



National Telecommunications Regulatory Commission

SAINT LUCIA



ANNUAL REPORT

FOR THE PERIOD
October 2010 to September 2011


October 31, 2011




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ABBREVIATIONS AND ACRONYMS

Act Commission	Telecommunications Act, Saint Lucia, No. 27 of 2000 Saint Lucia National Telecommunications Regulatory Commission
CTU	Caribbean Telecommunications Union
ECTEL ECTEL Member States ECTEL Treaty	Eastern Caribbean Telecommunications Authority Dominica, Saint Lucia, St. Vincent & the Grenadines, Grenada St. Kitts & Nevis, Treaty Establishing the Eastern Caribbean Telecommunications Authority
ITU	International Telecommunications Union
Minister MMS NTRCs	Minister with responsibility for Telecommunications Mobile Monitoring Station National Telecommunications Regulatory Commissions in the ECTEL Member States
OECS	Organisation of Eastern Caribbean States
TICT	Telecommunications and Information Communications Technologies
Treaty	Treaty Establishing the Eastern Caribbean Telecommunications Authority
USF	Universal Service Fund
USFO	Universal Service Fund Office
ENUM	E-Numeration
ICT	Information Communications Technologies
NANP	North America Numbering Plan
HIPCAR	Harmonization of ICT Policies Legislation and Regulation Procedures in the Caribbean
DRR	Disaster Risk Reduction
BAC	Budget Advisory Committee
CARIBNOG	Caribbean Network Group
VOIP	Voice Over Internet Protocol
SLASPA	Saint Lucia Air and Sea Port Authority
GOSL	Government of Saint Lucia

EXECUTIVE SUMMARY

During the course of the last fiscal year 2010/2011, the Commission underwent several changes. The most significant of which was the composition of The Commission and the relocation of The Commission's office. With the change of Commissioners, some important decisions were taken as it pertained to human resource development, enforcement and public education. This was to build capacity and improve the effectiveness of the Commission as a regulator.

In order to enable the commission to effectively execute its mandate, the Commission decided to focus on areas which had not been given much attention in the past. These operational areas included, policing, regulating and monitoring developments in the sector, and to ensure that all operators complied with regulations and the terms of their licenses and frequency authorizations. Additionally, special emphasis was placed on addressing long outstanding matters.

Despite these initiatives, the work of the Commission was hampered by staff turnover at critical times during the programme year.

The establishment and operationalization (of the Universal Service Fund office took place during the year, with the recruitment and appointment of two members of staff. For the first few months, the staff focused on the development of the procedures manuals that would guide the operations of the Universal Service Fund Office

During the reporting period the telecommunications sector generated estimated revenue of EC\$ 242 million, with mobile services accounting for more than half of the total revenue. According to figures from ECTEL, this accounted for approximately 12 % of Saint Lucia's Gross Domestic Product.

The data collected indicates that the Fixed Line Telephone services continue a steady decline in subscribers and revenue. The number of fixed line subscribers is estimated to be slightly less than 38,000 and based on the data from the 2010 Preliminary Census Report, approximately forty-two percent (42%) of households have access to a fixed line telephone.

The mobile service market penetration rate is above 115% or one hundred and fifteen percent and based on the 2010 Preliminary Census Report, this accounts for approximately 85 percent of households with access to a mobile telephone.

1

NATIONAL TELECOMMUNICATIONS REGULATORY COMMISSION

1.1 Constitution of the Commission

The National Telecommunications Regulatory Commission saw the appointment of the following Commissioners for the three (3) year term October 22, 2007 to October 21, 2010.

Ms. Elma Gene Isaac
Ms. Tracy Polius
Mr. Nigel George
Mr. Micha Landers

Commissioner Issac resigned on the 4th day of January, 2011 and the following commissioners were re-appointed. Commissioner Landers was not reappointed.

Ms. Tracy Polius
Mr. Nigel George

Commissioner Gerry George was appointed on the 14th day of March 2011 for a three (3) year term ending on the 13th day of March 2014.

Commissioner Roderick Cherry was appointed on the 17th day of March 2011 for a three (3) year term ending on the 17th day of March 2014.

The Commissioners of the National Telecommunications Regulatory Commission as of September 2011 were:

Ms. Tracy Polius
Mr. Nigel George
Mr. Roderick Cherry
Mr. Gerry George

1.2 Diary of Key Events

A Diary of Key Events during the period October 2010 to September 2011 has been presented below. However, a summary of the most significant events is presented below.

- The NTRC relocated its offices from Chisel Street, Castries, to Rajana Group of Companies Building, Bois D'Orange, Gros-Islet in April 2011.
- NTRC hosted its follow up workshop entitled "Workshop on Offences under the Telecommunications Act (No. 27 of 2000)" on September 16, 2011.

2

THE SECRETARIAT

During this reporting period, the organisational structure of the Secretariat changed, the job title of the Coordinator was changed to Director/Secretary and the Secretariat contracted the services of the former Legal Officer/Secretary as the Commission’s Legal Consultant.

The job title of Manager of Technical Services and Technical Assistant were changed to Senior Technical Officer and Technical Officer respectively. A new Universal Service Fund Administrator was appointed. Two new positions, of Universal Service Fund Administrative Assistant and the Office Attendant/Assistant were created.

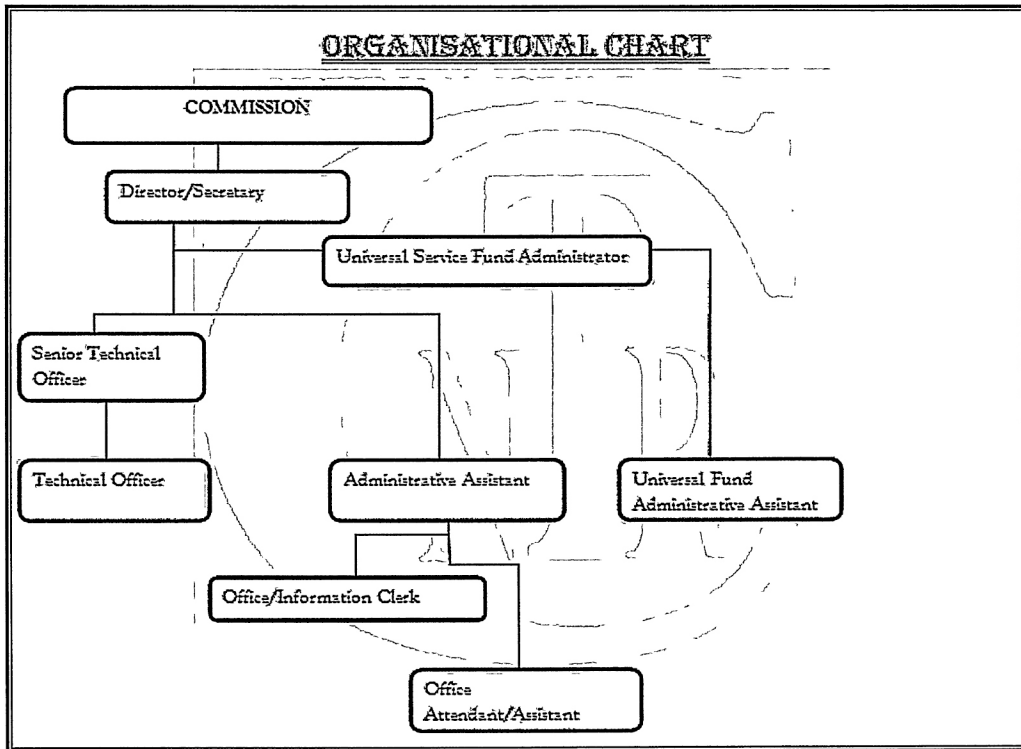


Figure 2.1: Organisational Structure for the National Telecommunications Regulatory Commission

2.1 Appointments

2.1.1 Position of Director/Secretary

Mrs. Shana Willie-Matoorah was selected and accepted the offer of employment with the Commission effective January 17, 2011.

2.1.2 Position of Office/Information Clerk

The position of Office/Information Clerk was advertised in the local newspapers, and interviews were held with candidates short-listed. Ms. Natoya Cassius was selected and accepted the offer of employment with the Commission effective October 1, 2010.

2.1.3 Position of Senior Technical Officer

The job title Manager of Technical Services was changed to Senior Technical Officer. During this period the Senior Technical Officer was reassigned to Universal Service Fund Administrator position resulting in the post being vacant. It was advertised in the local newspapers, and interviews were held with short-listed candidates. Mr. Alden St. Clair was selected and accepted the offer of employment with the Commission. He began his tenure effective July 20, 2011.

2.1.4 Position of Technical Officer

The job title Technical Assistant was changed to Technical Officer. The position of Technical Officer became vacant when the officer resigned from the post on August 1, 2011. The position was advertised in the local newspapers, and interviews were held with short-listed candidates. Interviews were set for the next financial period.

2.1.5 Position of Universal Service Fund Administrator

The Commission advertised the position in the local newspapers, and interviews were held with short-listed candidates. Mr. Alvin Augustin accepted the position of Universal Service Fund Administrator.

2.1.6 Position of Universal Service Fund Administrative Assistant

With the creation of the new Universal Service Fund Administrative Assistant position, the Commission advertised the position in the local newspapers, and interviews were held with candidates short-listed. Ms. Sharon Minvielle was appointed to the position effective July 1, 2011.

2.1.7 Position of Office Assistant

With the creation of the new Office Attendant/Assistant position, the Commission renewed the contract of Ms. Julina Henry effective June 1, 2011.

2.2 Training & Professional Development

Training	Attendees	Date
Ministry of External Affairs Consultation Seminar -review of the OECS Laws and Regulations in the context of the Implementation of the Economic Partnership Agreement	Shana Willie-Matoorah Fabian Lewis	January 20, 21 2011
Consultative Workshop on Draft Regional Digital Developmental Strategy	Fabian Lewis Joanita Alexander	February 2, 2011
8 th Ministerial Strategic ICT Seminar	Commissioner Tracy Polius	February 8 – 9 2011
ENUM Seminar-ENUM deployment in the NANP	Fabian Lewis	February 10 – 11, 2011
Electronic Communications Bill	NTRC Staff	March 1, 2011
HIPCAR Project Phase II Workshop	Fabian Lewis	March 23, 2011
Interception of Data Bill Workshop	Fabian Lewis	April 5, 2011
NTRC/ECTEL Forum	Commissioner Nigel George, Alvin Augustin	May 11, 2011
World Telecommunications and Information Society Day 2011	Alvin Augustin and Commissioner Gerry George who also delivered the remarks on behalf of NTRC	May 17, 2011
DRR Leadership and Strategic Planning Course	Fabian Lewis	May 23-272011
HIPCAR Project Phase II, Licensing, Interconnection and Universal Service	Commissioner Gerry George Alvin Augustin	June 28, 2011
ECTEL's 56 th Meeting of Board of Directors	Commissioner Cherry Fabian Lewis	June 30, 2011
HIPCAR Project Licensing, Interconnection and Universal Service follow up training	Commissioner Gerry George and Alvin Augustin	July 12, 2011
Dispute Resolution	Shana Willie-Matoorah	August 8-9 2011
Disaster Preparedness, First Aid and CPR	All Staff	August 9, 2011 and Wednesday August 10, 2011
Basic training from NTRC St Vincent on the operation of the Analyzer and also how to conduct a monitoring exercise.	Alden St Clair	August 15-19, 2011
Budget Advisory Committee (BAC) Meeting	Shana Willie-Matoorah Commissioner Roderick Cherry	August 19, 2011
51 st Council Meeting and 9 th Annual Forum of the Commonwealth Telecommunications Organisation (Trinidad & Tobago)	Commissioner Polius	September 12-16 2011
CARIBNOG Workshop	Commissioner Gerry George Alden St. Clair	September 19-22 2011
Workshop on Offences Under the Telecommunications' Act 2000	Commissioners, Staff and other invitees	September 16, 2011

3

Financial Review

In this chapter, the accounts for the National Telecommunications Regulatory Commission, for the period October 1st, 2010 to September 30th, 2011, are presented and discussed. The discussion is supported by the Auditor's Financial Report, which has been included.

