



**TRIAL SUMMARY TABLES OF
FLAG CCM RESPONSES TO ALLEGED INFRINGEMENTS
NOTIFIED IN THE
WCPFC ONLINE COMPLIANCE CASE FILE SYSTEM
(REVISION 1)**

**WCPFC-TCC14-2018-dCMR02_rev1¹
11 September 2018**

Prepared by the Secretariat

**Tables based on ROP data as at 15 July 2018, and updates in the WCPFC online Compliance
Case file as at 10th September 2018**

¹ Revision 1 replaces the version issued on 31 July 2018: based on ROP data as at 15 July 2018 and CCM submissions into the online compliance case file system as at 26 July 2018.

Purpose

1. This paper provides a summary of the status of investigations of alleged infringements, and Flag CCM responses as contained in the WCPFC online Compliance Case file system as at 26 July 2018. It trials an approach to summarizing the range of cases and information held by the Secretariat for the information of CCMs. While this paper is based on CMM 2017-07 and it has considered some participants' suggestions made to the CMS-IWG, it is without prejudice to any decisions following the Review of the Compliance Monitoring Scheme.

Background

2. In April 2016, the Secretariat launched its online WCPFC Compliance Case File system to assist with tracking individual alleged violations that may be relevant to the Compliance Monitoring Scheme, from their initial notification through to the end of the investigation. This was a version 2.0 of a compliance event database. The Secretariat completed work on delivery of four lists prior to TCC12 in 2016, and two more lists were implemented in April 2017, to make a total of six (6) lists that comprise the online WCPFC Compliance Case File system:
 - **Article 25-2 Compliance Cases**
 - **FAD Sets Alleged Infringements**
 - **Observer Obstruction Alleged Infringements**
 - **Shark Catch Alleged Infringements**
 - **ROP Pre-notification Issues**
 - **Cetacean and Whale Shark Interactions**
3. Cases in the Article 25(2) Compliance Case list are created by the Secretariat individually, based on a report received that appears to be a request from one CCM to another CCM to explain or investigate the conduct of its vessel and/or its national/s. These requests provide reference to one or more WCPFC obligations. The sources of information for this list, can be wide ranging and includes High Seas Boarding and Inspection Reports (CMM 2006-08), Port Inspections, Aerial Surveillance, MCS operations, CMM 2016-03 observer safety reports, or any other relevant advice from a CCM. A summary of the status of compliance cases notified in Article 25(2) Compliance Case list of the WCPFC online compliance case file system and flag CCM responses are provided in **Table 1**. Data is as at 11 September 2018.
4. Cases in the other five (5) WCPFC online compliance case file system lists,² are created through scripted queries that the Secretariat runs over the ROP observer data. Updates to the ROP observer data related compliance case lists are made periodically, and through procedures that have been developed in joint-efforts of the Secretariat and SPC-OFP staff. The frequency of updates depends on the frequency with which updates from SPC-OFP can be provided to the Secretariat (currently the frequency for updates is one to three months).

² The five ROP-observer data based WCPFC online Compliance case file system lists are: FAD Sets Alleged Infringements; Observer Obstruction Alleged Infringements; Shark Catch Alleged Infringements; ROP Pre-notification Issues; and Cetacean and Whale Shark Interactions.

5. **Tables 2 – 6** provides a description of the intended purpose for each of the five ROP observer data based Compliance Case file lists, and includes a summary of the status of compliance cases that are presently notified within each list and flag CCM responses. Data is based on available WCPFC ROP data as at 15 July 2018.
6. Flag CCMs that have compliance cases that are designated with an *Infringement status* as “Flag CCM Notified” or “Flag CCM Investigation in Progress” are expected to provide updates until the conclusion of the investigation. Flag CCMs can enter multiple responses/progress reports, online, related to any of the alleged infringement as it conducts investigation. The online system will track the responses provided by the flag CCM during the life of the alleged infringement case.
7. The Secretariat periodically reviews case updates submitted by relevant CCMs. The advice of flag CCMs on the progress of their investigations and their outcomes is used solely as the basis for the Secretariat’s updates of the *Infringement status* for individual compliance cases.
8. As administrator of the online Compliance Case file system, the Secretariat can review all notified compliance cases and any CCM replies therein.
9. Presently the access by CCMs to individual cases in the online WCPFC Compliance Case File system considers the circumstances of a specific case:
 - i. Flag CCMs can view relevant compliance cases for vessels flying their flag;
 - ii. Notifying CCMs, which includes the ROP observer provider that was responsible for the placement of a ROP observer, can view relevant compliance cases for vessels flying other flags; and
 - iii. Where applicable coastal CCMs and chartering CCMs, may also view relevant compliance cases through the online system.
10. Circular No.:2018/17 in announcing availability online for each CCM of their Annual Report Part 2 also included a Quick Guide for CCMs use in managing the compliance case file system.

