Index

Absolute Liability Offences

administrative penalties, 379-380 *Charter* and, 29-30 defences, 318-320 strict liability offences distinguished, 37-44

Abuse of Process defences, 301-308

Acts of God defences, 291-295

Administrative Orders/Instruments collateral attacks on validity of, 286-289 licences, validity of, 289 orders, validity of, 286-289 permits, validity of, 289

Administrative Monetary Penalties ("AMPs") — see Penalties

Administrative Penalties — *see* Penalties

Admissibility

agents/employees, by basis for, 359 *Charter* implications, 361 generally, 358-363 independent proof of authority, 360 prerequisites for, 359-360 procedural requirements for, 362-363 voluntariness, 361

Availability of Alternatives fact-specific considerations, 115-116 null alternative, 91-92 when none, 85-93 **Broken Promises**

defences, 303-307

Cause

meaning of, 34

Charter

absolute liability, 29-30 admissibility of statements by agent/ employee, 361 classification criteria, 29-31 defences, 308 offences, 16-17 status of corporation to seek remedy, 352-357 strict liability, 31

Classification of Offences — see Absolute Liability Offences; Continuing Offences; Crimes; Regulatory Offences; Strict Liability Offences

Codes of Practice compliance with, 138-143

Collateral Attacks — *see* Administrative Orders/Instruments

Colour of Right mistake of fact and, 282-283

Compliance checks, 178 codes of practice, 138-143 due diligence factor, 138-145 guidelines, 138-143 industry standards, 113-117 legislation, 143-145 preventive systems, 178

Consultants parties, as, 239-240

Continuing Offences due diligence and, 110-111

Common Law Defences availability, 22

Control

ability to, liability based on, 210, 211-212 criminal notion o, 210 due diligence, distinct from, 213-214 duty, basis of, 210-211 fact, whether finding of, 214-217 fact-specific considerations, 123-128 factors, 217-222 justification for basing liability on, 211-212 law, whether finding of, 214-217 matters beyond, 123-128 mixed fact and law, whether finding of, 214-217 offences, elements of, 212-214 prevention, 210-211 regulatory notion of, 210 reasonable doubt, beyond a, 212-213 what is, 125-126

Corporations

admissibility of statements by employee/agent basis form 359 Charter implications, 361 generally, 358-363 independent proof of authority, 360 prerequisites for, 359-360 procedural requirements for, 362-363 voluntariness, 361 Charter rights admissibility of agent/employee statements, 361 status of corporation to seek remedy, 352-357 evidence admissibility of employee/agent statements, 358-363 generally, 358-363

generally, 341-363 liability of *Criminal Code*, 344-347 express imposition of, statutorily, 349 generally 341-352 identification theory, 342-344, 350-351 implied imposition of, statutorily, 349-350 *mens rea*, offences without, 348 strict liability offences, 348 "Westray" amendments, 344-347 status to apply for *Charter* remedy, 352-357

Cost of Compliance

as a factor in due diligence, 94, 96, 98-99

Crimes

regulatory offences distinguished, 25-26

Criminal Code

corporate liability and, 344-347 party liability under, 223-227 "Westray" amendments and, 344-347

Crown — *see also* Government; Officials; Parties

party, as, 243-244

De minimis non curat lex defences, 314-318

defences, 514-5

Defects latent, 74-76

Defences

absolute liability offences, 318-320 abuse of process, 301-308 acts of God, 291-295 broken promises, 303-307 *Charter* and, 308 common law defences, 22-23 *de minimis non curat lex*, 314-318 due diligence, *see* Due Diligence conomic necessity, 300-301 entrapment, 310-313 evidence, 297-298, 307-308 generally, 291-321

Defences — *Continued* impossibility, 295-301 interrelationship of, 301 issue estoppel, 308-310 mistake of fact, *see* Mistake of Fact necessity, 295-301 reasonable care, *see* Reasonable Care