3.1 Summary of Income Inflows and Usage

For the period October 1st, 2010 to September 30th, 2011, ECTEL disbursed EC\$ 742, 500.00 to meet the Commission's operating budget. The surplus was carried over into the next financial year to finance special programmes and initiatives that had been planned for implementation during the reporting period but which did not take place.

3.2 Financial Audit Report

The Financial Audit Report prepared by an independent auditor, Mr. Mario Lendor is attached to this report as **Appendix A**.

Telecommunications Licences, Certification & Registration

4.1 Telecommunications Licence Update

Pursuant to sub-section. 14(7) of the Act, the Commission prepared for publication in the Saint Lucia Government Gazette a list of the ***Telecommunications Licences that have been Issued, Modified, Renewed or Revoked in Saint Lucia***, as of September 30th, 2011. A copy of the list submitted for publication has been provided as **Appendix B**.

The commission wishes to highlight the discrepancy between the number of licences issued during the period under review (60) and the number of recommendations forwarded to the Minister of Telecommunications (72). It is unclear as to the status of the licences that make up the difference. Table 4.1 provides an update

- the number of licence applications that the Commission received, for the period under review,
- the number of those applications (by date of receipt) for which positive recommendations were submitted to the Minister, and
- the number of licences that the Commission has on record as having been issued by the Minister, within a stated year.

	October 2010 to September 2011
No. of Licence Applications Received by the Commission	77
No. of Application Closed with Positive Recommendations	72
No. of Licences Granted by the Minister	72

October 2010 to September 2011

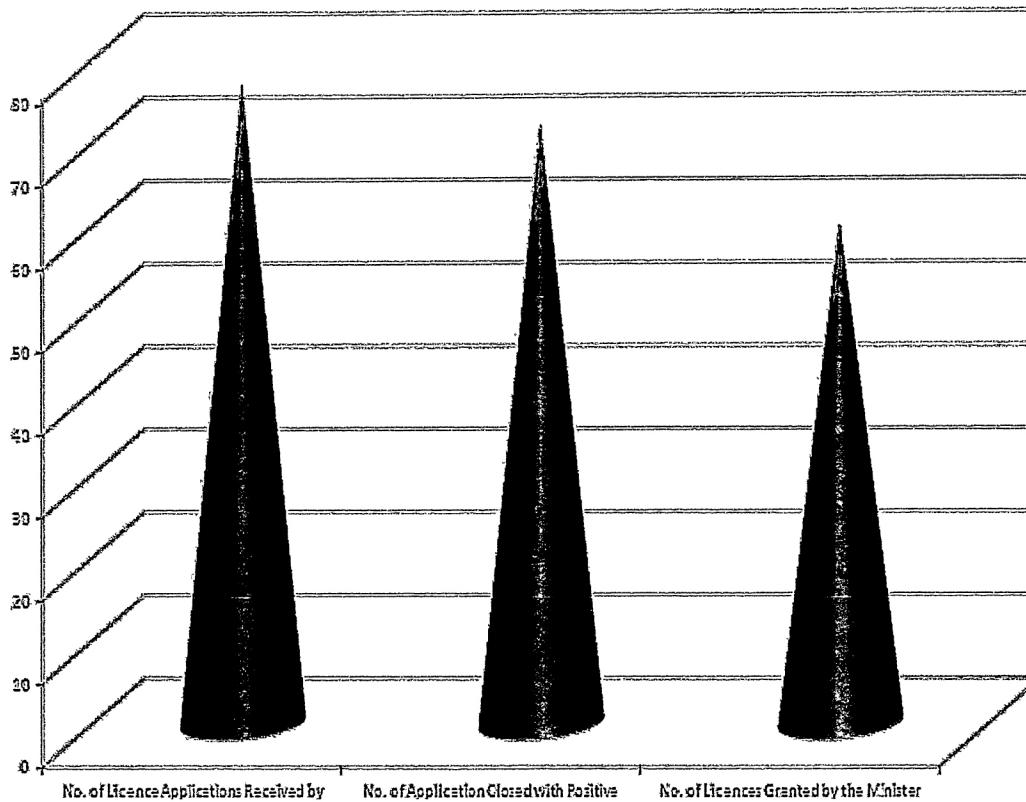


Table 4.1: Status of Telecommunications Licence Applications Received and Processed through the Commission for the period October 2010 to September 2011

4.2 Closure of Longstanding Open Telecommunications Applications

Further communication was received from ECTEL on the matter of the status of applications forwarded to them for review and recommendation. The exercise is still ongoing.

5

TELECOMMUNICATIONS FEES

For the period October 2010 to September 2011, the following amounts in telecommunications fees were collected by the Government of Saint Lucia and by ECTEL in Saint Lucia.

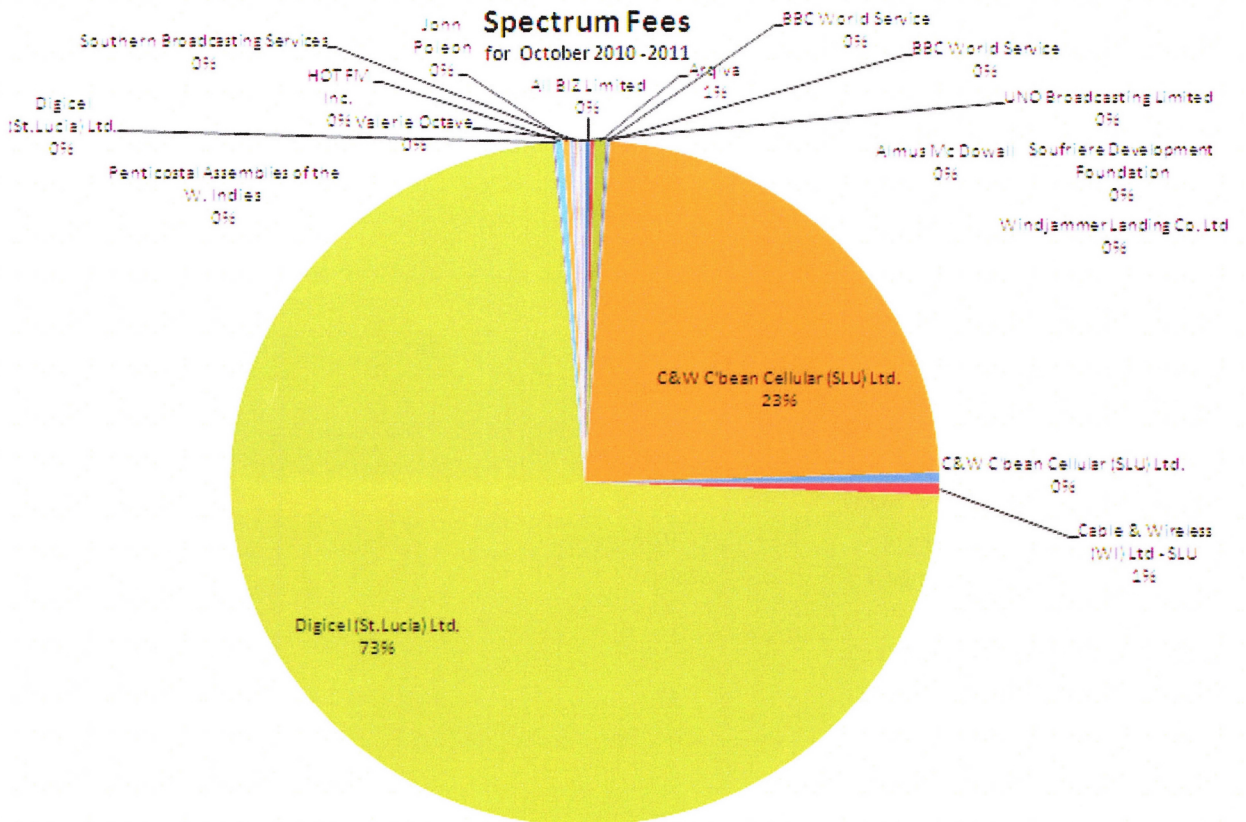
Licence Fees (GOSL)		EC\$ 7,249,702.95
Spectrum Fees (ECTEL)		EC\$ 2,222,476.39
TOTAL		EC\$ 9,472,179.34

5.1 Telecommunications Licence Fees

The telecommunications licence fees collected by the Inland Revenue Department (IRD) for 2010/2011 increased from the last period by (EC\$ 349,883.95).

5.2 Frequency Authorisation (Spectrum) Fees

The Commission relies on Spectrum Fees as the main source of revenue for its day to day operation. It is the Commission's responsibility to demand outstanding arrears from the providers. These demands are being made by way of letters to these providers who are in arrears. As indicated by ECTEL, despite the Commission's best efforts at recovering those arrears, there have been minimal success. The Commission will continue these efforts during the year 2011/2012.



PROVIDERS PAYMENT FOR THE PERIOD 2010/2011

Provider	Amt paid
All BIZ Limited	4,250.00
Almus Mc Dowall	4,500.00
Arqiva	12,000.00
BBC World Service	2,000.00
BBC World Service	2,000.00
C&W C'bean Cellular (SLU) Ltd.	520,000.00
C&W C'bean Cellular (SLU) Ltd.	11,000.00
Cable & Wireless (WI) Ltd - SLU	12,000.00
Digicel (St.Lucia) Ltd.	1,622,000.00
Digicel (St.Lucia) Ltd.	2,000.00
HOT FM Inc.	8,250.00
John Poleon	6,250.00
Penticostal Assemblies of the W. Indies	4,750.00
Southern Broadcasting Services	2,250.00
Soufriere Development Foundation	2,250.00
UNO Broadcasting Limited	4,126.39
Valerie Octave	2,250.00
Windjammer Landing Co. Ltd	600.00

2,222,476.39

Initial information was provided by ECTEL and produced by the Commission. Some Providers did not make their payments for 2010/2011. However, some of those payments were paid later in the year. Those payments will be recorded in the statements for the period 2011/2012.

6

OTHER SECTOR ISSUES

ECTEL's 10th Anniversary Celebrations

The Eastern Caribbean Telecommunications Authority (ECTEL) celebrated its tenth anniversary of operation and it recognized persons who have made an indelible contribution to the telecommunications liberalisation process in its Member States.

Service/Resource Applications from Providers

Providers	Services
Cable & Wireless (LIME)	LIME's February Promotion, LIME's Broadband Application for use of Vertical Service Codes, LIME' Broadband-Summer Promotion, Notice of Service Charges for repairs of Customers Internal Wiring faults, LIME's Broadband Service Plans-Variation in Service, LIME's April Broadband Promotion, LIME's EAM, LIME's Enhanced Allocation Model, LIME's Summer Laptop and Broadband Promotion, LIME's Virtual Office Service
Digicel (St. Lucia)	Application for Block Short Codes: 130-139, Status of Digicel's Application for Additional COC, Digicel's Application for Additional Central Office Code Assignment - 725, Digicel Application for New Number Ranges 726 & 727,

COMPLAINTS

1. **AGAINST SERVICE PROVIDERS**

The Commission received no complaints against providers. This may be interpreted as lack of awareness in the market of the role and functions of the NTRC. However, this has not been confirmed. The Commission will continue with its Public awareness, education and sensitization programmes as part of its ongoing work plan in the upcoming financial year.

2. **RADIO FREQUENCY COMPLAINTS**

Interference and Monitoring

Radio Frequency Atlantique

The Technical Unit inherited a complaint from Radio Frequence Atlantique located in Martinique of tv St. Lucian radio stations interfering with their regular broadcast. The complaint involved The Wave, operating on 93.5MHz and Kiss FM operating on 105.9MHz. Both stations were contacted and presented their technical parameters for their equipment. An analysis of the spectrum and a monitoring exercise was conducted and the said stations were found to be operating within the provisions of their license. This occurrence is not the first and was forwarded to ECTEL for further technical analysis.

In House Monitoring of Radio Frequency Spectrum

The Technical Unit is embarking on an in house Radio frequency spectrum monitoring system. The previous Technical Officer identified an antenna for the monitoring system that would allow that Technical Unit to analyze the Radio Frequency Spectrum without leaving the office using equipment specific for that purpose. The present Technical Unit is researching the best possible hardware and software to effectively accomplish this task.

