

NATIONAL TELECOMMUNICATIONS REGULATORY COMMISSION SAINT LUCIA



ANNUAL REPORT

For the period October 2016 to September 2017
CD Included

September 30, 2017

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Table of Contents

Appendices	2
List of Figures and Tables	3
Abbreviations and Acronyms	4
Executive Summary	5
1. National Telecommunications Regulatory Commission	6
1.1 Constitution of the Commission for 2016/ 2017	6
1.2 The Secretariat	7
1.3 Appointments	7
1.3.1 Position of Technical Assistant	7
2.1 Diary of Key Events	8
2.2 Training & Professional Development	8
3. Financial Review	9
3.1 Summary of Income Inflows & Usage	9
3.2 Financial Audit Report	9
4. Telecommunications Licence/ Frequency Authorisation	10
4.1 Telecommunications Licence/ Frequency Authorisation Update	10
5. Telecommunications Fees	11
5.1 Telecommunications Licence Fees	11
5.2 Frequency Authorisation (Spectrum) Fees	11
6. Regulatory, Sector & Operational Matters	15
6.1 Electronic Communications Bill (EC Bill)	15
6.2 Modification of Licences/ Frequency Authorisation	15
6.3 Consumer Matters	17
6.4 Broadband Guidelines	20
7. 2016/2017 Work Programme	21
8. Technical Operations 2016/2017	22
8.1 Introduction	22
8.2 Training and Professional Development	22
8.3 Milestones Achieved/Ongoing	23
8.4 Enforcement	23
8.5 Recognized Trends	24
Glossary	35
9. Universal Service Fund Office Annual Report	37
9.1 Trainings/Workshops	37
9.2 USFO Activities	38
9.3 USFO Plans and Documents	38
9.3 USFO Projects	38
9.4 Universal Service Fund Budget	41
10. Final Remarks	44
11. Appendices	46

Appendices

- Appendix A: Financial Audit Report
- Appendix B: Register of Type-Approved Equipment
- Appendix C: Register of Dealers and Suppliers of Terminal Equipment and Related Services
- Appendix D: Telecommunications licences that have been issued, modified, renewed or revoked
- Appendix E: Notice published in the local Newspapers

List of Figures and Tables

Figure 1.2:	Organisational structure for the National Telecommunications Regulatory Commission
Figure 2.2:	Training and Professional Development
Figure 3.1:	Distribution of expenditure for the fiscal years 2016/2017
Table 4.1:	Status of Telecommunications Licence Applications Received and Processed through the Commission
Table 5.1:	Telecommunications Licence Fees Collected by the Government of Saint Lucia and ECTEL

Abbreviations and Acronyms

Act	Telecommunications Act, Saint Lucia, No. 27 of 2000
Commission	Saint Lucia National Telecommunications Regulatory Commission
CTU	Caribbean Telecommunications Union
ECTEL	Eastern Caribbean Telecommunications Authority
ECTEL Member States	Dominica, Saint Lucia, Saint Vincent & the Grenadines, Grenada, Saint Kitts & Nevis
ECTEL Treaty	Treaty establishing the Eastern Caribbean Telecommunications Authority
ITU	International Telecommunications Union
Minister	Minister with responsibility for Telecommunications
MMS	Mobile Monitoring Station
NTRCs	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	Harmonisation of ICT Policies Legislation and Regulation Procedures in the Caribbean
DRR	Disaster Risk Reduction
BAC	Budget Advisory Committee
CARIBNOG	Caribbean Network Operators Group
VOIP	Voice Over Internet Protocol
SLASPA	Saint Lucia Air and Sea Port Authority
GOSL	Government of Saint Lucia
FM	Frequency Modulation
FRS	Family Radio Service
HSPA	HSPA+, or Evolved High-Speed Packet Access
IMT	International Mobile Telecommunications
LMR	Land Mobile Radio
LTE	Long-Term Evolution
SLARC	Saint Lucia Amateur Radio Club.
SMS4DC	Spectrum Management Software 4 Developing Countries.
TU	Technical Unit (NTRC)
UMTS	The Universal Mobile Telecommunications System

Executive Summary

In the operating year 2016/17, the Commission worked diligently in executing its mandate through its technical activity, the implementation of Universal Service Fund (USF) Projects, and through our administrative operations. Considerable effort and other resources were expended on addressing consumer disputes by developing more effective administrative and technical processes, organising meetings with relevant agencies to develop partnerships, and publishing notices on obtaining redress in locally circulated newspapers and on the Commission's website. The Remuneration and Post Classification Guidelines/Policy and Broadband Guidelines were completed, and work continued on some competition matters.

The above-stated activity was undertaken together with other tasks such as correspondence processing, application review, database population, website updating, complaints investigation, conduct of research, public awareness activity, enforcement activity such as fee collection, monitoring of USF projects and monitoring of service providers' operations inclusive of broadband services and voice services.