Trial approach to summary of investigation outcomes

11. In 2017, during the discussions between the Secretariat and the CMS Review Panel, and in reflecting on the deliberations during TCC13 around the compliance case file supporting documentation, the Secretariat saw merit in further considering how it might be able to improve on its summary paper provided to TCC13 that summarized the status of the compliance case file system : [WCPFC-TCC13-2017-11c](#). One of the ideas was how the Secretariat might usefully generate summaries of flag CCM responses on the outcome of their investigations.
12. The Commission, at WCPFC14, had also tasked the Secretariat with updating the “paper” Investigation Status Report template for use in 2018, to better support the reporting by flag CCMs of the outcomes of their investigations of alleged violation (s). The Secretariat was also tasked to identify the cases by vessel name in the CMR report, so that flag states and other interested CCMs can more clearly identify which cases are being discussed and assessed.

13. In February 2018, taking advantage of a meeting of officers responsible for compliance in each of the tuna RFMOs that was held in Honiara, the Secretariat was also able to learn more about the approaches that other tuna RFMOs have used to display CMR and compliance case outcomes.
14. In July 2018, the FFA submitted to the CMS-IWG [a proposal for a revised CMM on the CMS](#). A suggestion made in that proposal is for the Commission to task the Secretariat to prepare and distribute with the dCMRs, a separate document containing aggregated vessel level data across all fleets, drawn from the status of cases in the online WCPFC compliance case file system. It is further suggested, that an updated version of this document should be issued by the Secretariat considering updates in the compliance case file no more than 15 days prior to TCC. The document is to be considered Non-Public domain data.
15. The Secretariat advises that it has completed a trial approach within the online compliance case file system of four possible categories that could be used to summarize *Investigation Outcomes*: “No infraction” “Infraction – no sanction” “Infraction – warning” “Infraction – sanction”
16. The trial approach to summarizing *Investigation Outcomes* has involved the Secretariat reviewing the comments submitted by flag CCMs related to each case with an *Infringement status* of “Flag CCM Investigation Completed” and making the choice of a categorization based solely on the Secretariat’s understanding of the comments submitted by flag CCMs in the compliance case file system
 - i. “No infraction”:= has been assigned in instances where the flag CCM has advised that their review of the evidence and/or interpretation of the requirement did not support finding a violation by the vessel involved;
 - ii. “Infraction – no sanction”:= has been assigned in instances where the flag CCM has advised that the review of evidence did support finding a violation by the vessel involved, but there was no further information related to any action being taken or being necessary;
 - iii. “Infraction – warning”:= has been assigned in instances where the flag CCM has advised that the review of evidence did support finding a violation by the vessel involved, and the flag CCM advises that a verbal or written warning was issued;
 - iv. “Infraction – sanction”:= has been assigned in instances where the flag CCM has advised that the review of evidence did support finding a violation by the vessel involved, and some form of penalty notice was being considered or was taken as a response.
17. Considering these points, this paper further presents based on this trial, a set of summary tables containing aggregated vessel level data across all fleets, drawn from the online compliance case file system (**Table 1 – 6**).

Administrative notes

18. The Secretariat periodically reviews case updates submitted by relevant CCMs, on any cases in the online compliance case file system. Flag CCMs are asked to kindly advise the Secretariat if they have any corrections to the assignment of *Investigation Outcome* categories that the Secretariat has made for specific closed cases.

19. A trial summary of the status of investigations of alleged infringements, including the trial summary of Flag CCM responses as contained in the WCPFC online Compliance Case file system as at 10 September 2018 are provided in **Tables 1 – 6**.
20. Notation has been included in the left-hand column within each table, to indicate the proportion of cases where the flag CCM has advised that their investigations are complete, and to highlight the count of flag CCM investigations that were completed post-December 2017 (**Tables 2 -6**). For Article 25(2) list cases, the cases with complete investigations that relate to either RY2017 and RY 2018 have been highlighted (**Table 1**). The Secretariat also confirms that at the time of preparing this paper, there were over **630** cases in the online compliance case file system that might be considered to be “recently” completed flag CCM investigations since the last CMR working group meeting (held in the margins of WCPFC14).³
21. The Secretariat welcomes feedback from CCMs of requested enhancements that could assist CCMs in their use and management of cases in the online WCPFC Compliance Case File system. Feedback on the format and the presentation of the trial approach of these Summary Tables would also be welcomed.

³ In the initial version of this paper issued 31 July 2018 it was reported an estimated total of **435** cases were “recently” completed.