Weekly Radio Frequencies Monitoring Exercises

Technical Unit is in the process of developing a monitoring system. This would be part of the Commission's enforcement drive.

2010/2011 WORK PROGRAMME

A review of the Commission's Work Programme for 2010/2011 shows continuing progress in most of the projects outlined for the year. The projects undertaken were in addition to the day-to-day and substantive work of the organisation. (Appendix E)

Over the past six (6) years the Secretariat to the National Telecommunications Regulatory Commission (the Commission) has created a work plan designed to identify specific tasks with their scheduled completion date. These assigned tasks are based on the job description contained in employees' contract. The plan is updated monthly.

During the initial period of implementation of the work plan's, the Secretariat focused on the development of policy to provide a foundation for achieving the objective of the Commission as a Telecommunications Regulator. Consequently, policy documents such as Sector Procedures Manual, Internal Procedure Manuals, Frameworks, Standards and Guidance Notes were developed.

The Commission believes that greater emphasis should be placed on the regulation of this sector and thus, the work plan for 2010/2011 focused on enforcement, human resource development and edification of members of the public and other stakeholders on the work of the Commission.

MAIN FOCUS OF WORKPLAN

1. Enforcement

(a) Technical enforcement of Radio Frequency Spectrum

The Technical Unit would be focusing on the development of a monitoring plan which involves the technical unit working in the field to monitor the operations of Licensee/Frequency Authorization Holders/Registrants. In cases where persons are operating without the requisite License/Authorization/Registration, the technical unit should provide basic information on compliance and reference this information using the Telecommunications Act.

(b) Administrative enforcement

In collaboration with the Technical Unit the duties of the Administrative Unit would encompass the preparation of the necessary documents to communicate with actual and prospective licensees/Frequency Authorisation Holders/Registrants. After a decision from the Commission, the Administrative Unit will be expected to send:

- (i) a letter informing or reminding the applicants to renew Licenses/ Authorization and Registration and grant two (2) week grace period for compliance;
- (ii) failing receipt of an application or payment a second letter will be transmitted after the initial two (2) week period;
- (iii) failing which a letter will be forwarded to the Minister and/or the Director of Public Prosecution's office recommending action be taken as provided by the Telecommunications Act.

Spectrum Fees Collection

- (i) a letter is sent with an invoice attached informing or reminding of payment for their application with a two (2) week grace period for compliance;
- (ii) failing receipt of payment a second letter will be transmitted after the initial two (2) week period;
- (iii) failing which a letter will be forwarded to the Minister and/or the Director of Public Prosecution's office recommending action be taken as provided by the Telecommunications Act.

Numbering Fees Collection

- (i) a letter informing or reminding of applying or renewing their application with a two (2) week grace period for compliance;
- (ii) failing receipt of an application or payment a second reminder letter will be transmitted after the initial two (2) week period;
- (iii) failing which a letter will be forwarded to the Minister and/or the Director of Public Prosecution's office recommending action be taken as provided by the Telecommunications Act.

2. Human Resource Development

The Commission firmly believes that for its Commissioners and Staff Members to undertake their duties effectively, it is imperative that there be opportunities for training/development.

In this regard, Commissioners and staff members will be participating in training programmes/ courses at a national/regional and international level. Some of the programmes and their costs that the Commission wishes to participate are hereto attached.

3. Public Education Drive/Campaign

Public Education

The Commission is currently in the process of organising Town Hall meetings throughout the island and engaged Mr. Bernard Fanis of All-Biz Limited to assist. He is in the process of preparing an infomercial which will form part of the Public Education drive. The Commission has been working on refurbishing its website to ensure that its content remains current, to provide preeminent and updated information to the public. The education campaign also focuses on enlightening the St. Lucian public on the other requirements and provisions of the Telecommunications Act. The first phase was the hosting of a workshop which was entitled "Offences under the Telecommunications Act". The second phase of the workshop was held at the office of the Commission on September 16, 2011.

The Secretariat commenced its public sensitization campaign from about 2008 and has implemented this initiative in phases.

Phase 1 involved the acquisition of uniforms bearing the NTRC Logo for staff members

Phase 2 involves the airing of the 5 minute infomercial/broadcast and monthly publication of articles in a national newspaper.

- (a) To date the Secretariat has met with Mr. Bernard Fanis of All Biz where ideas were discussed for an infomercial for the Commission. There has been exchange of information with Mr. (Fanis) on the script for the infomercial. In house, the Secretariat has to formulate material such as illustrations or enactments to support the infomercial.
- (b) Monthly publication: Upon the post of the Senior Technical Officer being filled, the Secretariat will engage in the further development of specific technical policies for the following: ENUM, Number Portability, VOIP, Spectrum Conservation, the effects of radiation and the treatment of emerging technologies, etc. These policy documents will form the basis of the articles that will be published in national newspapers on a monthly basis.

Phase 3 involves interactions with related agencies and members of the public.

The Secretariat started this phase on August 27, 2010 with the launch a workshop on "*Offences under the Telecommunications Act*" which was held at the Coco Palm Hotel. The Commission has also had meetings with other agencies such as SLASPA, Inland Revenue and the Royal Police Force of Saint Lucia to strengthen its relationship with these agencies and fulfil its obligation under the law. The Secretariat also intends to have a series of follow-up workshops to continue this initiative.

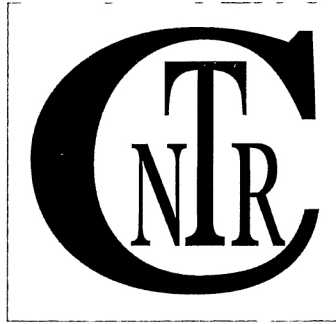
In sensitizing members of the public the Secretariat together with the Commissioners will be involved in a series of Town Hall-style meetings.

4. Establishment of the Universal Service Fund Office

Universal Service Fund

The aim of the Commission is to establish and operationalize the Universal Service Fund Office. The Commission is currently initiating all necessary actions and this includes the establishment of sub committees, adhoc committees, the development of operating guidelines and procedures and the preparation of a work plan.

The report on the status of these initiatives and the operations of the Universal Service Fund Office is appended below.



**UNIVERSAL SERVICE FUND ANNUAL
REPORT FOR 2010/2011**

Introduction

The National Telecommunications Regulatory Commission (the Commission) of Saint Lucia was established by the Telecommunications Act [No. 27 of 2000] to efficiently regulate the telecommunications sector in collaboration with the Eastern Caribbean Telecommunications Authority (ECTEL). Pursuant to section 12 of the Telecommunications Act the Commission has the following functions inter alia:

- Advise the Minister on the formulation of national policy on telecommunications matters;
- Ensure compliance with the Government's international obligations on telecommunications;
- Be responsible for technical regulation and the setting of technical standards of telecommunications and ensure compatibility with international standards;
- Plan, supervise, regulate and manage the use of radio frequency spectrum in conjunction with ECTEL;
- Regulate the prices for telecommunications services;
- Advise the Minister in all matters related to tariffs for telecommunications service(s);
- Receive and review applications for licenses and advise the Minister accordingly;
- Monitor and ensure that licensees comply with the conditions attached to their licenses;
- Manage the universal service fund.

Universal Service Fund

The Universal Service Fund (USF) was established under section 43 of the Telecommunications Act and the National Telecommunications Regulatory Commission (NTRC) is charged with the management of the USF. One of the main objectives of the USF is to ensure the reasonable availability and affordability of basic and advanced Telecommunications services to communities and population groups which are not served or underserved. Universal Service includes the provision of

- Public voice telephony (fixed line and mobile voice telephone services);
- Internet Access;
- Telecommunications services to schools, hospitals and similar institutions, and the disabled and physically challenged; or
- Other services by which people can access efficient, affordable and modern telecommunications services.

The USF was established to compensate any telecommunications provider who is required to provide or to promote Universal Service. In these circumstances, where a telecommunications provider may not find it economically viable to make services available to certain communities due to the small population size relative to infrastructure costs associated with the provision of such services, the USF acts to 'bridge' these gaps. Generally, USF seeks to deploy telecommunications services to the communities through the implementation sustainable telecommunications projects with a view to facilitate the socio economic advancement of underserved communities.

Pursuant to the Telecommunications (Universal Service Fund) Regulations, the USF shall provide financial support to projects that address one or more of the following objectives:

- i. encourage efficient access to and use of telecommunications networks and services throughout Saint Lucia, with special focus on rural, under served and maritime areas, with a goal to help promote social, educational and economic development;
- ii. ensure the reasonable availability and affordability of basic and advanced telecommunications services, including voice telephony and Internet access, as well as broadband connectivity at the community, household and individual levels, particularly where the commercial telecommunications market may be unable to deliver such services in a financially viable manner independently, as well as to the physically challenged, elderly, and indigent communities;
- iii. provide support for the introduction and expansion of telecommunications services to schools, health facilities and other organizations serving public needs;
- iv. promote technological innovation in the telecommunications sector.

During the period 2010 to 2011 the Commission continued its efforts to establish its Universal Service Fund Office and develop its procedural frameworks for the effective management of the USF. The Commission in order to fulfil its mandate to promote Universal Service undertook the following initiatives:

- Appointed a Fund Administrator and Fund Administrative Assistant;
- Developed key reporting documents for telecommunications providers;
- Consult with various stakeholders including governmental and non-governmental agencies in an effort to lay the foundation necessary to implement and fund projects;
- Initiated a nationwide survey of the Telecommunications and Information Communications Technology sectors and
- Participated in an extensive radio and television campaign to raise public awareness of its survey and Universal Service.

Within this reporting period, there were numerous challenges faced by the Universal Service Fund among these were:

- Staffing issues related to the post of the USF Administrator;
- Very limited data on the telecommunications and ICT sector especially at the community level, which was required for decision making;
- The limited availability of established best practices to compare and follow in an attempt to effectively implement the USF in Saint Lucia.

Notwithstanding the above mentioned, the Commission continued to make strides towards its goal of implementing USF projects. The steps taken thus far were mostly preparatory and of a technical nature. However these were absolutely necessary in ensuring that the USF is able to meet its mandate. Among these was a detailed analysis and assessment of telecommunications market. This was imperative in identifying the gaps which exists within the telecommunications sector and by extension, service availability. It is envisioned that the Universal Service Fund would target the unserved and underserved areas for deployment of telecommunications and ICT services through the implementation of sustainable projects. The USF collected EC\$ 1.79 million in 2010 to 2011 through contributions by licensed telecommunications providers and at the end of the financial year, the Fund stood at EC\$ 2.83 million.

Status of Telecommunications Sector in Saint Lucia

The telecommunications sector generated estimated revenue of EC\$ 242 million, with mobile services accounting for more than half of the total revenue. According to figures from ECTEL this accounted for approximately 12 % to Saint Lucia's Gross Domestic Product.

Voice Telephony Fixed Line Telephone Services

The data collected indicates that the Fixed Line Telephone services continue a steady decline in subscribers and revenue. The number of fixed line subscribers is estimated to be slightly less than 38,000 and based on the data from the 2010 Preliminary Census Report approximately forty two percent (42%) of household have access to a fixed line telephone. It is widely subscribed view that in relation to voice telephony that the mobile telephone is being used as a substitute for the fixed telephone, mostly because mobile service coverage is almost universal throughout the island and because of the personal convenience of the mobile telephone. This may explain where the fixed line telephone sector continues its decline over the past few years.

Voice Telephony Mobile Telephone Services

The mobile service market penetration rate is above 115 percent and based on the 2010

Preliminary Census Report approximately 85 percent of household have access to a mobile telephone. However, while it is encouraging that the mobile penetration rates are high and access to a mobile telephone by household is almost universal, it is important to consider that there are still persons in Saint Lucia without access to voice telephony. As a target area for the USF, access to voice telephony (fixed line and mobile services) is a priority area and ensuring affordable access to this service is one of its objectives.

Internet Services

With rapid advances in telecommunications and information communication technology, the Internet will play a greater role in the way in which we communicate and conduct business, therefore another target area of the USF is to facilitate affordable access to broadband Internet service. Internet service has seen steady growth within recent years but its penetration rates continue to significantly trail behind other services. The number of internet subscribers is estimated to be 20,000; Internet penetration rate is about 12 percent and approximately 26 percent of the households have access to internet service. Increasing access to Internet and broadband services is one of the priority areas of the USF and the Commission is formulating approaches to further increase availability to broadband services.

