2 & 5)			
QUESTIONS	YES	NO	Details (Date, Time, Set No's, Location, Notes)
10. Were there any sets where a purse seine was set on a tuna school associated with a whale shark sighted prior to the set (paragraph 25 (1))? If YES specify set numbers and details (date, ~~time~~ sighting time, set time, coordinates, locations)			e.g; No whale shark sightings reported.
11. Were there any instances where whale sharks were retained, transhipped or landed, in whole or in part (paragraph 25(2))? If YES, specify set numbers and details.			e.g; No whale shark retention reported.
12. For sets with incidental whale shark encirclement, ~~was safe release not performed~~ were reasonable steps not taken to ensure its safe release per paragraph 25(5)(a) or incident reporting not completed per paragraph 25(5)(b)? If YES, specify set numbers and details.			e.g; Not applicable; no encirclements reported.
CMM 2024-07 (Cetaceans), Paragraphs 1- 3 &5			
QUESTIONS	YES	NO	Details (Date, Time, Set No's, Location, Notes)
13. Were there any sets where a purse seine was set on a tuna school associated with a cetacean sighted prior to the set (paragraph 1)? If YES specify set numbers and details (date, ~~time~~ sighting time, set time, sets no's, location).			
14. Were there any sets where cetaceans were unintentionally encircled, and the net roll was not stopped or safe released was not ensured per paragraph 2(a)? If YES specify set numbers and details (e.g., observed handling conditions)			
15. Were there any sets where cetacean encirclement incidents were not reported per paragraph 2(b)? If YES specify set numbers and details.			
16. Were there any instances where a cetacean was retained onboard, (in whole or part) (paragraph 3)?			

<i>If yes, specify set numbers and details</i>			
17. Were the Commission-adopted best practices for the safe handling and release of cetaceans or SSI not followed during any cetacean interactions (paragraph 5)? <i>If yes, specify set numbers and details ..review</i>			
18. Were there any sets where cetaceans were retained, transshipped or landed, in whole or in parts (paragraph 3)? <i>If YES, specify set numbers and details.</i>			
19. Were there any sets in long line fisheries where entangled cetaceans were not released with minimal harm per paragraph? <i>If YES, specify set number and details.</i>			
CMM 2019-05 (Mobulid Rays), Paragraph 3-5			
QUESTIONS	YES	NO	Details (Date, Time, Set No's, Location, Notes)
20. Were there any sets involving targeted fishing or international setting on mobulid rays (paragraph 3)? <i>If YES specify set numbers and details (date, time, sets no's, location).</i>			
21. Were there any sets where mobulid rays were retained, transshipped or landed (in whole or in parts), except as per paragraph-6 4 (purse seine surrender to authorities)? <i>If YES, specify set numbers and details.</i>			
22. Were there any instances where mobulid rays were not promptly released alive and unharmed or did not follow Annex 1 handling practices (paragraph 5), despite no particular concern about the safety of the crew? <i>If YES specify set numbers and details.</i>			<i>e.g; No mobulid ray interactions reported.</i>
23. Were there any sets in long line fisheries where entangled mobulids were not released with minimal harm per paragraph? <i>If YES, specify set number and details.</i>			

Action Required

- For any YES response, immediately submit this form/report to the designated CCM's personal/ contacts WCPFC Compliance Contact for compliance cases evaluation and vetting.

- Ensure all YES responses are detailed in this form/report, including set numbers, dates and times, coordinates, and other relevant information.

Debriefers Certification

I certify that this report accurately reflects the observer's responses during the debriefing conducted on [Date: _____] and aligns with the questionnaire's guidelines.

• Debriefers Name: _____ Observer Name: _____

• Signature: _____ Signature: _____

FOR COMPLIANCE OFFICIAL USE ONLY [Tick the appropriate box]

- ☒ No Potential Compliance Issue – Trip Data is CLEARED
- ☒ Potential Compliance Issues – Trip Data is being Notified to relevant CCMs for investigations

GUIDELINES

Completing the Infringement Notification / Request for Investigation

Article 23(5) / Article 25(2) CMM 2018-05 paragraph 11 · Step 4 (Compliance Evaluation and Vetting)

Status	Working sample for ROP-IWG consideration — not an adopted Commission form
Submitted by	PNA and Vanuatu
Use with	Sample Form: Infringement Notification / Request for Investigation (Step 4)

Complete one form per trip where Step 4 finds a genuine compliance issue. Use one row in Section E for each alleged infringement. Send the signed form and Schedule 1 to the Flag CCM first **including the Responsible CCMs and, where relevant the coastal State CCM**, then copy the Secretariat.

