

DFO NATIONAL COMPLIANCE FRAMEWORK

The purpose of this framework is to provide a solid foundation for the activities the department undertakes to achieve and maintain compliance. It stems from the DFO Compliance Review and Modernization initiative aimed at re-orienting the departmental compliance program, integrating cross-sectoral compliance issues and needs in a comprehensive compliance regime.

The National Compliance Framework has nine underlying principles:

- Proactive (promote voluntary compliance);
- Collaborative (build support through partnerships);
- Problem Solving (special attention to specific problems);
- Risk Based (effort and response proportional to risk)
- Innovative (optimize use of technology and other tools);
- Intelligence-led (increased role of intelligence and analysis in supporting enforcement operations);
- Cost efficient/effective (better use of resources);
- Balanced (appropriate mix of activities undertaken to achieve compliance);

These approaches and principles guide the application of compliance tools organized into the three pillars of compliance management:

- Education and shared stewardship;
- Monitoring, control and surveillance; and
- Major case/special investigations.

Programs and Regions draw on these compliance activities to tailor and deliver compliance strategies in support of the Department's desired outcomes:

- Safe and accessible waterways;
- Healthy and Productive Aquatic Ecosystems; and
- Sustainable Fisheries and Aquaculture

EDUCATION/SHARED STEWARDSHIP

Informal Education

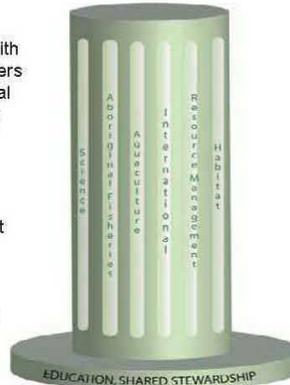
- Informal interaction with clients and stakeholders at wharves, on general patrols, at community events, etc.

Formal Education

- Presentations to client / stakeholder groups, including school visits or community programs
- Formal advertisements / promotional campaigns

Co-Management/Partnerships

- Engagement of clients, stakeholders and other interest groups (internal and external) in fisheries management and compliance decision making
- Involving clients and stakeholder in the delivery of compliance functions (e.g. monitoring agreements)
- Integration of compliance needs in the development of Integrated Fisheries Management Plans
- Partnering with First Nations in compliance activities



*Building Support
For the Future*

MONITORING, CONTROL AND SURVEILLANCE

Departmental MCS Programs

- Regular land, sea and air patrols
- Inspections of fishers, buyers and landing sites
- Monitoring of third-party service providers, (e.g. contractors and designated entities such as Dockside Monitoring Program Companies, guardians)

New Technologies

- Vessel Monitoring System (VMS), Mobile Office, E-Logs, electronic or automatic hailing, video monitoring, etc.

Third Party Monitoring Activities

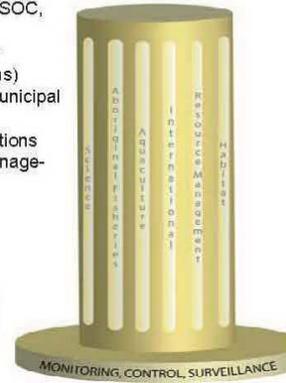
- At-Sea Observers and Dockside Observer Programs
- Other contracted services
- Designations of third parties (e.g. Habitat Inspectors)

Inter-agency Partnerships

- RCMP, DND, CRA, MSOC, EC, CFIA
- DOJ, (e.g. Regulatory initiatives, prosecutions)
- Provincial/territorial/municipal agencies
- International organizations
- Regional fisheries management organizations

Response to Non-Compliance

- Warnings, diversions, alternative measures, directions, orders, ticketing, prosecutions, etc.
- Use of impact statements from the fishing industry for sentencing recommendations
- Community-based justice processes



*Traditional Enforcement
Activities*

MAJOR CASE/SPECIAL INVESTIGATIONS

Formal Intelligence Gathering and Analysis

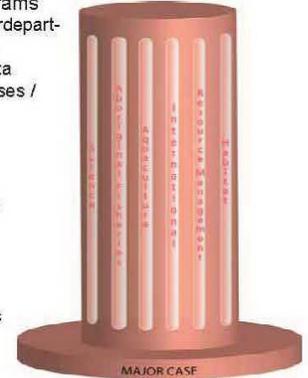
- Inter-agency intelligence networking and exchange programs
- Alignment of interdepartmental and inter-governmental data collection processes / systems

Retroactive Offence Detection and Investigation

- Reviews of landings and business records

Specialized Skills

- Specialized warrants
- Computer forensics
- Fishery profiling
- Covert operations
- Data analysis
- Major Case management
- Intelligence-led policing



*Enhanced
Investigative Capacity*

CONSERVATION
AND PROTECTION