Universal Service Fund Office

Appointments

The Commission appointed Ms. Tracy Healy to the post of USF Administrator in August 2010, however she resigned from the post in September 2010.

To fill the vacancy created by her resignation, the Commission appointed Mr. Alvin Augustin to the position in January 2011.

The Commission decided to create the post of USF Administrative Assistant and appointed Miss Sharon Minvielle to this post in July 2011.

Training/Workshop

Universal Service Fund Workshop – Commonwealth of Dominica

In keeping with the Commission's overall goals for human resource development and capacity building for itself and its staff, a workshop sponsored by ECTEL was attended by Mr. Alvin Augustin. This workshop was geared at assisting the various Commissions of the ECTEL Member States with their implementation of Universal Service. ECTEL facilitated the workshop and it was held in the Roseau, Dominica in November 2010. There were numerous presentations made at the workshop by participants, including the USF Administrators of the various NTRCs, the Universal Service consultant Mr. Edgardo Sepulveda and Mr. Peter Norville, ECTEL's Telecommunications and ICT Project Manager.

12th Annual ECTELNTRC Forum Grenada

In March 2011, Commissioner Nigel George and Mr. Alvin Augustin attended the 12th Annual ECTEL NTRC forum hosted in St. George's, Grenada. A key component of the forum was a status update on the implementation of Universal Service in the ECTEL Member States.

Public Awareness

Public awareness is an important component of the outreach programme of the USF. The Commission in promoting its USF agenda embarked on a number of activities to raise public awareness of the Fund, these included:

- Presentations on 'Bridging the Digital Divide' at the World Telecommunications and Information Society Day;
- Appearances on several television and radio programmes to raise awareness of the Telecommunications and Information Communications Technology survey;
- Meetings with various stakeholders including government and nongovernmental organisations.

Universal Service Fund Accounts

The USF is managed by the Commission in accordance with the Telecommunications (Universal Service Fund) Regulations and Guidelines. The Commission collects and disburses the income of the USF, as well as makes relevant decisions with regards to the proper and effective management of the USF. The Commission manages the account(s) of the USF separately from its accounts.

The USF is funded primarily by the contributions collected from licensed telecommunications providers as mandated in the Telecommunications (Universal Service Fund Contribution) Order. In addition, there are provisions for funds to be made available to the USF via Parliamentary appropriations, or in the form of grants, donations, bequests or other contributions made by individuals or legal entities. It is important to note that the Commission may refuse any bequest, donation, grant or other contribution if the Commission considers it inconsistent with the best interest of the Fund.

The administrative or operating expenses of the USF Office shall not exceed 10% of the annual budget of the Fund. The funds to cover the administrative expenses of the USF are disbursed on a quarterly basis. The administrative expenses of the USF are limited to payments for the following expenditure items:

- Salaries, emoluments, remunerative packages and allowances for Fund Administrator and other staff employed to work on Fund matters;
- Office equipment specifically and directly related to requirements of Fund administration;
- Administrative and operational costs specifically and directly related to requirements of Fund administration;
- Costs of carrying out technical, socioeconomic or demand studies pertinent to the development of the Operating Plan;
- Consultancy or advisory contracts directly related to Fund activities;
- Financial audit costs of the Fund.

Universal Service Fund Contributions

With the promulgation of the Telecommunications (Universal Service Fund Contribution) Order in April 2009, the Commission began collecting funds from licensed telecommunications providers. Most providers have complied with the USF Order, however there have been payment delays attributed to internal processes of some providers. In one case only, a provider has not remitted its contribution and the Commission is doing its utmost to ensure compliance with the USF Order. The USF in the period 2009-2010 collected EC\$1.14 million from licensed telecommunications providers.

From the promulgation of the USF Order to the end of the financial year 2010-2011, the USF has collected approximately EC \$2.93 million and disbursed approximately EC\$ 113,750.

USF Budget

For the period 2010-2011 the Commission approved its annual USF Operating budget to the amount of EC \$147,676. However later in the year, the Commission revised the budget downwards to comply with the 10 percent cap on operating expenses. The figure of EC\$113,750 was approved by the Commission for the period 2010-2011.

In the same period, preparatory work associated with the establishment of the USF Office occupied the Commission's efforts. Among these activities included the following:

- hiring of the necessary staff;
- the development of internal frameworks and procedures for the operation of the USF Office;
- collection of contributions from providers;
- assessment of telecommunications markets;

It is noted that the period 2010-2011 marked the Commission's preparatory stage in establishing the USF Office, and therefore there were no provisions made for a Project Budget for the same period.

Universal Service Activities

World Bank Funded Telecommunications and Information Communications Technology Project

ECTEL received financing from the World Bank towards the cost of the Telecommunications and Information Communications Technology (TICT) Project and it has allocated funds to finance one Pilot Project in each of its Member States. The Pilot Project constitutes the last phase of the universal service component of the TICT Project. Previous phases included the preparation, consultation and finalization of the Telecommunications (Universal Service Fund) Regulations and the Telecommunications Universal Service Guidelines. Due to World Bank funding of the TICT Project component, the process to tender the projects was carried out under the World Bank's procurement procedures. The TICT Project component has up to a maximum of \$500,000 available for a project. Initially the TICT Project component was due to expire at the end of December 2010, however due to multiple factors, the project was extended to the end of 2011.

ECTEL began developing projects with two (2) Member States Commonwealth of Dominica and St. Kitts and Nevis.

ECTEL had decided that the TICT Universal Service project component in its Member States should focus on two (2) types of projects namely:

1. Mobile Cellular Base Station: this would involve base stations and other mobile network components with the view of delivering telecommunications services to geographic areas currently where there is poor mobile signal or none at all.
2. Community Access points (CAPS): this project concept involved the provision of community access telecentres with internet and associated services in rural or underserved geographic locations.

However in Saint Lucia's case, ECTEL took the decision to implement a project to assist persons with disabilities access telecommunications' and ICT.

With the Commission's appointment of a USF Administrator, ECTEL and the Commission began working in earnest. Meetings were held with key stakeholders of 'nationally' recognized agencies representing persons with disabilities. A needs analysis of these agencies was conducted by ECTEL and the Commission and initial list of equipment and software component was established. At the close of the reporting period, efforts were being made to finalize the project proposal.

Survey of Telecommunications and ICT Sectors

The Commission with the assistance of the Central Statistics Office in the Ministry of Finance, initiated a survey to ascertain the levels of access in the telecommunications and ICT sectors. The survey looked to interview approximately 1500 households in over 139 communities throughout Saint Lucia.

The T&ICT survey attempted to capture data on individual and household use of telecommunications and ICT services including but not limited to:

- Fixed Line Voice Telephone Services;
- Mobile Voice Telephone Services;
- Internet Access;
- Access to Public Payphones;
- Computers with Internet Access;

The survey questionnaire was structured in five (5) sections and designed to capture information on the following:

- i. Household characteristics: which examines the composition of the household surveyed e.g. number of persons, ages of persons, T&ICT services available within household;
- ii. Personal Knowledge and use of computer and ICT;
- iii. Voice Telephony looks to capture data on fixed line voice and mobile voice telephone services including availability of the services, expenditure on the various services, number of phones in household, mobile signal coverage, etc.
- iv. Internet Access looks to capture data on Internet Access including availability of the service, type of internet service, where persons access the Internet, etc.
- v. Community Access looks at examining telecommunications and ICT services available at the community level e.g. internet cafes, community internet facilities, payphones. This section also seeks feedback from respondents on telecommunications and ICT issues faced at the community level and possible recommendations to address such issues.

At the end of this operating year, the enumerators had collected the data and the Central Statistics Office was processing the data and it is hoped that early in the next financial year the results of the T&ICT survey will be made available by the Commission.



Conclusion

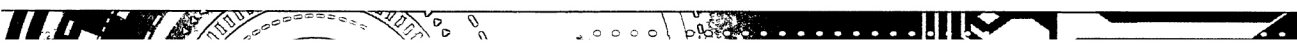
After ten years of existence, it can be said that the Commission is poised to more effectively execute its mandate.

This is primarily because of the foundation that had been laid by the past Commissioners and staff and includes inter alia, development of the procedures, guidelines and manuals that facilitate the functioning of the Commission.

However, the Commission still encounters some obstacles during the execution of its functions, as it is heavily dependent on other agencies that have their own mandate and are not always able to respond within the timeframe that the Commission requires.

Whilst the Commission has had to work with some financial constraints, there is high level of confidence that it will be able to effectively deliver on its mandate well into the future.

The Commission however, would require the unwavering and timely support from the other major element of the regulatory mechanism, ECTEL, if it is to achieve its goal of providing effective regulation of the Telecommunication Sector in St. Lucia.





APPENDIX : A

Financial Audit Report



MARIO LENDOR

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Auditor's Report to the Directors of:

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Report on the Financial Statements

I have audited the financial statements of the National Telecommunication Regulatory Commission which comprise of the Statement of Financial Position as at 30th September, 2011 as well as the Statement of Changes in Members' Surplus, the Statement of Support and Expenditure and the Statement of Cash Flows for the year then ended. Also included is a summary of significant accounting policies and other explanatory notes.

Management's Responsibility for the Financial Statements

The financial statements are the responsibility of the commission's management, which includes the preparation and fair presentation of these financial statements in accordance with International Financial Reporting Standards. This responsibility includes: designing, implementing and maintaining internal control relevant to the preparation and fair presentation of the financial statements that are free from material misstatement, whether due to fraud or error; selecting and applying appropriate accounting policies; and making accounting estimates that are reasonable in the circumstances.

Auditor's Responsibility

My responsibility is to express an opinion on these financial statements based on my audit. I conducted my audit in accordance with International Standards on Auditing. Those Standards require that I conform to ethical requirements and plan and perform the audit to obtain reasonable assurance whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

Opinion

In my opinion, the accompanying financial statements referred to above, presents fairly, in all material respects, the financial position of the commission as at 30th September, 2011 and the results of its operations and cash flow for the year then ended in accordance with International Financial Reporting Standards.

19th JULY, 2013

MARIO LENDOR
CHARTERED ACCOUNTANT

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Index to Financial Statements

30th September, 2011

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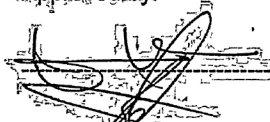
NATIONAL TELECOMMUNICATION REGULATORY COMMISSION


Statement of Financial Position

As at 30th September, 2011
With comparative figures as at 30th September, 2010
(Expressed in Eastern Caribbean Dollars)

	<u>Notes</u>	<u>2011</u>	<u>2010</u>
<u>Current Assets</u>			
Cash and cash equivalents	5	\$ 718,248	1,787,980
Accounts receivable and prepayments	6	16,479	14,687
Due from related party		2,600	-
Total current assets		737,327	1,802,667
<u>Non-Current Asset</u>			
Property, plant and equipment - net	7	118,833	89,321
Total non-current asset		118,833	89,321
Total assets		856,160	1,891,988
<u>Current Liabilities</u>			
Accounts payable	8	106,864	98,576
Due to related party - net		-	1,113,727
Total current liabilities		106,864	1,212,303
Total liabilities		106,864	1,212,303
<u>Equity</u>			
Accumulated surplus		749,296	679,685
Total liabilities and members' surplus		\$ 856,160	1,891,988

Approved by:

 Chairman

 Commissioner

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION**Statement of Changes in Members' Surplus**

For the year ended 30th September, 2011
With comparative figures for the year ended 30th September, 2010
(Expressed in Eastern Caribbean Dollars)

	<u>2011</u>	<u>2010</u>
Balance - beginning of year	\$ 679,685	576,557
Excess support over expenditure	<u>69,611</u>	<u>103,128</u>
Balance - end of year	\$ <u>749,296</u>	<u>679,685</u>

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Statement of Support and Expenditure

For the year ended 30th September, 2011
With comparative figures for the year ended 30th September, 2010
(Expressed in Eastern Caribbean Dollars)