Purpose of the form

This form is the initiating CCM's written notification and formal request that the Flag CCM (and, where relevant, the Coastal State CCM) investigate an alleged infringement. The Secretariat is copied for CCFS tracking after the request is transmitted. It is the "Infringement Notification Form/Report" contemplated in the Notes to Step 4.

Step 4 is a compliance decision. The debriefer does not decide whether an alleged incident proceeds to investigation.

A. Form control

- **Form / Reference No.** - Initiating CCM file number (for example TV-2026-014).
- **Date of this notification / request** — Date the request is sent to the Flag CCM **including Relevant CCM and, where relevant, the coastal State CCM**.
- **Related Trip Monitoring Summary Questionnaire Ref.** - Questionnaire or trip ID from debriefing.

B. Initiating CCM (sender)

- Name the CCM sending the request.

Commented [LT14]: Highlighted in green are refined text edits by PNA per Infringement Notification Request form

- Tick every role that applies. National or sub-regional observer programmes tick Observer Provider CCM. ~~A coastal State that is not the provider may also tick Coastal State CCM.~~ A CCM conducting the debriefing in whose port the observer disembarks ticks Debriefing CCM.
- Give the designated compliance contact, not the debriefer.

C. Addressees

- **Flag CCM** — Always the primary addressee under Article 25(2).
- **Coastal State CCM(s)** — Include where the alleged incident occurred in an EEZ. Leave blank for high-seasonally events unless a coastal State still has a role.
- **WCPFC Secretariat** — Copy only after the request has been sent to the Flag CCM. The copy is for CCFS tracking. It is not a substitute for the request.
- **Other CCM(s)** — List a chartering CCM or other party only if they have a direct role.

D. Vessel and trip details

- Use RFV / WIN details. Do not invent a vessel identity.
- Observer name, nationality, programme and provider must match the trip record.
- Trip start, end, trip ID and debrief date are required. ~~Notification should follow as soon as practicable after debriefing. PNA and Vanuatu suggest 14 days.~~ The request shall be transmitted no later than 14 days after debriefing.
- **Areas of operation** — List each EEZ and high-seas segment. This supports the Flag / coastal State of investigation location.

E. Alleged infringement description(s)

- One row per alleged infringement. Do not bundle unrelated events.
- **CMM / paragraph** — Cite the binding obligation only. Do not list non-binding guidance. ~~Identify the evidence relied on for each paragraph cited.~~
- **Date / time and location** — As recorded by the observer. State whether the event was in an EEZ or on the high seas.
- **Set / species / gear** — Include only if it is part of the allegation.

- **Brief description** — Short statement of what was observed. Analysis belongs in Section F.

Put supporting evidence in Schedule 1. Do not paste the full observer report onto the table.

F. Compliance analysis (Step 4 evaluation)

Completed by designated compliance staff after review of the Trip Monitoring Summary Questionnaire and supporting evidence.

- **Summary of compliance analysis / findings** — State the finding for each alleged infringement listed in Section E. Say why the observer-sourced evidence is enough to request an investigation. Note any gap that the Flag CCM should still address.
- **Evidence relied on** — List the Schedule 1 items used for that finding.

G. Formal request under Article 23(5) / Article 25(2) and CMM 2018-05 paragraph 11

This section is the request. Sending the signed form is the notification.

- The two-month period is for a progress report, not for finishing the investigation.
- **Specific investigation actions** — Optional. Use only if a particular record, interview or inspection is needed.
- **Priority / sensitivity** — Use for observer safety, crew welfare, or perishable evidence.
- **Transmission** — Tick the boxes that were actually used. The Secretariat copy is last, not first.

H. Recommendation for Flag / Coastal State investigations

- Keep recommendations short and practical (for example: interview the master; check VMS against set time; confirm position against a FAD closure).
- Use the coastal State line when the event was in zone and that CCM has jurisdiction.
- Requests to other CCMs (charterer, provider, coastal State) go here, not in Section E.

I. Certification

- Signed by the Initiating CCM compliance official, not the observer or debriefer. **The official must be authorized by the competent authority of the Initiating CCM.**
- The certification confirms that Step 4 was completed and that the package contains only material relevant to the alleged infringement(s).

Schedule 1 — Observer-sourced supporting evidence

- Attach only what supports the rows in Section E.
- **Minimum package** — Completed Trip Monitoring Summary Questionnaire plus the relevant report pages or observer statement. **Handwritten material relied on, attach a copy of the original and, where reasonably required, a verified typed transcription.**
- Photos, video and crew or master statements are included only if they relate to the alleged infringement.
- List every file name. Do not attach the whole trip data. **The Flag CCM may request further trip data through the CCFS.**

Transmission order

- Complete Sections A–I and Schedule 1.
- Send to the Flag CCM, and to the Coastal State CCM including the Observer Provider CCM when listed.
- Copy the Secretariat for CCFS case entry.

