



**TECHNICAL AND COMPLIANCE COMMITTEE**  
**Seventeenth Regular Session**  
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**UPDATE ON PROGRESS TO IMPLEMENT PROPOSED WCPFC ONLINE COMPLIANCE  
CASE FILE SYSTEM ENHANCEMENTS**

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**WCPFC-TCC17-2021-12**  
**2 September 2021**

**Paper by the Secretariat**

**Purpose**

1. The purpose of the paper is to provide an update to TCC17 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 13 August 2021. The updates are further explained in the following section of this paper.

## Updates on delivery of tasks for the Secretariat to improve the online Compliance Case File System

### *Changes implemented*

11. In accordance with the tasks from WCPFC17 to enhance the CCFS in response to Member feedback, the Secretariat provides the following updates:

- Since April 2021, the CCFS has been automatically sending an email notification to relevant CCMs when a single case is created or updated (see Circular 2021-18 dated 7 April 2021), and
- Since March 2021, CCM use of the CCFS has also been supported through a new online helpdesk system that provides guidance for CCMs about how to use the CCFS to complete routine tasks.
- Accompanying the above, and with a view to make the CCFS easier to use, the language for Infringement status has been clarified and is now consistent across all CCFS lists:
  - When a case is first notified it has the status of “NEW CASE”.
  - When cases have investigations underway, the status is “Investigation IN PROGRESS” and
  - Once investigations are concluded the status is “Investigation COMPLETED”.
- Accompanying the above, and with a view to make the CCFS easier to use, the range of information that is shown in the six single case screen was expanded to include: observer trip data, vessel trip ID, infringement ID, trip number and provider trip number.
- On 13 August 2021, the outcome of work to enhance the aggregated summary tables produced by the CCFS, was issued by the Secretariat. The output took into consideration the stated intention of the tables as described in paragraph 26(ii) of CMM 2019-06 and it was presented in MS Excel format, rather than a static pdf file. The file contains sheets that provide the various summary counts, filterable pivot tables and some sheets also include dynamic graphs. Groupings were used to support the presentation of the aggregated summary tables drawn from the online CCFS and to simplify how CCMs identify the obligations in the tables. The design of the thematic categories is a work in progress, and the Secretariat would welcome CCMs feedback on the approach. (see Circular 2021-68 dated 13 August 2021)
- Accompanying the release of the aggregated summary tables on 13 August 2021, was the TCC Chair’s proposed approach for considering the aggregate tables at TCC17. (see Circular 2021-68 dated 13 August 2021)

12. A summary of the progress against the CCFS enhancement tasks is provided in **Appendix 1**.

*Approach to implementation for remaining tasks*

13. As at the time of writing this paper, the Secretariat has been considering options for implementing the remaining tasks having identified that certain customizations for the CCFS are no longer able to be delivered in SharePoint. The CCFS tasks that were directly affected by the SharePoint limitations are:

- **Appendix 1 b:** Requested changes to simplify the interface (including removing elements that are unnecessary to the user), and other customizations of the user-interface such as adding screen specific help pages as part of the CCFS.
- **Appendix 1 c:** The survey of CCMs to verify that an appropriate level of ease-of-use under task **b** has now been achieved.
- **Appendix 1 e:** The customization to introduce a screen containing a list of all six types of case (that the user is authorised to see) combined, so that users are provided with access to data columns that are common to most/all types of case. The survey of users for their input on what additional columns, that are case type specific, should also be displayed; and what Group By options are required.

14. Pending the consideration of options and their feasibility to address the issue of customisation required for CCFS, and considering the detailed requirements of these tasks, the Secretariat is yet to fully deliver the following CCFS enhancement tasks:

- **Appendix 1 k:** 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. This was partially delivered in the enhanced aggregated summary table file which contains some interactive graphs and tables.
- **Appendix 1 m:** A paper 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.

15. In relation to the work to improve the access and tracking of observer reports to support flag CCM investigations, the Secretariat notes the work of the FAOB in 2021 to provide relevant observer report summaries as comments in the relevant CCFS case file. This has assisted members to complete a number of outstanding cases and reinforces the potential assistance of such a tool as proposed by members.