	<u>2011</u>	<u>2010</u>
Support		
Contributions from ECTEL	\$ 742,500	738,345
Application fees	25,840	31,723
Other income	75,297	36,605
Loss on disposal of property, plant and equipment	<u>(75,760)</u>	<u>-</u>
	<u>767,877</u>	<u>806,673</u>
Expenditure		
Advertising and promotion	6,485	17,648
Audit fees	23,000	12,400
Bank charges and interest	1,886	3,215
Commissioner's fees	52,973	66,960
Depreciation expense	47,797	37,025
Gratuity	47,686	52,188
Insurance	7,933	8,244
Legal and professional fees	11,450	27,734
Membership and subscriptions	1,471	2,782
Motor vehicle expenses	911	2,807
Office expenses	32,635	13,987
Rent	87,000	70,800
Repairs and maintenance	17,566	14,008
Salaries and wages	277,789	259,022
Security expenses	1,544	1,800
Staff training and welfare	15,609	15,881
Staff uniforms	5,159	4,076
Supplies	4,423	28,124
Travel and entertainment	11,399	19,987
Utilities	43,550	44,857
	<u>698,266</u>	<u>703,545</u>
	\$ <u>69,611</u>	<u>103,128</u>

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Statement of Cash Flows

For the year ended 30th September, 2011
With comparative figures for the year ended 30th September, 2010
(Expressed in Eastern Caribbean Dollars)

	<u>2011</u>	<u>2010</u>
<u>Cash Flows from Operating Activities</u>		
Excess of support over expenditure for the year	\$ 69,611	103,128
Adjustments for:		
Loss on purchase of property, plant and equipment	75,760	-
Depreciation	<u>47,797</u>	<u>37,025</u>
Cash flows before changes in operating assets and liabilities	193,168	140,153
(Increase)/decrease in accounts receivable and prepayments	(1,792)	51
Increase in due from related party	(2,600)	-
Increase in accounts payable	8,288	38,588
Increase/(decrease) in due to related party	<u>(1,113,727)</u>	<u>1,113,727</u>
Cash generated from operations	(916,663)	1,292,519
<u>Net Cash Flows from Investing Activities</u>		
Purchase of property, plant and equipment	<u>(153,069)</u>	<u>(940)</u>
Net cash used in Investing Activities	(153,069)	(940)
Increase/(decrease) in cash and cash equivalents	<u>(1,069,732)</u>	<u>1,291,579</u>
Cash and cash equivalents - beginning of year	<u>1,787,980</u>	<u>496,401</u>
Cash and cash equivalents - end of year	\$ 718,248	1,787,980

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements

30th September, 2011
(Expressed in Eastern Caribbean Dollars)

1. Background and Principal Activity

The National Telecommunications Regulatory Commission ("the Commission") was established by the Telecommunications Act (Cap 8:11 of the Revised Edition Law of Saint Lucia on November 22, 2000. The Commission commenced operations on March 18, 2002.

The principal activity of Commission is to oversee the development of the telecommunications sector in Saint Lucia.

The Commission's principal place of business is situated at Bois D'Orange, Gros Islet.

The financial statements were approved by the Board of Directors and authorized for issue on 2nd August, 2013.

2. Summary of significant financial reporting policies

a. Overall policy

The principal financial reporting policies adopted are stated in order to assist in the general understanding of the financial statements.

Statement of compliance

The financial statements of National Telecommunications Regulatory Commission have been prepared in accordance with International Financial Reporting Standards (IFRS) as issued by the International Accounting Standard Board (IASB) and under the historical cost convention.

The preparation of financial statements in conformity with IFRS requires the use of certain accounting estimates. It also requires management to exercise its judgment in the process of applying the Commission's accounting policies. The areas involving a higher degree of judgment or complexity, or areas where assumptions and estimates are significant to the financial statements are disclosed in Note 3.

b. Adoption of new and revised IFRS

During the current year the Commission adopted all the new and revised International Financial Reporting Standards (IFRS) which are relevant to its operations and are effective for accounting periods commencing on January 1, 2009. The adoption of these standards did not have a material effect on the financial statements. At the date of authorization of these financial statements, some standards were issued but not yet effective. The Board of Directors expects that the adoption of these standards in future periods will not have a material effect on the financial statements of the Commission.

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements... (Cont'd)

30th September, 2011

(Expressed in Eastern Caribbean Dollars)

2. Summary of significant financial reporting policies... (Cont'd)

c. Foreign currency translation

Functional and presentation currency

Items in the financial statement are measured using the currency of the primary economic environment in which the entity operates (the functional currency). The financial statements are presented in Eastern Caribbean dollars, which is the Commission's functional and presentation currency.

Transactions and balances

Foreign currency transactions are translated into the functional currency using the exchange rates prevailing at the dates of the transactions. Foreign exchange gains and losses resulting from the settlement of such transactions and from the translation at year end exchange rates of monetary assets and liabilities denominated in foreign currencies are recognized in the statement of support and expenditure.

d. Cash and cash equivalents

Cash and cash equivalents are carried on the statement of financial position at cost. For the purpose of the statement of cash flows, cash and cash equivalents comprise balances with a maturity of three months or less from the date of acquisition including: cash on hand, deposits held on call with banks and bank overdrafts. Bank overdrafts are shown within borrowings in current liabilities on the statement of financial position.

e. Trade receivables

Trade receivables are recognized initially at fair value and subsequently measured at amortized cost less provision for impairment. A provision for impairment of trade receivables is established when there is objective evidence that the Commission will not be able to collect all amounts due according to the original terms of receivables. Significant financial difficulties of the debtor, probability that the debtor will enter bankruptcy or financial delinquency in payments are considered good indicators that the trade receivable is impaired. The amount of the provision is the difference between the carrying amount and the present value of the estimated future cash flows, discounted at the effective interest rate. The carrying amount of the asset is reduced through the use of an allowance account and the amount of the loss is recognized in the statement of support and expenditure.

When a trade receivable is uncollectible, it is written-off against the allowance account for trade receivables. Subsequent recoveries of amounts previously written off are credited in the statement of support and expenditure.

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements... (Cont'd)

30th September, 2011

(Expressed in Eastern Caribbean Dollars)

2. Summary of significant financial reporting policies... (Cont'd)

f. Property, plant and equipment

Property, plant and equipment are stated at historical cost less accumulated depreciation and impairment losses. Historical cost includes expenditure that is directly attributable to the acquisition of the items. Subsequent costs are included in the assets carrying amount or recognized as a separate asset, as appropriate, only when it is probable that future economic benefits associated with the item will flow to the Commission and the cost of the item can be measured reliably. All other repairs and maintenance are charged to the statement of comprehensive income during the financial period in which they are incurred.

Depreciation is calculated on the straight line method to allocate their cost of each asset to their residual values over their estimated useful lives as follows:-

Furniture and Equipment	15%-25%	Leasehold Improvements	2.5% - 25%
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The assets' residual values and useful lives are reviewed, and adjusted if appropriate, at each statement of financial position date.

An asset's carrying amount is written down immediately to its recoverable amount, if the asset's carrying amount is greater than its estimated recoverable amount.

Gains and losses on disposals are determined by comparing proceeds with carrying amounts. These are included in the statement of comprehensive income. When revalued assets are sold, the amounts included in other reserves are transferred to retained earnings.

g. Accounts payable

Accounts payable is measured at amortized cost.

h. Provisions

Provisions are recognized when the Commission has a present legal or constructive obligation as a result of past events; it is probable that an outflow of resources will be required to settle the obligation; and the amount has been reliably estimated.

i. Revenue recognition

Revenue is recognized when the agreed contributions become due and on the completion of other service transactions when the related fees can be reliably estimated.

j. Income tax

The Commission is exempt from Income tax under the provision of the Telecommunications Act.

k. Comparative

Where necessary, comparatives have been adjusted to conform to changes in the presentation in the current year.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements... (Cont'd)

30th September, 2011

(Expressed in Eastern Caribbean Dollars)

3. Critical accounting estimates and judgments

Estimates and judgments are continually evaluated and are based on historical experience and other factors including expectation of future events that are believed to be reasonable under the circumstances.

The Commission makes estimates and assumptions concerning the future. The resulting accounting estimates will, by definition, seldom equal the related actual results. Management does not consider that there are estimates and assumptions that will have a significant risk, causing a material adjustment to the carrying amounts of assets and liabilities within the next financial year.

4. Financial instruments

In accordance with the provisions of International Financial Reporting Standard No. 7, disclosure is required regarding credit risks, liquidity risk, interest rates and fair values of financial assets and liabilities.

a. Credit risk

Credit risk arises from the possibility that counterparties may default on their obligations to the Commission. The amount of the Commission's maximum exposure to credit risk is indicated by the carrying amount of its financial assets.

The Commission operates within the telecommunication regulatory environment, and financial assets which may potentially expose the Commission to concentrations of credit risk, consist primarily of contributions and receivables. Management does not believe that significant credit risk exists at 30th September, 2011.

b. Liquidity risk

Liquidity risk management implies maintaining sufficient cash and cash equivalents and the availability of funding through adequate amounts of committed credit facilities. Management does not believe that significant liquidity risk exists at 30th September, 2011.

c. Interest rate risk

Differences in contractual repricing or maturity dates and changes in interest rates may expose the Commission to interest rate risk. The Commission was not exposed to interest rate risk at 30th September, 2011.

d. Fair value of financial instruments

Fair value amounts represent estimates of the consideration that would currently be agreed upon between knowledgeable, willing parties who are under no compulsion to act and is best evidenced by a quoted market value, if one exists. None of the Commission's financial assets and liabilities are traded in a formal market. Estimated fair values are assumed to approximate their carrying values.

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements... (Cont'd)

30th September, 2011

(Expressed in Eastern Caribbean Dollars)

	<u>2011</u>	<u>2010</u>
5. <u>Cash and Cash Equivalents</u>		
Cash on hand	\$ 500	500
Bank of St. Lucia Limited - operating	211,188	217,526
Bank of St. Lucia Limited - supersaver	394,220	1,463,752
RBTT Bank Caribbean Limited	<u>112,340</u>	<u>106,202</u>
	<u>718,248</u>	<u>1,787,980</u>
6. <u>Accounts Receivable and Prepayments</u>		
Rental deposit	13,000	11,800
Prepaid expenses	2,884	2,887
Other receivables	<u>595</u>	<u>-</u>
	\$ <u>16,479</u>	<u>14,687</u>

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements... (Cont'd)

30th September, 2011
(Expressed in Eastern Caribbean Dollars)7. Property, Plant and Equipment

	Furniture and Fittings	Leasehold Improvements	Total
As at 30th September, 2009			
Cost	\$ 173,468	85,766	259,234
Accumulated depreciation	<u>(125,966)</u>	<u>(7,862)</u>	<u>(133,828)</u>
Net book value:	<u>47,502</u>	<u>77,904</u>	<u>125,406</u>
For the year ended 30th September, 2010			
Opening net book value	47,502	77,904	125,406
Additions in the year	940	-	940
Depreciation charge for the year	<u>(34,881)</u>	<u>(2,144)</u>	<u>(37,025)</u>
Closing net book value	<u>13,561</u>	<u>75,760</u>	<u>89,321</u>
As at 30th September, 2010			
Cost	174,408	85,766	260,174
Accumulated depreciation	<u>(160,847)</u>	<u>(10,006)</u>	<u>(170,853)</u>
Net book value	<u>13,561</u>	<u>75,760</u>	<u>89,321</u>
For the year ended 30th September, 2011			
Opening net book value	13,561	75,760	89,321
Additions in the year	43,778	109,291	153,069
Depreciation charge for the year	<u>(20,474)</u>	<u>(27,323)</u>	<u>(47,797)</u>
Disposal of assets	-	(85,766)	(85,766)
Accumulated depreciation on disposal	<u>-</u>	<u>10,006</u>	<u>10,006</u>
	<u>36,865</u>	<u>81,968</u>	<u>118,833</u>
As at 30th September, 2011			
Cost	218,186	109,291	327,477
Accumulated depreciation	<u>(181,321)</u>	<u>(27,323)</u>	<u>(208,644)</u>
Net book value	<u>\$ 36,865</u>	<u>81,968</u>	<u>118,833</u>

The accompanying notes form an integral part of these financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements... (Cont'd)

30th September, 2011
(Expressed in Eastern Caribbean Dollars)

	<u>2011</u>	<u>2010</u>
8. <u>Accounts Payable and Accruals</u>		
Accounts payable	\$ 37,469	23,617
Gratuity payable	<u>69,395</u>	<u>74,959</u>
	<u>106,864</u>	<u>98,576</u>
9. <u>Employee Benefit Expenses</u>		
Salaries and wages	222,398	248,972
Other staff expenses	44,180	48,081
Gratuity	35,187	49,938
Commissioners' fees	<u>52,973</u>	<u>66,960</u>
	<u>354,738</u>	<u>413,951</u>
Key Management Compensation		
Salaries and other short-term benefits	<u>80,619</u>	<u>76,980</u>
The average number of employees during the year was 6 (2010 -6)		
10. <u>Universal Service Fund</u>		
Expenses		
Salaries and wages	-	10,050
Utilities	-	446
Gratuity	-	2,250
Rent	-	590
Travelling and entertainment	-	2,000
Office expenses	-	-
Bank charges and interest	-	-
Supplies	<u>-</u>	<u>358</u>
	\$ <u>-</u>	<u>15,694</u>

The accompanying notes form an integral part of these financial statements.