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Table 2	Summary of Flag CCM responses to FAD Sets Alleged infringements notified in WCPFC online Compliance Case File System	<ul style="list-style-type: none"> – 2015 – 2018 – Data is based on available WCPFC ROP data as at 15 July 2018 and CCM replies 10 Sept 2018 – 2016 – 2018 may be incomplete
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Table 6	Summary of Flag CCM responses to ROP Pre-Notification Issues, other than alleged observer obstruction, presently notified in WCPFC online Compliance Case File System	<ul style="list-style-type: none"> – 2016 – 2018 – Data is based on available WCPFC ROP data as at 15 July 2018 and CCM replies 10 Sept 2018 – 2016 – 2018 may be incomplete

Flag CCM codes

AU	Australia	KI	Kiribati	PH	Philippines
CA	Canada	KR	Republic of Korea	SB	Solomon Islands
CN	China	LR	Liberia	SV	El Salvador
CK	Cook Islands	MH	Republic of Marshall Islands	TH	Thailand
EC	Ecuador	NC	New Caledonia	TO	Tonga
EU	European Union	NR	Nauru	TV	Tuvalu
FJ	Fiji	NZ	New Zealand	TW	Chinese Taipei
FM	Federated States of Micronesia	PA	Panama	US	United States of America
ID	Indonesia	PF	French Polynesia	VU	Vanuatu
JP	Japan	PG	Papua New Guinea		

Table 1. Summary of Flag CCM responses to Article 25(2) requests for investigations notified in WCPFC online Compliance Case File System

Article 25-2 Compliance Case List: Contain any alleged infringements in which a flag CCM investigation has been requested by a WCPFC member, in accordance with Article 25(2) of the Convention. Eg High Seas Boarding and Inspection Reports, Aerial Surveillance or Port Inspection Reports, and Reports on Observer Safety Incidents

Period: 2013 – 11 September 2018

Flag CCM	Year	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# 2017/18 cases with complete flag investigations
				Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction		
Alleged unauthorised fishing in EEZ (Convention Article 24(1)) - DETECTED THROUGH VMS AND/OR AERIAL SURVEILLANCE										
PH	2013	6						6	6	100%
Total	2013	6	0	0	0	0	0	6	6	100%
CN	2014	1						1	1	100%
PH	2014	2						2	2	100%
Total	2014	3	0	0	0	0	0	3	3	100%
PH	2015	2						2	2	100%
US	2015	1						1	1	100%
VU	2015	1						1	1	100%
Total	2015	4	0	0	0	0	0	4	4	100%
CN	2016	1						1	1	100%
Total	2016	1	0	0	0	0	0	1	1	100%
Total	2017	0	0	0	0	0	0	0	0	
JP	2018	2			2			2	2	100%
TW	2018	2			2			2	2	100%
Total	2018	4	0	0	4	0	0	4	4	100%
EHSP-SMA (CMM 2010-02) reporting gap - DETECTED THROUGH VMS AND/OR HSBI										
CN	2015	2				2		2	2	100%
TW	2015	1						1	1	100%
Total	2015	3	0	0	0	2	0	3	3	100%
TW	2016	1			1			1	1	100%
Total	2016	1	0	0	1	0	0	1	1	100%
VMS reporting issue (CMM 2011-02/CMM 2014-02) - DETECTED THROUGH INSPECTION, AERIAL SURVEILLANCE, OTHER										
JP	2014	1			1			1	1	100%
Total	2014	1	0	0	1	0	0	1	1	100%
CN	2015	4			3		1	4	4	100%
JP	2015	1			1			1	1	100%
TW	2015	2			1		1	2	2	100%
US	2015	1			1			1	1	100%
Total	2015	8	0	0	6	0	1	8	8	100%
CN	2016	7			3			4	7	100%
FJ	2016	1			1			1	1	100%
JP	2016	2			2			2	2	100%
TW	2016	7			7			7	7	100%
Total	2016	17	0	0	13	0	4	17	17	100%
AU	2017	1			1			1	1	100%
CN	2017	13			13			13	13	100%
TW	2017	6			6			6	6	100%
VU	2017	2		2				0	0	0%
Total	2017	22	0	2	20	0	0	20	20	91%
CN	2018	2			1			1	2	100%
EU	2018	1			1			1	1	100%
JP	2018	8		7	1			1	13%	1
PH	2018	1		1				0	0%	
TW	2018	12	6		6			6	50%	6
US	2018	2			2			2	100%	2
VU	2018	1		1				0	0%	
Total	2018	27	6	9	11	0	0	12	44%	12
Not cooperating with HSBI procedures - DETECTED THROUGH INSPECTION										
JP	2016	1			1			1	1	100%
Total	2016	1	0	0	1	0	0	1	100%	1
TW	2018	1		1				0	0%	
Total	2018	1	0	1	0	0	0	0	0%	
Observer safety matter - AS REPORTED UNDER CMM 2016-03 06 / CMM 2017-03 06										
CN	2017	1			1			1	1	100%
TW	2017	1		1				0	0%	
Total	2017	2	0	1	0	0	0	0	0%	1