This Report will highlight the Organisation's accomplishments through the assiduous efforts of Commission's Staff Members, supported by the Commissioners, in the current reporting period 2016/17.

1. National Telecommunications Regulatory Commission

1.1 Constitution of the Commission for 2016/2017

The Commissioners of the National Telecommunications Regulatory Commission from October 1, 2016 to July 31, 2017, were:

Mr. Gerry George
Mr. Fred Alvin Malaykhan
Mr. Jason Edgar

The Commissioners of the National Telecommunications Regulatory Commission as of September 30, 2017, were:

Mr. Fred Alvin Malaykhan
Mr. Jason Edgar

1.2 Organisational Structure and The Secretariat

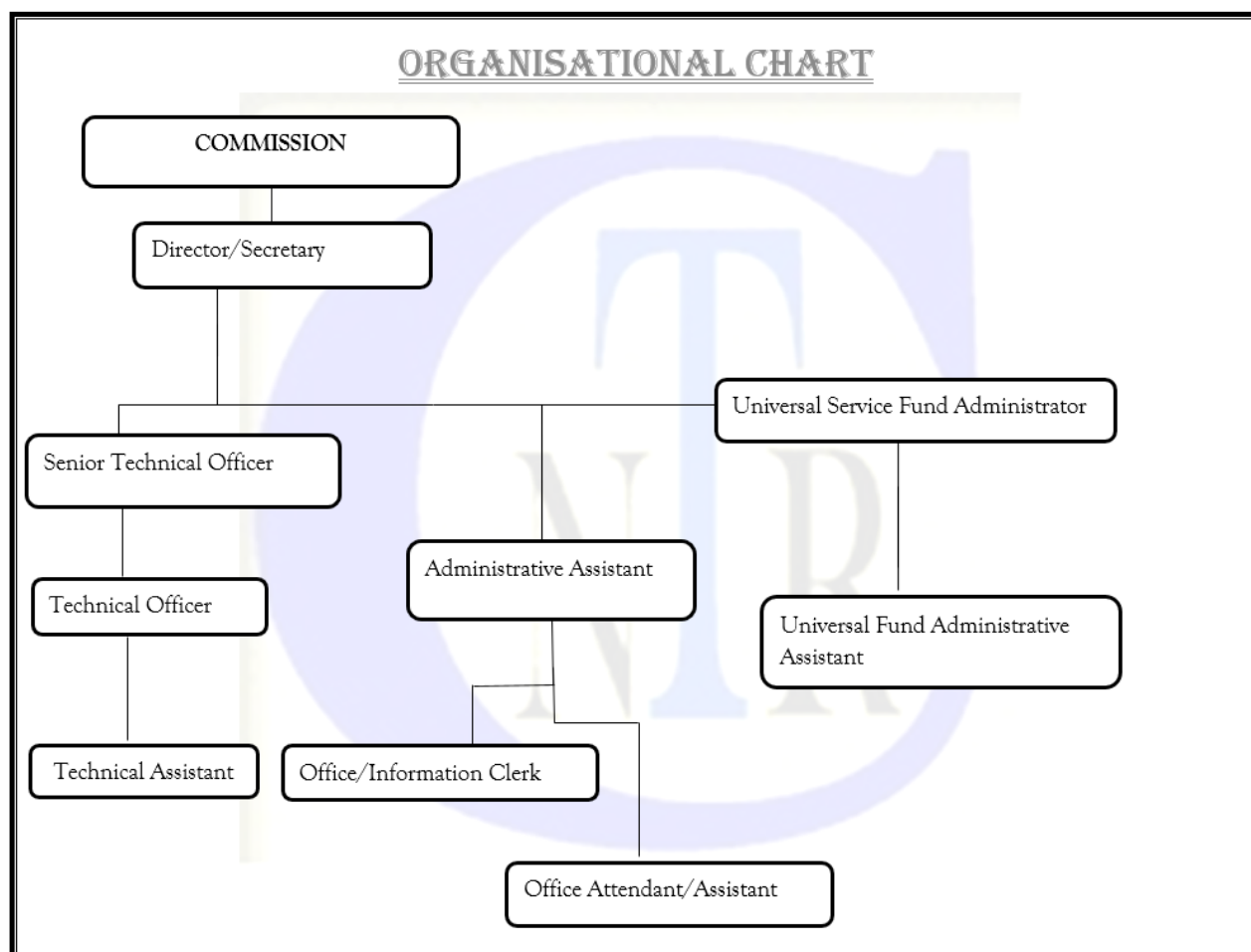


Figure 1.2: Organisational Structure for the National Telecommunications Regulatory Commission

1.3 Appointments

1.3.1

Position of Technical Officer

Mr. Desmond Regis was appointed as the Commission's Technical Officer and commenced his contract on August 15, 2017.