MARIO LENDOR

P.O. Box 1131, Providencia Villa, Cedars Road, Castries, St. Lucia

Tel: 758-453-2356 Fax: 758-453-2270 e mail: mario.lendor@hotmail.com

Auditor's Report to the Directors of:

UNIVERSAL SERVICE FUND

Report on the Financial Statements

I have audited the financial statements of Universal Service Fund which comprise of the Statement of Financial Position as at 30th September, 2011 as well as the Statement of Changes in Members' Surplus, the Statement of Support and Expenditure and the Statement of Cash Flows for the year then ended. Also included is a summary of significant accounting policies and other explanatory notes.

Management's Responsibility for the Financial Statements

The financial statements are the responsibility of the commission's management, which includes the preparation and fair presentation of these financial statements in accordance with International Financial Reporting Standards. This responsibility includes: designing, implementing and maintaining internal control relevant to the preparation and fair presentation of the financial statements that are free from material misstatement, whether due to fraud or error; selecting and applying appropriate accounting policies; and making accounting estimates that are reasonable in the circumstances.

Auditor's Responsibility

My responsibility is to express an opinion on these financial statements based on my audit. I conducted my audit in accordance with International Standards on Auditing. Those Standards require that I conform to ethical requirements and plan and perform the audit to obtain reasonable assurance whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

Opinion

In my opinion, the accompanying financial statements referred to above, presents fairly, in all material respects, the financial position of the commission as at 30th September, 2011 and the results of its operations and cash flow for the year then ended in accordance with International Financial Reporting Standards.

19th JULY, 2013

MARIO LENDOR
CHARTERED ACCOUNTANT

UNIVERSAL SERVICE FUND

Index to Financial Statements

30th September, 2011

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UNIVERSAL SERVICE FUND


Statement of Financial Position

As at 30th September, 2011
(Expressed in Eastern Caribbean Dollars)

	<u>Notes</u>	<u>2011</u>
<u>Current Assets</u>		
Cash and cash equivalents	5	\$ <u>2,868,917</u>
Total current assets		<u>2,868,917</u>
<u>Non-Current Assets</u>		
Property, plant and equipment - net	7	<u>6,885</u>
Total non-current assets		<u>6,885</u>
Total assets		<u>2,875,802</u>
<u>Liabilities and Members' Surplus</u>		
<u>Current Liabilities</u>		
Accounts payable	6	<u>16,724</u>
Due to related party	8	<u>2,600</u>
Total current liabilities		<u>19,324</u>
Total liabilities		<u>19,324</u>
Net assets		<u>2,856,478</u>
<u>Equity</u>		
Accumulated surplus		<u>2,856,478</u>
Total liabilities and members' surplus		\$ <u>2,856,478</u>

Approved by:

 Chairman.

 Commissioner.

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND

Statement of Changes in Members' Surplus

For the year ended 30th September, 2011
(Expressed in Eastern Caribbean Dollars)

	<u>2011</u>
Accumulated surplus	
Balance - beginning of year	\$ -
Excess revenue over expenditure	<u>2,856,478</u>
At end of period	\$ <u>2,856,478</u>

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND**Statement of Support and Expenditure**For the year ended 30th September, 2011
(Expressed in Eastern Caribbean Dollars)

	<u>Note</u>	<u>2011</u>
Revenue		
Contributions from telecommunications providers		\$ 2,934,421
Interest income		<u>36,029</u>
		<u>2,970,450</u>
Expenditure		
Employee benefits	9	90,123
Rent		9,650
Utilities		7,424
Advertising and promotion		1,409
Supplies		323
Bank charges and interest		328
Depreciation expense		1,215
Audit fees		<u>3,500</u>
		<u>113,972</u>
		\$ <u>2,856,478</u>

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND

Statement of Cash Flows

For the year ended 30th September, 2011
 (Expressed in Eastern Caribbean Dollars)

	<u>2011</u>
<u>Cash Flows from Operating Activities</u>	
Excess of revenue over expenditure for the year	\$ 2,856,478
Adjustments for:	
Depreciation	<u>1,215</u>
Cash flows before changes in operating assets and liabilities	2,857,693
Increase in accounts payable	16,724
Due to related party	<u>2,600</u>
Cash generated from operations	2,877,017
<u>Cash Flows from Investing Activities</u>	
Purchase of property, plant and equipment	<u>(8,100)</u>
Net cash flows from investing activities	(8,100)
Increase in cash and cash equivalents	<u>2,868,917</u>
Cash and cash equivalents - beginning of year	-
Cash and cash equivalents - end of year	\$ <u>2,868,917</u>

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND

Notes to Financial Statements

30th September, 2011
(Expressed in Eastern Caribbean Dollars)

1. Background and Principal Activity

The company was incorporated under the Commercial Code of Saint Lucia. The main goal of the Universal Service Fund (USF) is to support the provision of Universal Service in telecommunications throughout [Member State]. According to the Telecommunications Act, Universal Service includes the provision of:

- (a) public voice telephony;
- (b) internet access;
- (c) telecommunications services to schools, hospitals and similar institutions and the disabled and physically challenged; or
- (d) other service by which people access efficient, affordable and modern telecommunications.

2. Summary of significant financial reporting policies

a. *Overall policy*

The principal financial reporting policies adopted are stated in order to assist in the general understanding of the financial statements.

Basis of preparation

The financial statements of Universal Service Fund have been prepared in accordance with the International Financial Reporting Standards (IFRS) and under the historical cost convention.

The preparation of financial statements in conformity with IFRS requires the use of certain critical accounting estimates. It also requires management to exercise its judgment in the process of applying the Fund accounting policies. The areas involving a higher degree of judgment or complexity, or areas where assumptions and estimates are significant to the financial statements are disclosed in Note 3.

b. *Adoption of new and revised IFRS*

During the current year the Fund adopted all the new and revised International Financial Reporting Standards (IFRS) which are relevant to its operations and are effective for accounting periods commencing on January 1, 2009. The adoption of these Standards did not have a material effect on the financial statements. At the date of authorization of these financial statements, some Standards were issued but not yet effective. The Board of Directors expects that the adoption of these Standards in future periods will not have a material effect on the financial statements of the Fund.

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND

Notes to Financial Statements... (Cont'd)

30th September, 2011

(Expressed in Eastern Caribbean Dollars)

2. Summary of significant financial reporting policies... (Cont'd)

c. *Functional and presentation currency*

Items in the financial statement are measured using the currency of the primary economic environment in which the entity operates (the functional currency). The financial statements are presented in Eastern Caribbean dollars, which is the Fund's functional and presentation currency.

d. *Foreign currency translation*

Transactions and balances

Foreign currency transactions are translated into the functional currency using the exchange rates prevailing at the dates of the transactions. Foreign exchange gains and losses resulting from the settlement of such transactions and from the translation at year end exchange rates of monetary assets and liabilities denominated in foreign currencies are recognised in the statement of comprehensive income.

e. *Cash and cash equivalents*

Cash and cash equivalents are carried on the statement of financial position at cost. For the purpose of the statement of cash flows, cash and cash equivalents comprise balances with a maturity of three months or less from the date of acquisition including: cash on hand, deposits held on call with banks and bank overdrafts.

f. *Property, plant and equipment*

Property, plant and equipment are stated at historical cost less accumulated depreciation and impairment losses. Historical cost includes expenditure that is directly attributable to the acquisition of the items.

Subsequent costs are included in the assets carrying amount or recognised as a separate asset, as appropriate, only when it is probable that future economic benefits associated with the item will flow to the Fund and the cost of the item can be measured reliably. All other repairs and maintenance are charged to the statement of comprehensive income during the financial period in which they are incurred.

Depreciation is calculated on the straight line method to allocate their cost of each asset to their residual values over their estimated useful lives as follows:-

Furniture and Equipment 15%-25%

The assets' residual values and useful lives are reviewed and adjusted if appropriate, at each statement of financial position date.

An asset's carrying amount is written down immediately to its recoverable amount, if the asset's carrying amount is greater than its estimated recoverable amount. Gains and losses on disposals are determined by comparing proceeds with carrying amounts. These are included in the statement of comprehensive income. When revalued assets are sold, the amounts included in other reserves are transferred to retained earnings.

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND

Notes to Financial Statements... (Cont'd)

30th September, 2011
(Expressed in Eastern Caribbean Dollars)

2. Summary of significant financial reporting policies... (Cont'd)

g. Provisions

Provisions are recognized when the Fund has a present legal or constructive obligation as a result of past events; it is probable that an outflow of resources will be required to settle the obligation; and the amount has been reliably estimated.

h. Revenue recognition

Revenue is recognized when the agreed contributions become due and on the completion of other service transactions when the related fees can be reliably estimated.

i. Income tax

The Fund is exempt from Income Tax under the provision of the Telecommunications Act.

j. Income and expenses

Income is recognized on the accrual basis as has been used for recording of income and expenses. Interest income and expenses are recognized in the statement of income for all instruments measured at amortized cost using the accrual method.

3. Critical accounting estimates and judgments

Estimates and judgments are continually evaluated and are based on historical experience and other factors including expectation of future events that are believed to be reasonable under the circumstances. The Fund makes estimates and assumptions concerning the future. The resulting accounting estimates will, by definition, seldom equal the related actual results. Management does not consider that there are estimates and assumptions that will have a significant risk, causing a material adjustment to the carrying amounts of assets and liabilities within the next financial year.

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND

Notes to Financial Statements... (Cont'd)

30th September, 2011
(Expressed in Eastern Caribbean Dollars)

4. Financial Instruments

In accordance with the provisions of International Financial Reporting Standard No. 7, disclosure is required regarding credit risks, liquidity risk, interest rates and fair values of financial assets and liabilities.

a. Credit risk

Credit risk arises from the possibility that counterparties may default on their obligations to the Commission. The amount of the Commission's maximum exposure to credit risk is indicated by the carrying amount of its financial assets.

The Commission operates within the telecommunication regulatory environment, and financial assets which may potentially expose the Commission to concentrations of credit risk consist primarily of contributions and receivables. Management does not believe that significant credit risk exists at 30th September, 2011.

b. Liquidity Risk

Liquidity risk management implies maintaining sufficient cash and cash equivalents and the availability of funding through adequate amounts of committed credit facilities. Management does not believe that significant liquidity risk exists at 30th September, 2011.

c. Interest rate risk

Differences in contractual repricing or maturity dates and changes in interest rates may expose the Fund to interest rate risk. The Fund was not exposed to interest rate risk at 30th September, 2011.

d. Fair value of financial instruments

Fair value amounts represent estimates of the consideration that would currently be agreed upon between knowledgeable, willing parties who are under no compulsion to act and is best evidenced by a quoted market value, if one exists. None of the Fund's financial assets and liabilities are traded in a formal market. Estimated fair values are assumed to approximate their carrying values.

The accompanying notes form an integral part of these financial statements.