Directors

parties, as, 228-233

Double Jeopardy

administrative penalties and, 377

Due Diligence — *see also* Reasonable Care

absence of alternatives, 85, 93 administrative penalties and, 370-373 alternatives available, 85-93, 115-116 approach, 66 conduct relating to, 56-58 control distinct from, 213-214 efects, latent, 74-76 evidence, see Evidence fact-specific considerations, see also factors absence of notice of earlier incidents, 112 adequacy of equipment/technology, 117-122 available alternatives, 115-116 continuing offences, 110-111 control, matters beyond, 123-128 control, what is, 125-126 generally, 105-128 industry standards, compliance with, 113-117 knowledge, 105-111 maintenance, proper, 120-122 mistake of fact, 116-117 notice of earlier incidents, 111-113 previous experience, 105-111 repairs, proper, 120-122 replacement, proper, 120-122 similarity, 109-110 standard of care, raising, 106-109 factors, see also fact-specific considerations abnormal sensitivities, 103-104 actions by officials, 129-134

codes of practice, compliance with, 138-143 compliance, 138-145 decreasing skill level expected, 81 directions from officials, 132-134 economic considerations, 94-100 efforts to address problem, 136-138 fact-specific considerations, see fact-specific considerations (above) formal standards, 139 foreseeability, 71 - see also Foreseeability general application of, 77-104 government interference, 134 government publications, 139-141 gravity of potential harm, 67-71 guidelines, compliance with, 138-143 illegal acts, 134-135 inaction by officials, 130-132 increasing skill level expected, 81 industry publications, 141-143 interrelationships of, 82-84, 102, 134 justifying lower/diminished skill level, 82 legislation, compliance with, 143-145 list of. 64-66 neighbourhood, character of the, 100-102 preventive systems, 104 publications, 139-143 sabotage, 134-135 sensitivities, abnormal, 103-104 skill level, 77-79, 81-84 speed of response, 136-138 staffing levels, 135-136 vandalism, 134-135 generally, 63-76 necessity, defence of, 93 null alternative, 91-92 onus, shift in, 93 preventive systems, relevance of, 201-205 reasonableness, test of, 80

advice by officials, 132-134

Due Diligence — Continued

relationship to reasonable mistake of fact, 269

Economic Necessity

defences, 94-100, 300-301

Employees

admissibility of statements by corporate

basis for, 359 *Charter* implication, 361 generally, 358-363 independent proof of authority, 360 prerequisites for, 359-360 procedural requirements for, 362-363 voluntariness, 361 defence, whether provided, 252-257 error, 247-260 foreseeability, extent of, 257-259 misconduct, 247-260

Efforts

demonstration of, 136-138

Emergency Preparedness preventive systems and, 198-199

Entrapment defences, 310-313

Entry powers of, 16-17

Equipment

adequacy of, 117-122 maintenance, proper, 120-122 repair, proper, 120-122 replacement, proper, 120-122

Error — *see also* Mistake of Fact employee, by, 247-260

Estoppel issue, 307-310

Evidence

admissibility of employee/agent statements, 358-363 due diligence, of, 323-340 fact, question of, 337-340 impossibility, 297-298 issue estoppel, 307-308 law, question of, 337-340 mistaken characterization, 327-330 necessity, 297-298 preventive systems, of, 325-327 privilege generally, 331-337 litigation, 335-336 onus, 336-337 solicitor-client, 332-335 similar fact, 327-330 timing of, 323-325

Experience

due diligence and, 105-111 enhancement of, 189-190 previous, 105-111 preventive systems and, 189-190 similarity of, 109-110

Foreseeability

employee error/misconduct, 257-259 extent of, 257-259 foreseeable occurrences, examples of, 73 generally, 71-74 principles, fundamental, 71-72 unforeseeable occurrences, examples of, 73-74 what is, 73

Government — see also Officials

interference, 134 party, as, *see* Parties publications, 139-141

Guidelines

compliance with, 138-143

Hazard

identification, 198-199

History of Regulatory Offences

19th century, 3-4 1930s, 4 1940s, 4-5 1960s, 5 1970, 5-6 1971-1977, 6-8 1978, 8-9 ancient history, 2-3