Flag CCM	Year	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# 2017/18 cases with complete flag investigations
				Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction		
Unauthorised transshipment or transshipment reporting issue - DETECTED THROUGH VMS AND/OR OTHER										
CN	2015	4			2	2			4	100%
Total	2015	4	0	0	2	2	0	0	4	100%
CN	2016	5			3			2	5	100%
Total	2016	5	0	0	3	0	0	2	5	100%
CN	2017	1			1				1	100%
Total	2017	1	0	0	1	0	0	0	1	100%
KI	2018	1			1				1	100%
PA	2018	1		1					0	0%
KR	2018	1			1				1	100%
TW	2018	2			2				2	100%
US	2018	1		1					0	0%
Total	2018	6	0	2	4	0	0	0	4	67%
Fishing while not in RFV or no evidence of authorisation - DETECTED THROUGH AERIAL SURVEILLANCE OR INSPECTION										
CN	2015	3			1	2			3	100%
TW	2015	2			2				2	100%
Total	2015	5	0	0	3	2	0	0	5	100%
CN	2016	3					1	2	3	100%
TW	2016	1			1				1	100%
VU	2016	1			1				1	100%
Total	2016	5	0	0	2	0	1	2	5	100%
AU	2017	1			1				1	100%
US	2017	6			1			5	6	100%
Total	2017	7	0	0	2	0	0	5	7	100%
NR	2018	1			1				1	100%
PH	2018	1		1					0	0%
Total	2018	2	0	1	1	0	0	0	1	50%
Vessel and Gear marking (CMM 2004-03) - DETECTED THROUGH INSPECTION										
CN	2015	5			1	1	3		5	100%
JP	2015	1			1				1	100%
TW	2015	1			1				1	100%
Total	2015	7	0	0	3	1	3	0	7	100%
CN	2016	15			1	3	8	3	15	100%
TW	2016	13			2	4	3	4	13	100%
Total	2016	28	0	0	3	7	11	7	28	100%
CN	2017	2					2		2	100%
LR	2017	1		1					0	0%
TW	2017	3				1	1	1	3	100%
US	2017	3						3	3	100%
Total	2017	9	0	1	0	1	3	4	8	89%
CN	2018	1				1			1	100%
FJ	2018	1				1			1	100%
JP	2018	1		1					0	0%
PH	2018	1		1					0	0%
TW	2018	10		8	1			1	2	20%
Total	2018	14	0	10	1	2	0	1	4	29%
Incorrect vessel masters details on RFV (CMM 2014-03) - DETECTED THROUGH INSPECTION										
CN	2018	2	2						0	0%
FJ	2018	1	1						0	0%
TW	2018	6	6						0	0%
VU	2018	1	1						0	0%
Total	2018	10	10	10	0	0	0	0	0	0%
Bycatch mitigation (seabird/turtle) requirements or reporting gap - DETECTED THROUGH INSPECTION										
TW	2015	1						1	1	100%
Total	2015	1	0	0	0	0	0	1	1	100%
CN	2016	2						2	2	100%
JP	2016	2			2				2	100%
TW	2016	6			2			4	6	100%
Total	2016	10	0	0	4	0	0	6	10	100%
CN	2017	5			5				5	100%
JP	2017	2				2			2	100%
TW	2017	1			1				1	100%
Total	2017	8	0	0	6	2	0	0	8	100%
CN	2018	1					1		1	100%
JP	2018	4		4					0	0%
TW	2018	2		1	1				1	50%
VU	2018	1		1					0	0%
Total	2018	8	0	6	1	0	1	0	2	25%
Catch reporting gap (CMM 2013-05) - DETECTED THROUGH INSPECTION										
CN	2015	8			3	1	3	1	8	100%
TW	2015	1						1	1	100%
Total	2015	9	0	0	3	1	3	2	9	100%
CN	2016	5					2	3	5	100%
TW	2016	6			1			5	6	100%
Total	2016	11	0	0	0	0	2	3	5	45%
CN	2017	9			2	1	6		9	100%
JP	2017	1				1			1	100%
TW	2017	4			3			1	4	100%
Total	2017	14	0	0	3	0	0	1	4	29%
CN	2018	3					3		3	100%
JP	2018	1		1					0	0%
TW	2018	3			1			2	3	100%
VU	2018	1		1					0	0%
Total	2018	8	0	1	1	0	0	2	3	38%

Table 2. Summary of Flag CCM responses to FAD Sets Alleged infringements notified in WCPFC online Compliance Case File System

FAD Sets Alleged Infringement List: Includes cases where a ROP observer has reported setting on FADs during a specified time period and/or in specific waters in the Convention when the prohibition on setting on FADs was in effect.

Source data: ROP observer data
Period: 2015 – 2018

Tropical Tunas (1 - 31 Oct FAD closure)													
Conservation and Management Measure for Bigeye, Yellowfin and Skipjack tunas													
Year 2015 = CMM 2014-01 16 Year 2016 = CMM 2015-01 16 Year 2017 = CMM 2016-01 16													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations		# Cases investigations continuing	# cases closed post-WCPFC14
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
PG	2015		4	0		4				4	100%		
US	2015		1	0		1				1	100%		
Total	2015	2	5	0	0	5	0	0	0	5	100%	0	0
SB	2016		1	0	1					0	0%	1	
Total	2016	1	1	0	1	0	0	0	0	0	0%	1	0
MH	2017		15	0		15				15	100%		15
NZ	2017		20	0		20				20	100%		20
Total	2017	2	35	0	0	35	0	0	0	35	100%	0	35
Tropical Tunas (High seas FAD closure)													
Conservation and Management Measure for Bigeye, Yellowfin and Skipjack tunas													
Year 2017 = CMM 2016-01 18													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations		# Cases investigations continuing	# cases closed post-WCPFC14
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2017		1	0	1					0	0%	1	
FM	2017		16	0	16					0	0%	16	
KR	2017		1	0		1				1	100%		1
Total	2017	3	18	0	17	1	0	0	0	1	6%	17	1