UNIVERSAL SERVICE FUND

Notes to Financial Statements... (Cont'd)

30th September, 2011

(Expressed in Eastern Caribbean Dollars)

		<u>2011</u>
5.	<u>Cash and Cash Equivalents</u>	
	Bank of St. Lucia Limited - operating	\$ 10,322
	Bank of St. Lucia Limited - supersaver	<u>2,858,595</u>
		<u>2,868,917</u>
6.	<u>Accounts Payable</u>	
	Trade payables	13,224
	Audit fees	<u>3,500</u>
		\$ <u>16,724</u>
7.	<u>Property, Plant and Equipment</u>	
		<u>Furniture & Fittings.</u>
	For the year ended 30th September, 2011	
	Opening net book value	\$ -
	Additions in the year	8,100
	Depreciation charge for the year	<u>1,215</u>
	Closing net book value	<u>6,885</u>
	 As at 30th September, 2011	
	Cost	8,100
	Accumulated depreciation	<u>1,215</u>
	Net book value	\$ <u>6,885</u>
8.	<u>Due to Related Party</u>	

The amounts due from/(to) related party is unsecured, non-interest bearing and has no stated repayment terms.

The accompanying notes form an integral part of these financial statements.

10.

UNIVERSAL SERVICE FUND

Notes to Financial Statements... (Cont'd)

30th September, 2011
 (Expressed in Eastern Caribbean Dollars)

		<u>2011</u>
9. <u>Employee Benefit Expenses</u>		
Salaries and wages	\$ 72,964	
Other staff expenses	9,242	
Gratuity	<u>7,917</u>	
		<u>90,123</u>
 Key Management Compensation		
Salaries and other short-term benefits	\$ <u>90,123</u>	

The average number of employees during the year was 2.

The accompanying notes form an integral part of these financial statements.

APPENDIX : B

List of the Telecommunications Licences that have been Issued, Modified, Renewed or Revoked in Saint Lucia

Pursuant to sub-section 14(7)(a) of the Telecommunications Act, No. 27 of 2000 and in keeping with its records, the National Telecommunications Regulatory Commission hereby lists the telecommunications licences that have been issued, modified, renewed or revoked in Saint Lucia by the Minister, as at September 30, 2011.

Telecommunications Licences Issued	Licensee	Date Issued
(i) For the Establishment and Operation of a Fixed Public Telecommunications Network and the Provision of Certain Fixed Public Telecommunications Services in Saint Lucia	Cable & Wireless (West Indies) Limited	October 10 th , 2001
	Digicel (St. Lucia) Limited	April 17 th , 2008
	Kelcom International	April 17 th , 2008
	Tele (St. Lucia) Limited	June 24 th , 2008
(ii) For the Establishment and Operation of a Public Cellular Mobile Telecommunications Network and the Provision of Public Cellular Mobile Telecommunications Services in Saint Lucia	Cable & Wireless Caribbean Cellular (St. Lucia) Limited	October 10 th , 2001
	Digicel (St. Lucia) Limited	September 6 th , 2002
	<u>AWS Caribbean Holdings Limited</u> [1]	September 10 th , 2002
	<u>Wireless Ventures (St. Lucia) Limited, transferred from AWS Caribbean Holdings Limited</u> [2]	September 10 th , 2006
	21st Century Telecoms Network (Caribbean) Limited.	December 19 th , 2007
	PATWA (St. Lucia) Inc.	April 29 th 2010

(iii) For the Installation and Operation of an Internet Network and the Provision of Internet Services in Saint Lucia	Cable & Wireless (West Indies) Limited	October 10 th , 2001
	Antilles Crossing (St. Lucia) Limited	April 22 nd , 2006
	21st Century Telecoms Network (Caribbean) Limited.	December 19 th , 2007
	Link Technologies Limited	February 15 th , 2008
	Kelcom International Limited	April 17 th , 2008
	Digicel (St. Lucia) Limited	April 17 th , 2008
	Tele (St. Lucia) Limited	June 19 th , 2008
	PATWA (St. Lucia) Inc.	April 29 th 2010
	Helen Television System (HTS)	December 29 th 2011
(iv) For the Landing of a Submarine Cable and the Establishment and Operation of a Submarine Cable Telecommunications Network and the Provision of Certain Telecommunications Services in Saint Lucia	Antilles Crossing (St. Lucia) Limited	February 2 nd , 2005
	Southern Caribbean Fibre Limited	August 2, 2007
(v) For the Provision of Full Internet Services in Saint Lucia	Almus McDowall (NETEL)	February 12 th , 2003
	Advanced Network Associates	February 18 th , 2003
(vi) For the Provision of Restricted Internet Services in Saint Lucia	Flo Internet Services	January 8 th , 2003
(vii) For the Resale of International Switched Minutes in Saint Lucia	NCIC (Saint Lucia) Inc.	October 28 th , 2003
	Global Link (St. Lucia) Limited	November 21 st , 2003
	NETEL	December 5 th , 2003
	CARINET Incorporation	January 10 th , 2006
(viii) For the Establishment and Operation of a Private Telecommunications Network and Services in Saint Lucia	Helen IT Systems	July 27 th , 2004
	FINMAN Information Technology Unit	September 22 nd , 2004
	PBL Sat	July 02 nd 2009
	Globecast UK	May 20 th 2011
(ix) For the Use of Radio Frequencies in Connection with the Operation of Certain Telecommunications Networks and the Provision of Certain Telecommunications Services in Saint Lucia	Cable & Wireless Caribbean Cellular (St. Lucia) Limited	October 10 th , 2001
	Helen Television Systems Limited	February 2 nd , 2007
	Link Technologies Limited	February 15 th 2007
	Hit Radio Limited	June 4 th , 2007
	Hot FM Communications	September 11 th , 2008

	Rhythm FM Inc.	September 11 th , 2008
	Southern Broadcasting Services	September 11 th , 2008
	Antilles Crossing (St. Lucia) Limited	September 11 th , 2008
	Valerie Octave (RFI Group)	December 12 th 2008
	Pentecostal Assemblies of the West Indies	December 12 th 2008
	Link Technologies	November 03 rd , 2008
	Digicel (St.Lucia) Limited	November 03 rd , 2008
	Cable & Wireless (St.Lucia) Limited	November 03 rd , 2008
	Almus McDowall	November 03 rd , 2008
	John Poleon	November 03 rd , 2008
	World on Wireless Communications	November 03 rd , 2008
	21 CTN Telecoms Network (Caribbean) Limited	November 03 rd , 2008
	SES Americom Incorporated	March 1, 2009
	BBC World Service	March 02 nd 2009
	All Biz Limited	March 02 nd 2009
	Soufriere Regional Development Foundation	March 02 nd 2009
	Arqiva	March 30 th 2009
	Link Technologies	June 02 nd 2009
	PBL SAT	July 02 nd 2009
	Gem Radio (The Wave)	July 06 th 2009
	L.A Broadcasting Company Limited	November 13 th 2009
	Mix Broadcasting Company Limited	November 13 th 2009
	Royal St. Lucia Police Force	March 08 th 2010
	Cable & Wireless (Trading as LIME)	April 06 th 2010
	Uno Broadcasting	April 06 th 2010
	Globecast Africa Limited	April 29 th 2010
	PATWA (St. Lucia) Inc.	June 01 st 2010
	Tele (St. Lucia) Inc	April 11 th 2011
	Globecast UK Limited	May 20 th 2011
	Cable & Wireless (Trading as LIME)	May 20 th 2011
	Cletus Hippolyte	June 06 th 2011
	Digicel (St.Lucia) Limited	June 06 th 2011
	Stompid Electronics	June 06 th 2011
	Jaycom International	September 30 th 2011

(x) Special Licence for the Establishment and Operation of Telecommunications Networks and the Provision of Telecommunications Services in Saint Lucia	Cable & Wireless' (West Indies) Limited	October 1 st , 2001
(xi) Special Licence for Land Mobile Radio and Frequency Authorisation for Operation in Saint Lucia	Discovery at Marigot Bay Limited	December 01 st 2006
(xii) For the operation of a Maritime Mobile Service in Saint Lucia	Hess Oil St. Lucia Limited	June 16 th 2009
	Whitaker Augier	December 17 th 2009
	Rendezvous (Malabar Beach Limited)	June 4 th 2010
	Peter Philip Rowland	April 29 th 2010
	Francis Compton	August 15 th 2011
	Le Sport	September 30 th 2011
	Curtis John	October 11 th 2011
	Reel Irie	December 29 th 2011
	The Landings St. Lucia	June 28 th 2011
(xiii) For the use of Amateur Radio Service in Saint Lucia	Thomas Grove	October 03 rd 2008
	Dudley Du Boulay	October 03 rd 2008
	William Schmidt	October 03 rd 2008
	John V. Abbruscato	October 03 rd 2008
	Frans Van Santbrink	October 03 rd 2008
	Peter Cross	October 03 rd 2008
	Baerbel Linge	October 03 rd 2008
	Lothar Linge	October 03 rd 2008
	John Fricot	October 03 rd 2008
	Albert Henry	February 20 th 2009
	Bernard Thomas	March 02 nd 2009
	Tony Du Boulay	March 02 nd 2009
	Arthur Charles (Novice)	April 02 nd 2009
	Andrew Lewis (Novice)	June 16 th 2009
	Frederick H. Kleber	June 16 th 2009
	Clem Bobb	June 16 th 2009
	Annette Du Boulay	June 16 th 2009
	Ermelia George	June 16 th 2009
	Peter James	June 16 th 2009
	Givan George	June 16 th 2009
	John V. Abbruscato	June 16 th 2009
	Lionel Ellis	August 10 th 2009
	Matthew Nelson	August 25 th 2009

	Martin Daniel	August 25 th 2009
	Robert Michael Greenwood	December 17 th 2009
	Paul Wesley Van Dyke	December 17 th 2009
	Howard Andrew Sine	December 01 st 2009
	Budd Lee Drummond	December 17 th 2009
	Weymouth Dove Walker Jr.	December 17 th 2009
	Christopher David Drummond	December 17 th 2009
	Guy A Hamblen	December 17 th 2009
	Stephen Martin Galchutt	December 17 th 2009
	Daniel Thomas Gagnon	December 17 th 2009
	Bryon Scott Anderson	December 17 th 2009
	Derek Noel Kirkham	December 17 th 2009
	William J. Schmidt	December 04 th 2009
	Stephen Pinill	April 06 th 2010
	William A Richards II	April 26 th 2010
	John V. Abbruscato	April 26 th 2010
	Howard Andrew Sine	September 07 th 2010
	Frederick T. Clarke Jr	October 26 th 2010
	Gary D Hughes	October 26 th 2010
	Milton Kent Miller	October 26 th 2010
	Guy A Hamblen	October 26 th 2010
	William T Brady	October 26 th 2010
	William S Maynard	October 26 th 2010
	William J. Schmidt II	January 11 th 2011
	Volkmar Junge	February 04 th 2011
	Marc Karim Ehlayil	February 04 th 2011
	Donovan Bicar	May 20 th 2011
	Avery Trim	May 20 th 2011
	Robert C Whelan	June 06 th 2011
	Linus Theclus	June 06 th 2011
	Matthew Nelson	June 06 th 2011
	Stephen Harry Whitfield	June 06 th 2011
	Kenneth M.Fatchett	July 15 th 2011
	Ian Plummer	August 02 2011
	Barclay Thomas	September 13 th 2011
	Budd Lee Drummond	September 13 th 2011
	David W Drake	September 13 th 2011
	Jonathan Mitichener	September 13 th 2011
	Joseph C Kelly	September 13 th 2011
	Stephen A. Licht	September 13 th 2011