History of Regulatory Offences — Continued Australia, in, 4-5 generally, 2-9

Identification Theory corporate liability and, 342-344, 350-351

Ignorance — *see also* Knowledge law, of, 281-284

Impossibility defences, 295-301 evidence, 297-298

Industry publications, 141-143 standards, compliance with, 113-117

Insolvency Practitioners parties, as, 238-239

Inspections enhancements, to, 190-191 powers re, 16-17 preventive systems and, 180-184 results, 191

Instructions preventive systems and appropriate, 165 clear, 163-164 generally, 162-166 ongoing, 165-166 precise, 163-164 specific to the task, 164

Interpretation rules of statutory, 20-22

Issue Estoppel defences, 308-310 evidence, 307-308

written, 166

Knowledge due diligence and, 105-111 offence, as element of, 281 Landlords parties, as, 235-238

Lenders parties, as, 238-239

Liability

control, *see* Control corporate, *see* Corporations employees, *see* Employees parties, *see* Parties

Licences validity of, 289

Litigation Privilege generally, 335-336

Maintenance proper, 120-122

Mens Rea Offences — *see* Corporations; Strict Liability Offences

Misconduct employee, by, 247-260

Mistake of Fact colour of right, statutory exception for, 282-283 criminal context, 261-262, 269-270 due diligence and, 116-117 generally, 261-284 ignorance of the law as excuse, 281-284 "invincible", 281-282 knowledge of law as element of offence, 281 mistake of law distinguished criminal context, 269-270 generally, 269-274 regulatory context, 271 officially induced, 274-280 regulatory context due diligence distinguished, 269 fact-based belief vs. prospective guess, 267 generally, 262-269, 271 honest, objectively, 263-264 honest, subjectively, 263 inquiry, reasonable, 264-266 negating mistakes, 268-269

Mistake of Fact — Continued

regulatory context — *Continued* reasonable grounds for mistake , 263-264 relevance of mistake, 266-267 risk, mistakes re degree of, 267-268

Mistake of Law

mistake of fact distinguished criminal context, 269-270 generally, 269-274 regulatory context, 271

Monitoring

preventive systems and compliance checks, 178 correction of deficiencies, 184-188 generally, 177-188 inspection, 180-184 supervision, 178-180

Municipalities

parties, as, 244-245

Negligence as a basis for penal liability, 227-228

Necessity

defences, 295-301 economic, 300-301 evidence, 297-298

Notice

earlier incidents, 112-113

Null Alternative — *see* Availability of Alternatives: null alternative

Officers

parties, as, 228-233

Officials

actions by, 129-134 advice by, 132-134 directions from, 132-134 inaction by, 130-132 mistake of fact induced by, 274-280 parties, as, 241-243

Officially Induced Error — see Mistake of Law

Orders — see also Administrative Orders/Instruments validity of, 286-289

Parties

classes of consultants, 239-240 Crown, the, 243-244 directors, corporate, 228-233 employees, see Employees generally, 228-240 government officials, 241-243 insolvency practitioners, 238-239 landlords, 235-238 lenders, 238-239 municipalities, 244-245 officers, corporate, 228-233 purchasers, 238-239 shareholders, 233-234 liability under Criminal Code, 223-227 liability under provincial offences legislation. 223-227

Penalties

administrative monetary absolute liability and, 379-380 benefit of, 369-370 challenging, 374 double jeopardy, 377 investigate, capacity to, 380-381 language, misuse of, 377-378 problems with, 374-380 use of generally, 367 due diligence, availability of, 370-373 generally, 366-382 purpose of, 368-369 what are, 367-368

Permit

meaning of, 34

Permits validity of, 289

Preventive Systems

Canadian approach, 199-200 codes, 207-208 communication, 167-170 control, 210-211 due diligence factors and, 104

