



**TO ALL COMMISSION MEMBERS, COOPERATING NON-MEMBERS AND
PARTICIPATING TERRITORIES**

**Circular No.: 2022/16
Date: 23 March 2022
No. pages: 11**

Launch of the New Online Compliance Case File System and Other Annual Reporting Updates

Dear All,

1. I am pleased to provide the following updates related to the Compliance Case File System (CCFS) and Annual Reporting online systems.

Launch of the New Compliance Case File System

2. On 18 February 2022, CCMs were notified the CCFS would be closed for editing from Thursday February 24 2022 (Circular No.: 2022/07). I would like to announce the new CCFS is now launched and accessible to all CCMs.

3. The work to test and refine the new CCFS and to prepare supporting Helpdesk material took a little longer than anticipated hence the release has been delayed from the estimated date in the earlier Circular.

4. The minimum requirements of the current CCFS, discussions at TCC17 and taskings through WCPFC18's approval of the TCC Workplan 2022 – 2024 which include trialing a messaging tool to track observer, have formed the basis for the new CCFS. The aim remains to enhance and improve the ease of use of the system. For CCM's information, a more detailed document (*Attachment 1*), 'Update on Progress to Implement Proposed WCPFC Online Compliance Case File System Enhancements' summarizes relevant TCC and Commission decisions, and Secretariat actions in response to these taskings.

5. I would draw your attention to the following details on how to access the new CCFS and the support the Secretariat has provided to assist CCMs as they familiarize themselves with using the new CCFS.

- i. The CCFS is a secure web application accessed through the following link <https://ccfs.wcpfc.int/> using the same login used to access other online resources such as secure meeting documents i.e. your email address and the password you have selected.

- ii. Short guides are available at WCPFC Helpdesk: (<https://wcpfc.freshdesk.com/support/home>) and range from a high-level overview of the sections and navigation in the website through to how to use the website to manage case files including requesting observer reports.
- iii. The IT Manager has completed an update of the CCM users for the new CCFS with CCM Party Administrators however, if any users have trouble accessing the system, please contact ITsupport@wcpfc.int
- iv. The Secretariat will be progressively updating the new CCFS to reflect CCM updates and any Art 25(2) cases since Thursday February 24, 2022.
- v. Some additional 2017, 2018, and 2019 alleged infringements and interactions with species of special interest reported by ROP observers will be published over coming weeks as a result of the latest backup received from SPC-OFP.

6. We welcome CCMs feedback on this system and to identify areas for further improvements. In accordance with the tasks from WCPFC17 to enhance the CCFS in response to CCMs feedback, the Secretariat will continue to update the online help system in response to CCMs feedback and as relevant improvements to the CCFS are introduced by the Secretariat. The Secretariat is also exploring opportunities to provide CCM users with online training for the upgraded CCFS.

7. If you have any questions at this time, please do not hesitate to contact the Compliance Manager, Dr Lara Manarangi-Trott, (Lara.Manarangi-Trott@wcpfc.int) and copied to the Assistant Compliance Manager, Eidre Sharp (Eidre.Sharp@wcpfc.int).

Announcing the availability of Annual Report Part 2 online interface

8. This year's online facility for Annual Report Part 2 is now live and available for all CCMs to use for completing and submitting their Annual Report Part 2 covering 2021 activities.

9. The process to review and complete these reports is mostly unchanged from last year. CCMs will need to use their CMR login details (WCPFC Intranet (SharePoint) username and password) provided in previous years, to log into this year's Annual Report Part 2 online system.

10. As agreed by the Commission at the 18th Regular Session (WCPFC18) held electronically from 29 November - 7 December 2021, this year the Annual Report Part 2 covering 2021 activities is due by **Monday, June 13 2022**.

11. For further guidance on completing the Annual Report Part 2 online visit the WCPFC online support system (<https://wcpfc.freshdesk.com/support/home>) .

WCPFC Annual Catch and Effort (ACE) tables

13. The publishing of the WCPFC Annual Catch and Effort (ACE) tables based on April 30 scientific data submissions and subsequent updates and revisions from CCMs will be continued in 2022. These tables can be found under the “Scientific Data” tab on the WCPFC home page, and for ease of access the ACE tables link is <https://www.wcpfc.int/ace-by-fleet>

14. CCMs who have comments or revisions on the ACE tables are asked to highlight the edits in the relevant ACE table MSEXcel file and to submit the revised version to Manu Schneider at emmanuel@spc.int and copied Science Manager, Dr SungKwon Soh at sungkwon.soh@wcpfc.int

Other draft CMR-related updates

15. A full and current list of WCPFC annual reporting deadlines may be accessed, as an ICAL link and CSV export through the [Upcoming Events" page within the WCPFC website calendar](#).

16. The Secretariat has also updated the [Suggested checklist of 2022 reporting requirements under CMMs or other WCPFC decisions](#) document. A copy of the updated checklist for reporting document and the updated Annual Report Part 1 template is available publicly on the website at <https://www.wcpfc.int/compliance-monitoring>

17. Flag CCMs RFV contacts should have received by email on February 8, 2022 a copy of their CCMs Fished and Did not Fish template for 2021 activities. Our thanks to the many CCMs that have already sent in their completed templates.

18. Supporting documentation for the draft CMR related to Transshipment reporting were emailed to Flag CCMs contacts on March 11, 2022. Supporting documentation for VMS Reporting will be posted to CCM portals as soon as possible, and information on these pages will be updated periodically. CCMs are advised to please regularly check your own CCM portal for updated information. (<https://www.wcpfc.int/ccm>)

19. Should any CCM have problems or questions regarding this year’s annual reporting and compliance monitoring reporting please do not hesitate to contact the Compliance Manager, Dr Lara Manarangi-Trott at lara.manarangi-trott@wcpfc.int and Assistant Compliance Manager, Eidre Sharp at eidre.sharp@wcpfc.int.

Yours sincerely,



Feleti Penitala Teo, **OBE**
EXECUTIVE DIRECTOR



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

22 March 2022

Paper by the Secretariat

Purpose

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

Background

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

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

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

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

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

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

Excerpt from WCPFC17 Summary Report

Improving the online Compliance Case File System (CCFS)

313. The Commission endorsed the TCC16 recommendation in paragraph 118 of the TCC16 Summary Report and tasked the Secretariat to prioritise in its work planning for 2021 to:
- i. undertake the ten actions identified in Table 1 of the Review Report (**Attachment I**) to enhance the CCFS, to automatically notify people within the CCM when a single case is created or updated, make the CCFS easier to use, allow CCMs to browse a single list containing all cases, enhance the aggregated summary tables produced by the CCFS, improve communication with CCMs regarding which internet browsers the CCFS works best on, improve the CCFS quick guide and offer CCFS training to CCMs;
 - ii. undertake the one action contained in Table 1 of the Review Report (**Attachment I**) to implement a proof-of-concept online graph / table creation tool for CCFS data; and
 - iii. to provide an update to TCC17 on the progress on the implementation of the proposed CCFS enhancements.

Other related WCPFC17 outcomes

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

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

Excerpt from WCPFC17 Summary Report

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

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

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

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

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

Excerpt from WCPFC17 Summary Report

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

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

Appendix 1

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

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

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

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

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

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