Table 2. (continued)

Tropical Tunas (1 July - 30 Sept FAD closure)													
Conservation and Management Measure for Bigeye, Yellowfin and Skipjack tunas													
Year 2015 = CMM 2014-01 14 Year 2016 = CMM 2015-01 14 Year 2017 = CMM 2016-01 14													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2015		157	0	1	156				156	99%	1	80
FM	2015		7	0		7				7	100%		
JP	2015		3	0	3					0	0%	3	
KI	2015		57	6		51				51	89%	6	
MH	2015		7	0		6			1	7	100%		5
PG	2015		7	0		7				7	100%		
PH	2015		2	0	1	1				1	50%	1	
SB	2015		1	0		1				1	100%		
TW	2015		7	0	7					0	0%	7	
US	2015		2	0		1			1	2	100%		
Total	2015	10	250	6	12	230	0	0	2	232	93%	18	85
CN	2016		77	0	2	75				75	97%	2	37
FM	2016		104	0		104				104	100%		7
KI	2016		24	0		24				24	100%		6
KR	2016		2	2						0	0%	2	
MH	2016		7	0	1	6				6	86%	1	
PG	2016		1	0		1				1	100%		
PH	2016		2	2						0	0%	2	
SB	2016		1	1							0%	1	
TW	2016		2	2						0	0%	2	
US	2016		6	0	1	4			1	5	83%	1	5
VU	2016		1	0					1	1	100%		
Total	2016	11	227	7	4	214	0	0	2	216	95%	11	55
CN	2017		38	0	1	37				37	97%	1	37
FM	2017		30	0		30				30	100%		30
JP	2017		8	0	8					0	0%	8	
KI	2017		63	0		63				63	100%		63
MH	2017		90	0		90				90	100%		90
NZ	2017		16	0		16				16	100%		16
PH	2017		2	0	2					0	0%	2	
TW	2017		1	0	1					0	0%	1	
Total	2017	8	248	0	12	236	0	0	0	236	95%	12	236

Table 3. Summary of Flag CCM responses to Observer Obstructions Alleged Infringements notified in WCPFC online Compliance Case File System

Observer Obstruction Alleged Infringement List: Includes cases notified in WCPFC online compliance Case File System, related to observer obstruction, identified in ROP observer data.

Source data: WCPFC Observer Trip Monitoring Summary as submitted in ROP observer data

Period: 2015 – 2018

CMM 2007-01 14 (vii)													
Conservation and Management Measure for Regional Observer Programme													
RS-A: Did the operator or any crew member assault, obstruct, resist, delay, refuse boarding to, intimidate or interfere with observer in the performance of their duties													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2015		7	0	7					0	0%	7	
FJ	2015		2	0		1	1			2	100%		
FM	2015		2	0		2				2	100%		
JP	2015		2	0	1	1				1	50%	1	
KI	2015		3	0				3		3	100%		
KR	2015		5	0	5					0	0%	5	
MH	2015		4	0		3	1			4	100%		1
PG	2015		8	0	3	5				5	63%	3	
PH	2015		2	0	2					0	0%	2	
TW	2015		7	0	7					0	0%	7	
US	2015		9	0		9				9	100%		
Total	2015	11	51	0	25	21	2	3	0	26	51%	25	1
CN	2016		3	1	2					0	0%	3	
FM	2016		2	0		2				2	100%		1
JP	2016		7	0	7					0	0%	7	
KI	2016		1	0					1	1	100%		1
KR	2016		4	4						0	0%	4	
MH	2016		1	0		1				1	100%		1
PG	2016		1	0					1	1	100%		1
TW	2016		5	3	2					0	0%	5	
US	2016		4	0		3			1	4	100%		2
Total	2016	9	28	8	11	6	0	0	3	9	32%	19	6
CN	2017		1	0	1					0	0%	1	
FM	2017		1	0		1				1	100%		1
JP	2017		1	0	1					0	0%	1	
TW	2017		3	0	3					0	0%	3	
US	2017		3		2	1				1	33%	2	1
Total	2017	5	9	0	7	2	0	0	0	2	22%	7	2

Table 3. (continued)