Preventive Systems — Continued due diligence — Continued relevance to, 201-205 emergency preparedness, 198-199 enhancements to adjustments, on-the-spot, 192-193 appropriate to the trainee, 192 dedication, 189-190 emergency situations, 193 experience, 189-190 generally, 189-208 inspection, 190-191 mock exercises, 193 records/communication of inspection results, 191 role-playing exercises, 193 spot checks, random/surprise, 190-191 supervision, 189-190 training, 191-193 written materials/procedures, 191-192 evidence, 325-327 hazard identification, 198-199 implementation of, 159-162 instruction appropriate, 165 clear, 163-164 generally, 162-166 ongoing, 165-166 precise, 163-164 specific to the task, 164 written, 166 legislative requirements, 207-208 monitoring the operation of compliance checks, 178 correction of deficiencies, 184-188 generally, 177-188 inspection, 180-184 supervision, 178-180 risk management, 198-199 standards, 206-207 training clear rules, based on, 173 competency of instructors/trainers, 174 generally, 170-176 ongoing process, 173-174

multi-faceted approach, 174-176 specific to the task, 173

Privilege

generally, 331-337 litigation, 335-336 onus, 336-337 solicitor-client, 332-335

Purchasers

parties, as, 238-239

Reasonable Care

after the fact, steps taken, 58-59 "all", significance of, 49-52 due diligence, conduct relating to, *see* Due Diligence general conduct, 56-58 generally, 47-62 mistake of fact, *see* Mistake of Fact onus of proof, 59-62 positive steps, requirement of, 52-55 specific conduct, 56-58 standard of proof, 59-62 variable standard, as a, 48-49 where no steps taken, 54-55

Reasonableness, Test of

due diligence and, 80

Regulatory Offences

19th century, 3-4 1930s, 4 1940s. 4-5 1960s, 5 1970, 5-6 1971-1977, 6-8 1978, 8-9 absolute liability, see Absolute Liability Offences ancient history, 2-3 application of criminal law concepts, 16 Australia, in, 4-5 categories, 27, 45 Charter and, 16-17 civil processes, concomitant, 19 common law defences, 22-23 consequences of unique character of, 14-19 crimes distinguished, 25-26

Regulatory Offences — Continued criminal law process, use of, 10-11 entry, powers of, 16-17 factors not unique to, 20-23 fundamentally important values, 11-12 inspection, powers of, 16-17 interpretation, rules of statutory, 20-22 history of, 2-9 mens rea requirement, 15-16, 31-35 nature of, 9-14 non-criminal, unlawful conduct, addressing, 9-10 onus shifts to defendant, 16 protective purpose, 11 proof of offence committed, 16 release of information, compelling, 16-17 remedies, available, 19 self-regulation, 17-18 self-reporting, 17-18 strict liability offences, see Strict Liability Offences presumption of, 28 voluntary participation, 12-14

Response

speed of, 136-138

Risk Management preventive systems and, 198-199

Sabotage due diligence factor, 134-135

Self-Regulation regulatory offences, 17-18

Self-Reporting regulatory offences, 17-18

Shareholders parties, as, 233-234

Skill Level decrease in, 81 due diligence factor, 77-79, 81-84 increase in, 81 justifying lower, 82 Similar Fact Evidence generally, 327-330

Solicitor-Client Privilege generally, 332-335

Speed of Response due diligence factor, 136-138

Staffing Levels due diligence factor, 136-138

Standard of Care raising, 106-109

Standard of Proof reasonable care, 59-62

Statutory Interpretation — see Interpretation

Strict Liability Offences — *see also* Due Diligence; Reasonable Care

absolute liability offences distinguished, 37-44 *Charter* and, 31 corporate liability, 348 *mens rea* distinguished, 31-35 presumptions, 28

Supervision

enhancements to, 189-190 preventive systems and, 178-180

Technology — *see also* Equipment adequacy of, 117-122

Ticketing

generally, 365-366

Training

enhancements to, 191-193 preventive systems and clear rules, based on, 173 competency of instructors/trainers, 174 generally, 170-176 ongoing process, 173-174 multi-faceted approach, 174-176 specific to the task, 173

Vandalism due diligence factor, 134-135

Voluntariness

admissibility statements by agents/ employees, 361 participation, 12-14

Warnings

as a factor in due diligence, 105-106, 111

"Westray" Amendments (Criminal Code)

corporate liability and, 344-347