These guidelines accompany the sample form develop for CCFS process Step 4

WESTERN AND CENTRAL PACIFIC FISHERIES COMMISSION

SAMPLE FORM

Infringement Notification / Request for Investigation

Article 23(5) / Article 25(2) of the Convention · CMM 2018-05 paragraph 11

For use at Step 4 (Compliance Evaluation and Vetting) of the Observer Provider – Commission CCFS process flow

Purpose: This sample form is the “Infringement Notification Form/Report” contemplated in the Notes to Step 4 of WCPFC-TCC22-2026-24A. It is the initiating CCM’s written notification and formal request that the Flag CCM (and, where relevant, the Coastal State CCM) investigate an alleged infringement, copying the WCPFC Secretariat for CCFS tracking after the request is transmitted. It is a working sample for ROPIWG/TCC22 consideration — not an adopted Commission form.

A. Form control

Form / Reference No.	
Date of this notification / request	
Related Trip Monitoring Summary Questionnaire Ref.	

B. Initiating CCM (sender)

Initiating CCM	
Role of Initiating CCM	

Tick all that apply:

- ☐ Observer Provider CCM
- ☐ ~~Coastal State CCM~~ Debriefing CCM (port of disembarkation)
- ☐ ~~Other designated CCM (specify):~~ _____

Designated compliance contact (name / title)	
Email / phone	
Authority / office	

C. Addressees

Flag CCM (primary addressee for Art. 25(2) investigation)	
Coastal State CCM(s) (where infringement alleged to have occurred)	
WCPFC Secretariat (copy for CCFS integration / tracking)	
Other CCM(s) / parties copied (if any)	

D. Vessel and trip details

Vessel name	
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WIN / IRCS / Registration No.	
Flag State	
Vessel type (PS / LL / other)	
Observer name / nationality / programme	
Observer provider	
Trip start date / end date / trip ID	
Areas of operation (EEZ(s) / high seas)	
Debrief date / Debriefing Observer Provider	

E. Alleged infringement description(s)

List each alleged infringement separately. Include only information relevant to that alleged infringement to create a case package. Attach supporting observer-sourced evidence as Schedule 1.

#	CMM / paragraph	Date / time	Location (coords / EEZ / HS)	Set / species / gear (if any)	Brief description

F. Compliance analysis (Step 4 evaluation)

Completed by designated CCM compliance personnel after review of the Trip Monitoring Summary Questionnaire and supporting evidence.

Summary of compliance analysis / findings	
Evidence relied on (list attachments / Schedule 1 items)	

G. Formal request under Article 23(5) / Article 25(2) and CMM 2018-05 paragraph 11

The Initiating CCM hereby notifies the Flag CCM (and, where listed above, the Coastal State CCM) of the alleged infringement(s) described in Section E and formally requests that the Flag CCM investigate in accordance with Article 25(2) of the Convention (and Article 23(5) where applicable) and provide a progress report within two months of this request (and within two months of any subsequent request for an update).

Specific investigation actions requested (optional)	
Recommended priority / sensitivity notes (e.g. observer safety)	

Transmission:

- ☐ Email to Flag CCM designated contact(s)
- ☐ Email copy to Coastal State CCM(s)
- ☐ Email copy to WCPFC Secretariat for CCFS tracking (after this request is transmitted)
- ☐ Other: _____

H. Recommendation for Flag / Coastal State investigations

Recommendation to Flag CCM	
Recommendation to Coastal State CCM (if any)	
Any request for cooperation / information from other CCMs	

I. Certification (Initiating CCM compliance official)

Name	
Title / authority	
CCM	
Signature	
Date	

I certify that Step 4 compliance evaluation has been completed; that this notification/request is based on the completed Trip Monitoring Summary Questionnaire and supporting observer-sourced evidence listed in Schedule 1; and that only information relevant to the alleged infringement(s) is included in the case package. I am authorized by the competent authority of the Initiating CCM.

Schedule 1 — Observer-sourced supporting evidence (attach)

Include only materials relevant to the specific alleged infringement(s).

- ☐ Completed / signed WCPFC ROP Trip Monitoring Summary Questionnaire
- ☐ Relevant observer report form page(s) / extracts specific to the alleged infringement
- ☐ Observer statement
- ☐ Copy of handwritten original and verified typed transcription (where reasonably required)
- ☐ Crew/master statement (if any)

☐ Photo(s)

☐ Video(s)

☐ Other: _____

Attachment list / file names	
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