CMM 2007-01 14 (vii)													
Conservation and Management Measure for Regional Observer Programme													
RS-B: Request that an event not be reported by the observer													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2015		17	0	15	1			1	2	12%	15	
FJ	2015		1	0				1		1	100%		
FM	2015		2	0		1			1	2	100%		
JP	2015		3	0	2	1				1	33%	2	
KI	2015		6	0		3		3		6	100%		
KR	2015		4	0	4					0	0%	4	
MH	2015		4	0		2	2			4	100%		
PG	2015		7	0	1	5			1	6	86%	1	2
PH	2015		4	0	4					0	0%	4	
TW	2015		7	0	7					0	0%	7	
US	2015		4	0		3			1	4	100%		
VU	2015		1	0					1	1	100%		
Total	2015	12	60	0	33	16	2	4	5	27	45%	33	2
CN	2016		4	0	3				1	1	25%	3	1
KI	2016		1	0		1				1	100%		1
KR	2016		3	2	1					0	0%	3	
PG	2016		5	0		1			4	5	100%		4
PH	2016		1	0	1					0	0%	1	
TW	2016		5	2	3					0	0%	5	
VU	2016		1	1						0	0%	1	
Total	2016	7	20	5	8	2	0	0	5	7	35%	13	6
KI	2017		3	0	3					0	0%	3	
KR	2017		1	0	1					0	0%	1	
PG	2017		1	0	1					0	0%	1	
TW	2017		1	0	1					0	0%	1	
US	2017		2	0	1	1				1	50%	1	1
Total	2017	5	8	0	7	1	0	0	0	1	13%	7	1

Table 3. (continued)

CMM 2007-01 14 (vii)													
Conservation and Management Measure for Regional Observer Programme													
RS-D: Did the operator fail to provide the observer, while on board the vessel, at no expense to the observer or the observer's government, with food, accommodation and medical facilities of a reasonable standard equivalent to those normally available and medical facilities of a reasonable standard equivalent to those normally available to an officer on board the vessel													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2015		5	0	5					0	0%	5	
FJ	2015		8	0			8			8	100%		
JP	2015		6	0	5	1				1	17%	5	
KI	2015		1	0				1		1	100%		
KR	2015		1	0	1					0	0%	1	
MH	2015		1	0			1			1	100%		
PG	2015		8	0	2	6				6	75%	2	
PH	2015		1	0	1					0	0%	1	
TW	2015		6	0	6					0	0%	6	
US	2015		3	0		3				3	100%		
Total	2015	10	40	0	20	10	9	1	0	20	50%	20	0
CN	2016		2	1	1					0	0%	2	
FJ	2016		1	0				1		1	100%		
FM	2016		2	0		2				2	100%		
JP	2016		2	0	2					0	0%	2	
PG	2016		2	0	1	1				1	50%	1	1
TW	2016		2	1	1					0	0%	2	
US	2016		2	0		2				2	100%		1
VU	2016		1	0					1	1	100%		
Total	2016	8	14	2	5	5	0	1	1	7	50%	7	2
Total	2017	0	0	0	0	0	0	0	0	0			
US	2018		1	1						0	0%	1	
Total	2018	1	1	1	0	0	0	0	0	0		1	0

Table 4. Summary of Flag CCM responses to Shark Catch Alleged Infringements notified in WCPFC online Compliance Case File System

Shark Catch Alleged Infringement List: Includes cases where a ROP observer has reported retention in part or whole of catches by vessels of shark species that are prohibited, or a fate code that may indicate shark finning activities.

Source data: ROP observer data
Period: 2015 – 2018

CMM 2010-07 09													
Conservation and Management Measure for Sharks													
9. CCMs shall take measures necessary to prohibit their fishing vessels from retaining on board, transshipping, landing, or trading any fins harvested in contravention of this Conservation and Management Measure (CMM).													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
FJ	2015		14	0					14	14	100%		
KI	2015		1	0		1				1	100%		
KR	2015		14	0	14					0	0%	14	
PG	2015		1	0		1				1	100%		
Total	2015	4	30	0	14	2	0	0	14	16	53%	14	0
KI	2016		1	0	1					0	0%	1	
KR	2016		2	1	1					0	0%	2	
TV	2016		2	2						0	0%	2	
Total	2016	3	5	3	2	0	0	0	0	0	0%	5	0
Total	2017	0	0	0	0	0	0	0	0	0			

Table 4. (continued)

CMM 2011-04 01													
Conservation and Management Measure for Protection of Oceanic Whitetip Sharks													
1. Members, Cooperating Non-Members and Participating Territories (CCMs) shall prohibit vessels flying their flag and vessels under charter arrangements to the CCM from retaining on board, transshipping, storing on a fishing vessel, or landing any oceanic whitetip shark, in whole or in part, in the fisheries covered by the Convention. 2. CCMs shall require all vessels flying their flag and vessels under charter arrangements to the CCM to release any oceanic whitetip shark that is caught as soon as possible after the shark is brought alongside the vessel, and to do so in a manner that results in as little harm to the shark as possible.													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2015		1	0	1					0	0%	1	
FJ	2015		1	0					1	1	100%		
KI	2015		2	0		1			1	2	100%		
KR	2015		7	0	7					0	0%	7	
TW	2015		1	0	1					0	0%	1	
Total	2015	5	12	0	9	1	0	0	2	3	25%	9	0
KR	2016		1	1	0					0	0%	1	
Total	2016	1	1	1	0	0	0	0	0	0	0%	1	0
Total	2017	0	0	0	0	0	0	0	0	0		0	0