16. The identified SharePoint limitations prevented the Secretariat from implementing further refinements to the CCFS that had been considered in 2021 including:

- Separating a subset of pre-notification cases that could be indicative of potential infringements by vessels of CMM 2017-04 *Conservation and Management Measure for Marine Pollution* as a standalone new CCFS list;
- Certain enhancements to the Article 25(2) list so that investigation outcomes could be recorded at the level of individual obligation (rather than a single outcome per case); and
- Consideration of a new CCFS list to observed record sea turtle interactions, and potentially other potential bycatch interactions.

17. In considering options to enhance the CCFS, the Secretariat has identified that some of the customizations used to support the CCFS are no longer supported by the platform. The upgrade path for SharePoint, as recommended by Microsoft, is expected to incur substantial cost both from licensing new tools and from the redevelopment effort. Furthermore, Microsoft have indicated their intent to move away from the on-premises version of SharePoint in favor of cloud hosted SharePoint services. As a result, the Secretariats assessment is that ongoing SharePoint development work is no longer feasible using the on-premises platform.

18. Consequently, this issue clearly has broader implications for the WCPFC ICT application portfolio than solely the CCFS, and since identifying this issue the Secretariat has been actively considering options and their feasibility to support the CCFS and other externally facing WCPFC ICT application systems that rely on SharePoint. The outcome of this assessment has been that the Drupal platform, which is already in full operational use by the Secretariat, is a proven, reliable solution that has the ability to deliver the enhancements requested by members currently as well as potential enhancements that may be required through Commission workplans to the extent known. The use of an existing system that appears to be fit-for-purpose offers an efficient solution.

19. At the time of writing, the Secretariat has commenced a workplan of activities to support and implement a redevelopment of the WCPFC CCFS using the Drupal platform, aligning it with the main WCPFC website platform. This involves

- Analysis of existing workflows, processing tasks and data interfaces
- Develop new system specification
- Build new system
- Review new system
- Implement any change to original spec arising from the review
- Create new systems documentation
- Update user documentation/helpdesk

The workplan will utilize existing 2021 IMS-related budgetary resources and will aim to have delivery of a new CCFS system that meets minimum requirements of the current CCFS by January 2022.

20. Following the successful completion of the new CCFS system, the Secretariat intends to schedule the necessary work towards completing delivery of the remaining WCPFC17 tasks to enhance CCFS to make it easier to use. The Secretariat will also at that time explore options for enhancing the CCFS through development of a messaging tool through which CCMs can request observer reports and ROP Providers can respond to requests. Further refinements to CCFS to create new CCFS lists for CMM 17-04 Marine Pollution and additional bycatch interactions (eg sea turtles), as well as to enhance Article 25(2) list may also be considered at that time. The forthcoming TCC17 paper that will provide a preliminary consideration of the anticipated forecast of Secretariat work commitments for TCC in 2022/23 (**TCC17-2021-17**) will consider the proposed CCFS enhancement workplan alongside other TCC-related tasks to the Secretariat.

## **Recommendation**

20. TCC17 is invited to note the paper.
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**Summary of Progress related to delivery of tasks for the Secretariat to improve the online Compliance Case File System**  
(as at 2 September 2021)

ID	Action	Reference	Notes on COMPLETION
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.
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>
c	Subsequently, six months after these initial enhancements have been implemented, survey CCMs to verify that an appropriate level of ease-of-use has now been achieved.	TCC16-2020-12 rec 1  pg20	<i>Pending</i>
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
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</i> - Customisation is required that cannot currently be delivered in SharePoint

ID	Action	Reference	Notes on COMPLETION
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.
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 Secretariats 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>
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 ( <a href="https://wcpfc.freshdesk.com/support/home">https://wcpfc.freshdesk.com/support/home</a> ).
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	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.
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	<b>Partial</b> - the Secretariats dynamic aggregated summary table contains some interactive graphs and tables.
			<i>This task of a limited proof of concept online graph / table creation tool remains under consideration by the Secretariat.</i>



ID	Action	Reference	Notes on COMPLETION
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><b>WCPFC17 Summary Report para 379</b></p>	<p>Circular 2021-68 dated 13 August 2021 presented the TCC Chair’s proposed approach for considering the aggregate tables at TCC17.</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"> <li>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.</li> <li>ii. from the perspective of the Secretariat, the messaging and tracking functions are automated, and do not increase the ongoing workload of Secretariat staff.</li> <li>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.</li> </ul> <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 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.</p>	<p><b>WCPFC17 Summary Report para 314 - 315</b></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>