	Thomas J. Liska	September 13th 2011
	Guy A Hamblen	September 30th 2011
	William P. Temple	September 13th 2011
(xiv) For the operation of a Broadcast Licence in Saint Lucia	Hit Radio Limited	June 04 th 2007
	Daher Broadcasting Service Limited	December 17 th 2002
(xv) For the Use of Radio Frequencies in Connection with the Operation of Citizen's Band Operation	Preston Huntley	August 10 th 2009
	Avery Trim	September 30th 2011
	Joseph Charles	June 28th 2011
	Swithin Donnelly	December 29th 2011
(xvi) Private Land Mobile and Frequency Authorization	Soufriere Regional Development Foundation (SRDF)	Undated 2009
	Eastern Caribbean Financial Company Holdings Limited	May 19 th 2009
	J Q Charles Limited	May 19 th 2009
	IMG Media	June 02 nd 2009
	Sir Arthur Lewis Community College	May 19 th 2009
	St. Lucia Electricity Services Limited	May 19 th 2009
	Rain Forest Sky Rides	May 19 th 2009
	Discovery at Marigot Bay Limited	May 19 th 2009
	The Landings Saint Lucia	May 19 th 2009
	Anse Chasnet	June 16 th 2009
	Monroe College	November 17 th 2009
	High Court of Saint Lucia	November 13 th 2009
	Windjammer Landing Company Limited	November 13 th 2009
	Ladera Resort	November 13 th 2009
	Broadcast Solutions (UK) Limited	April 29 th 2010
	Cox & Company Limited	September 10 th 2010
	St. Lu Metal & Plastics MFR Limited.	September 10 th 2010
	G4S Security Services (St. Lucia) Ltd	June 28th 2011

(xvii) For the Establishment and Operation of a Family Radio Service Operation (Open Land Mobile)	Cecile Wiltshire	August 28 th 2009
	Edmund Junior Magres	December 1 st 2009
	Cecile Wiltshire	December 17 th 2009
	Martin Daniel	August 28 th 2009
	Kennedy J. Burke	April 29 th 2010
	Desmond Destang	September 10 th 2010
	Donald Tommy	June 28 2011
	Oliver Lawrence	June 28 2011
	Trevor Hinkson	September 13 th 2011
	Moses Ferguson	September 13 th 2011
(xviii) For the Establishment and Operation of an Aeronautical Mobile Radio Station	ARINC (Saint Lucia) Limited	January 14 th 2009
(xviii) For the Establishment and Operation of an Aircraft Station Licence in Saint Lucia		
Telecommunications Licences Modified	Rhythm FM	September 11 th 2009
Telecommunications Licences Renewed	Cable & Wireless (St.Lucia) Limited	November 03 rd , 2008
Telecommunications Licences Revoked	SES Americom Inc	September 25 th 2009
FOOTNOTE		
1. AWS was transferred to Wireless Ventures St. Lucia Ltd.		
2. Digicel gained control of Wireless Ventures through purchase of Cingular Wireless LLC		

APPENDIX :C

Register of Type Approved Equipment

Certificate No.	Manufacturer	Equipment Identifier	Equipment Type	Model Identifier	Date granted
LCT/DEC10.0107	UNIVERSAL SCIENTIFIC (SHANGAI) CO. LTD.	BROADCOM BLUE-TOOT TRANSCEIVER MODULE	Bluetooth Device	BCM92070MD_REF	December 2010
LCT/DEC10.0108	CAMBRIDGE SILICON RADIO LIMITED	Blueslim bluetooth module	Bluetooth Device	BSMANI	December 2010
LCT/DEC10.0109	Panasonic Corporation Automotive Systems Company	Bluetooth Module	Bluetooth Transceiver	C5ZZZ0000043	December 2010
LCT/DEC10.0110	Continental Automotive GmbH	PASSIVE ENTRY PASSIVE START SYSTEM	Low Frequency Transmitter	5WY8606	December 2010
LCT/DEC10.0111	Continental Automotive GmbH	PASSIVE ENTRY PASSIVE START SYSTEM	Low Frequency Transmitter	5WY8678	December 2010
LCT/DEC10.0112	Continental Automotive GmbH	PASSIVE ENTRY PASSIVE START SYSTEM	Low Frequency Transmitter	5WY8679	December 2010
LCT/DEC10.0113	Continental Automotive GmbH	PASSIVE ENTRY PASSIVE START SYSTEM	Low Frequency Transmitter	5WY8770	December 2010
LCT/DEC10.0114	Continental Automotive GmbH	PASSIVE ENTRY PASSIVE START SYSTEM	Radio Frequency Transmitter	5WY8771	December 2010
LCT/DEC10.0115	Continental Automotive GmbH	PASSIVE ENTRY PASSIVE START SYSTEM	Low Frequency Transmitter	5WY8642	December 2010
LCT/DEC10.0116	Panasonic Corporation	Personal Computer	Personal Computer with WLAN & Bluetooth	CF-19	December 2010

LCT/DEC10.0117	Harman Becker Automotive Systems	Bluetooth Hands Free Car Kit	Bluetooth with WLAN	MM13G	December 2010	10th
LCT/DEC10.0118	Juniper Networks Inc.	Services Gateway	Secure Router	SRX210	December 2010	10th
LCT/DEC10.0119	Juniper Networks Inc.	Services Gateway	Secure Router	SRX240	December 2010	10th
LCT/DEC10.010A	Multi-Tech Systems Inc.	USB Modem	Portable 56Kb Fax/Data Modem	9234-Mu	December 2010	10th
LCT/DEC10.010B	Nintendo of America Inc.	Nintendo Dsi (using Foxcon J27H020)	Hand-held Gaming Device	UTL-001	December 2010	10th
LCT/DEC10.010C	Nintendo of America Inc.	Nintendo Wii Remote (using Mitsumi Poo_WC62)	Bluetooth Device	RVL-036	December 2010	10th
LCT/DEC10.010D	Nintendo of America Inc.	Nintendo Dsi (using Foxcon J27H020)	Hand-held Gaming Device	TWL-001	December 2010	10th
LCT/DEC10.010E	Nintendo of America Inc.	Nintendo Wii Remote (using Foxconn YE5-WRIG)	Bluetooth Device	RVL-036	December 2010	10th
LCT/DEC10.010F	Continental Automotive GmbH	PASSIVE ENTRY PASSIVE START SYSTEM	Low Frequency Transmitter	5WY8604	December 2010	10th
LCT/AP11.011A	Nintendo of America Inc.	Nintendo 3DS Hand-held Game Device	Digital Transmission System	CTR-001	April 30th 2011	
LCT/AP11.011B	Honda Lock Mf, Ltd	Engine Start Stop Switch with Immobilizer	Vehicle Security System	HLBUS-1	April 30th 2011	
LCT/AP11.011C	Clarion Co.Ltd	Car Radio with CD Player	Bluetooth Device	PF-3387A-A	April 30th 2011	
LCT/AP11.011D	Hyundai Mobis Co. Ltd	Car Audio System	Bluetooth Device	AM11TAGG, AM-112TAGG	April 30th 2011	
LCT/JN11.011E	Apple Inc.	3G iPhone	Low Power Radio Communications Device	A1303, A1332	June 6th 2011	
LCT/JN11.011F	Avaya Communication Server	Communication Server	Terminal Device	CS1000	June 3th 2011	
LCT/JN11.0120	Honda Lock Mfg. Co., Ltd	Integrate Immobilizer System with RKE	Security/Convenience Receiver	HLIKN-1R	June 30th 2011	
LCT/JN11.0122	Fujitsu Ten Limited	CD Receiver with bluetooth	CD Receiver with Bluetooth	FT0018A	June 30th 2011	

LCT/JN11.0123	Mitsubishi Electric Corporation Himeji works	Immobilizer System	Vehicle Security System	IMB111-01	June 30th 2011
LCT/JN11.0124	LG Electronics Inc	Car CD Players	Bluetooth Device	LAC14201WFS	June 30th 2011
LCT/JN11.0125	LG Electronics Inc	Car CD Players	Bluetooth Device	LAC1430EWFS	June 30th 2011
LCT/JN11.0121	Wireless Approval Consultants	Low Power Radio Communications Device	Automotive Security/Convenience Receiver	ZAFT6BCM	June 30th 2011
LCT/AUG11.126	Mitsubishi Electric Corporation Himeji Works	Keyless System LFU	Transmitter	SKE134-01	August 27th 2011
LCT/AUG11.127	Mitsubishi Electric Corporation Himeji Works	Keyless System Hand Unit	Transceiver	SKE13D-01	August 27th 2011
LCT/AUG11.128	Mitsubishi Electric Corporation Himeji Works	Keyless System Receiver	Receiver	SKE135-01	August 27th 2011
LCT/AUG11.129	Mitsubishi Electric Corporation Himeji Works	Keyless System SSU	Transmitter	SKE133-02	August 27th 2011
LCT/AUG11.12A	U. S Robotics Corporation	Courier 56K External Business Modem	External Modem	USR3453C	August 27th 2011
LCT/AUG11.12B	Hyundai Mobis Co. Ltd	Digital Car Audio System	Bluetooth device	AC210CSGN	August 30th 2011
LCT/AUG11.12C	Hyundai Mobis Co. Ltd	Digital Car Audio System	Bluetooth device	AM110IHGN	August 30th 2011
LCT/AUG11.12D	Hyundai Mobis Co. Ltd	Digital Car Audio System	Bluetooth device	AC110CSGN	August 30th 2011
LCT/AUG11.12E	Hyundai Mobis Co. Ltd	Broadcom Bluetooth Transceiver Module	Bluetooth Device	BCM92070MD_REF	December 2010

APPENDIX : D

Register of Dealers and Suppliers of Terminal Equipment and Related Services

Register of Suppliers of Terminal Equipment and Related Services (Sorted by registration date)

Registration Date	Registrant Name	Registration No.
November 10, 2005	Kent's Hi Tech Electronics	LSTE/NO05.0001
December 15, 2005	CLICKCOM	LSTE/NO05.0002
December 15, 2005	Cox Radio Limited	LSTE/NO05.0003
August 31, 2006	CALIDAD Services	LSTE/AU06.0004
August 31, 2006	Communications Systems & Services Ltd.	LSTE/AU06.0005
September 27, 2006	N. V. Commercial Services Limited	LSTE/SP06.0006
September 27, 2006	Icon Security & Private Investigation Services Limited	LSTE/SP06.0007
October 16, 2006	Johnsons Hardware Limited	LSTE/OC06.0008
January 26, 2007	Island Water World (St. Lucia) Limited	LSTE/JA07.0009
March 30, 2007	Phone Links	LSTE/MR07.0010
April 24, 2007	G & G Ltd.	LSTE/AP07.0011

APPENDIX : E

2010/2011 Work Plan Schedule

ACTIVITIES OF THE NATIONAL TELECOMMUNICATIONS REGULATORY COMMISSION SAINT LUCIA
Administrative Unit
Verification of Records
Updating of Accounts & Bank Reconciliations, 2009- 2010, 2010-2011
Preparation of a complete fixed assets register, appropriately depreciated as required
Status of Recommendations forwarded to Minister
Status of Current Applications forwarded to ECTEL
Training – Website Maintenance
Spectrum & Numbering Fee Collection Mechanism
Quarterly Financial Reports to ECTEL
Technical Unit
Preparation of Technical standards – Broadcast Stations
Clean up of Moule-á-Chique Site
Full Working Draft of National Spectrum Plan
Current monitoring capabilities of the Technical unit to be fully assessed to determine required and preferred improvements
Draft Disaster Preparedness Plan
Monitoring Plan
List of Equipment and its capabilities
Policy Development (eNUM, Number Portability, VOIP, Spectrum Conservation, Effects of Radiation, Emergence of New Technologies, etc.)
Co location Issues, Interconnection Costing, Co-Ordination of Frequencies
Director/Secretary &/Commissioners
Annual Report 2008 - 2009
Annual Report 2009 - 2010
Annual Report 2010-2011
Licences Issued, Revoked, Renewed and Modified

Licence Agreement – Roll out of Service
Revision of Sector Procedures Manual
Revision of Guidance Notes
Revision of Staff Rules
Budget 2011/2012
Universal Service Fund Unit
Operating Plan
Gap Analysis
TICT Project
Collections of Contributions to funds
Budget 2011/2012
National Survey and Assessment of Telecommunications Sector
Other Desired Activities
Review of and updating of all Registers on NTRC Website www.ntrc.lc
Establishing a relationship with other agencies
Amateur Radio Service Examinations
Marketing Strategy & Articles to be published-
(2 nd Phase of Public Education)
Town Hall Meetings
(3 rd Phase of Public Education)
Enforcement Activities- (Monitoring , Notices to providers, Recommendations)
Meet with Minister of Communications, Works, Transport and Public Utilities on Enforcement Policy
Training of Staff
Internal Workshops
Establishment of a link between DPP and Police department regarding the prosecuting of offenders.

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