Table 4. (continued)

CMM 2013-08 01

Conservation and Management Measure for Protection of Silky Sharks

1. Commission Members, Cooperating Non-Members and Participating Territories (CCMs) shall prohibit vessels flying their flag and vessels under charter arrangements to the CCM from retaining on board, transshipping, storing on a fishing vessel, or landing any silky shark caught in the Convention Area, in whole or in part, in the fisheries covered by the Convention.
2. CCMs shall require all vessels flying their flag and vessels under charter arrangements to the CCM to release any silky shark that is caught in the Convention Area as soon as possible after the shark is brought alongside the vessel, and to do so in a manner that results in as little harm to the shark as possible.

Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2015		10	0	10					0	0%	10	
FJ	2015		16	0					16	16	100%		
FM	2015		3	0		3				3	100%		
JP	2015		3	0	2	1				1	33%	2	
KI	2015		15	0		5			10	15	100%		
KR	2015		80	0	80					0	0%	80	
MH	2015		2	0		2				2	100%		
PG	2015		1	0		1				1	100%		
PH	2015		3	0	3					0	0%	3	
TW	2015		16	0	16					0	0%	16	
Total	2015	10	149	0	111	12	0	0	26	38	26%	111	0
FM	2016		3	0		2	1			3	100%		1
JP	2016		8	0	8					0	0%	8	
KI	2016		12	0	12					0	0%	12	
KR	2016		9	7	2					0	0%	9	
MH	2016		2	0		2				2	100%		
PG	2016		3	3						0	0%	3	
PH	2016		1	0	1					0	0%	1	
Total	2016	7	38	10	23	4	1	0	0	5	13%	33	1
CN	2017		1	0	1					0	0%	1	
FJ	2017		1	0				1		1	100%		1
FM	2017		1	0		1				1	100%		1
JP	2017		1	0	1					0	0%	1	
KR	2017		2	0	2					0	0%	2	
PH	2017		1	0	1					0	0%	1	
SB	2017		2	0	2					0	0%	2	
TW	2017		1	0	1					0	0%	1	
US	2017		1	0		1				1	100%		1
VU	2017		1	0	1					0	0%	1	
Total	2017	10	12	0	9	2	0	1	0	3	25%	9	3

Table 5. Summary of Flag CCM responses to Cetacean and Whale Shark Interaction Alleged infringements notified in WCPFC online Compliance Case File System

Cetacean and Whale Shark Interactions List: Includes cases where a ROP observer has reported one or more interaction/s occurred between a purse seine vessel and cetaceans or whale sharks during a trip. Relevant WCPFC requirements include: prohibiting purse seine vessels from setting if a whale shark or cetacean is sighted prior to the commencement of the set; required reporting of any incidents of unintentional encircling; and guidelines for safe release.

Source data: ROP observer data
Period: 2016 – 2018

CMM 2012-04 01													
Conservation and Management Measure for Protection of whale sharks from purse seine fishing operations													
1. This measure shall apply to the high seas and exclusive economic zones of the Convention Area. CCMs shall prohibit their flagged vessels from setting a purse seine on a school of tuna associated with a whale shark if the animal is sighted prior to the commencement of the set.													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	# Cases investigations continuing	# cases closed post-WCPFC14	
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2016		14	0	10	3			1	4	29%	10	4
EU	2016		1	1						0	0%	1	
FM	2016		8	6		2				2	25%	6	
JP	2016		37	0	37					0	0%	37	
KI	2016		2	0		2				2	100%	2	2
KR	2016		12	12						0	0%	12	
MH	2016		5	0		5				5	100%	0	2
PG	2016		18	15		3				3	17%	15	
PH	2016		9	6	3					0	0%	9	
SB	2016		2	1	1					0	0%	2	
TW	2016		21	17	4					0	0%	21	
US	2016		17	0	2	13	1		1	15	88%	2	12
Total	2016	12	146	58	57	28	1	0	2	31	21%	117	20
CN	2017		5	0	2	3				3	60%	2	3
FM	2017		7	0	5	2				2	29%	5	2
JP	2017		14	5	9					0	0%	14	
KI	2017		2	1		1				1	50%	1	1
KR	2017		3	3						0	0%	3	
MH	2017		2	0		2				2	100%	0	2
PG	2017		9	9						0	0%	9	
PH	2017		4	4						0	0%	4	
TW	2017		23	23						0	0%	23	
US	2017		2	0		2				2	100%	0	2
Total	2017	10	71	45	16	10	0	0	0	10	14%	61	10
TW	2017		1	1						0	0%	1	
US	2017		5	5						0	0%	5	
Total	2017	2	6	6	0	0	0	0	0	0	0%	6	0

Table 5. (continued)

CMM 2011-03 01													
Conservation and Management Measure for Protection of Cetaceans from Purse Seine Fishing													
1. CCMs shall prohibit their flagged vessels from setting a purse seine net on a school of tuna associated with a cetacean in the high seas and exclusive economic zones of the Convention Area, if the animal is sighted prior to commencement of the set.													
Flag CCM	Year	# CCMs	# cases	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations		# Cases investigations continuing	# cases closed post-WCPFC14
					Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction				
CN	2016		16	1	15					0	0%	16	
FM	2016		11	10		1				1	9%	10	
JP	2016		33	0	33					0	0%	33	
KI	2016		19	0	19					0	0%	19	
KR	2016		53	52	1					0	0%	53	
MH	2016		10	0		8		2		10	100%	0	9
PG	2016		38	38						0	0%	38	
PH	2016		24	23	1					0	0%	24	
SB	2016		3	2	1					0	0%	3	
TV	2016		2	1	1					0	0%	2	
TW	2016		47	46	1					0	0%	47	
US	2016		38	0	3	31			4	35	92%	3	32
Total	2016	12	294	173	75	40	0	2	4	46	16%	248	41
CN	2017		10	2	6	2				2	20%	8	2
EU	2017		1	1						0	0%	1	
FM	2017		13	0	11	2				2	15%	11	2
JP	2017		20	1	19					0	0%	20	
KI	2017		5	2	3					0	0%	5	
KR	2017		10	10						0	0%	10	
MH	2017		3	0		3				3	100%	0	3
PG	2017		19	19						0	0%	19	
PH	2017		4	4						0	0%	4	
SB	2017		5	5						0	0%	5	
TW	2017		31	31						0	0%	31	
US	2017		19	2	4	13				13	68%	6	13
Total	2017	12	140	77	43	20	0	0	0	20	14%	120	20
US	2018		2	2						0	0%	2	
Total	2018	1	82	2	47	33	0	0	0	33	40%	2	0

Table 6. Summary of Flag CCM responses to ROP Pre-Notification Issues, other than alleged observer obstruction, presently notified in WCPFC online Compliance Case File System

ROP Pre-Notification Issues: Provides notification to flag CCMs of those data elements (other than alleged observer obstruction incidents) that were answered in the affirmative by a ROP observer on the WCPFC Observer Trip Monitoring Summary, or which are included in SPC/FFA General Form 3.

***WCPFC14 accepted the TCC13 recommendation that the process of not considering the information contained in the ROP Pre-notification List, for the purpose of assessing any obligations for which it was relevant, with the exception of those cases related to observer interference or obstruction be followed in future years (WCPFC14 final CMR).*

Source data: WCPFC Observer Trip Monitoring Summary as submitted in ROP observer data
Period: 2016 – 2018

ROP Pre-notification issues, other than alleged observer obstruction incidents										
Year	# cases	#	Flag CCM notified	Flag CCM Investigation Response					Total cases with complete flag investigations	
				Under investigation	No infraction	Infraction: no sanction	Infraction: warning	Infraction: sanction		
LC-*										
LC-A := "inaccurately record retained "target species" in the vessel log" LC-B:= "inaccurately record "target species" discards" LC-C:= "record species inaccurately" LC-E:= "inaccurately record bycatch species discards" LC-F:= "inaccurately record retained bycatch species"										
2016	588	588	209	317	53	3	5	1	62	11%
2017	282	282	267	13	0	0	1	1	2	1%
2018	18	18	18	0	0	0	0	0	0	
LP-A (Could be relevant to CMM 2013-05 02)										
LP-A:= "Inaccurately record vessel positions on vessel log sheet for sets, hauling and catch"										
2016	7	7	1	5	0	1	0	0	1	14%
2017	1	1	1						0	
WC-b (If PS vessel, could be relevant to CMM 2015-01 30)										
WC-b := "high-grade the catch" (If PS vessel, could be relevant to CMM 2015-01 30)										
2016	22	22	9	12	0	1	0	0	1	5%
2017	10	10	10	0	0	0	0	0	0	0%
Other (Could be relevant to Convention Article 25(2))										
SI-b:= "Interact (not land with SSIs)" WC-a:="Fail to comply with any Commission Conservation and Management Measures" NR-a:="Fish in any areas where the vessel is not permitted to fish" NR-c:="Use a fishing method other than the method the vessel was designed or licensed" NR-e:="Transfer or transship fish from or to another vessel" NR-g:="Fail to stow fishing gear when entering areas where vessel is not authorised to fish" LP-b:="Fail to report vessel positions to countries, where required when entering and leaving an EEZ(crossing to or from an EEZ into or out of the High Seas)" PN-a:="Dispose of any metals, plastics, chemicals or old fishing gear" PN-b:="Discharge any oil" PN-c:="Lose any fishing gear" PN-d:="Abandon any fishing gear" PN-e:="Fail to report any abandoned gear" SS-a:="Fail to monitor international safety frequencies"										
2016	508	508	170	297	34	1	5	1	41	8%
2017	194	194	185	7	0	0	1	1	2	1%
2018	12	12	12	0	0	0	0	0	0	0%

Non-Public Domain