2.1 Diary of Key Events

A Diary of Key Events during the period October 2016 to September 2017 has been presented below; the table is a summary of the most significant events.

2.2 Training & Professional Development

Financial Year October 2016/September 2017

COURSE/ MEETING TITLE	PLACE	DATE	ATTENDEES
IIC Telecommunications & Media Forum	Washington DC, USA	November 27 -December 1, 2016	Commissioner Gerry George and Director/Secretary Shana Willie-Matoorah
Accessible Americas III: Information and Communication for all	Mexico	November 28-30, 2016	Universal Service Fund Administrator, Sandra Jones
E-Waste Management Workshop	Saint Lucia	December 6-7, 2016	Senior Technical Officer, Alden St. Clair
ITU Regional Frequency Coordination Meeting on use of the VHF band (174-216MHz) and the UHF band (470-806 MHz)	Nicaragua	March 6-12, 2017	Senior Technical Officer, Alden St. Clair
Regulatory Principals & Competition Policy in the Digital Age	Washington DC, USA	March 25 – April 1, 2017	Commissioner Gerry George and Director/Secretary Shana Willie-Matoorah
Capacity Building Exercise – CCLT Management & Its Related Issues	Grenada	April 27-29, 2017	Senior Technical Officer, Alden St. Clair
Telecommunications & Media Forum	Miami	May 22-26, 2017	Commissioner Gerry George and Director/Secretary Shana Willie-Matoorah
The 5 Choices to Extraordinary Productivity	Saint Lucia	June 7-8, 2017	Universal Service Fund Administrator, Sandra Jones and Administrative Assistant, Joanita Alexander
Presentation on The 5 Choices to Extraordinary Productivity according to Franklyn Covey facilitated by Universal Service Fund Administrator, Sandra Jones and Administrative Assistant, Joanita Alexander	Saint Lucia	June 22-23, 2017	All staff of the Commission and staff of Yarde and Associates

3. Financial Review

In this chapter, the Financial Reports for the National Telecommunications Regulatory Commission, for the period October 1, 2016 to September 30, 2017, are presented. The discussion is supported by the Auditor's Financial Report, which is included as Appendix A.

3.1 Summary of Income Inflows and Usage

For the period October 1, 2016 to September 30, 2017, ECTEL disbursed EC\$ 940,152.48 to meet the Commission's operating budget.

3.2 Financial Audit Report

The Financial Audit Report was prepared by an independent auditor, Mario Lendor.

In the main, the Commission's Audited report revealed that its financial statement and cash flow for the period October 1, 2016 to September 30, 2017 was presented and was in keeping with the International Financial Reporting Standards.

4. Telecommunications Licence/Frequency Authorisation

4.1 Telecommunications Licence/Frequency Authorization Update

Pursuant to s.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 30, 2017. The list is included herein (see Section 4.2).

The table below specifies the following:

The number of licence applications that the Commission received, for the period under review;

The number of those applications 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 the stated year.

Table 4.1: Status of Telecommunications Licence Applications Received and Processed through the Commission for the period October 2016 to September 2017.

	October 2016 to September 2017
No. of Licence Applications Received by the Commission	59
No. of Application Closed with Positive Recommendations	58
No. of Licences Granted by the Minister	13

The Issuance of Licences and Frequency Authorisations pursuant to sub-section 13 (7)(a) of the Telecommunications Act, No. 27 of 2000, 2008 Revision 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, 2017.

5. Telecommunications Fees

For the period October 2016 to September 2017, the following amounts in telecommunications fees were collected by the Government of Saint Lucia and by ECTEL in Saint Lucia.

Licence Fees (GOSL)	EC\$ 5,593,704.00
Spectrum Fees (ECTEL)	EC\$ 2,638,690.80
TOTAL	EC\$ 8,232,394.80

NB. At the time of preparing this report additional information remained outstanding from ECTEL.

5.1 Telecommunications Licence Fees

The telecommunications licence fees collected by the Inland Revenue Department (IRD) on behalf of the Government of Saint Lucia for 2015/2016 as indicated above.

5.2 Frequency Authorisation (Spectrum) Fees

The Commission remains reliant on spectrum fees for its day-to-day operations. In a continued effort to fulfil its enforcement mandate through revenue collection, the Commission partnered with ECTEL to meet with delinquent providers to discuss the implications of their non-payment of fees and to obtain commitments from them to honour their debts. Some payments were received but they were not significant enough to be recorded as a success. The Commission will continue to intensify its collection efforts during the year 2015/2016.

PROVIDERS SPECTRUM FEES PAYMENT FOR 2016/2017

Provider	Amount
Island Broadcasting, Advertising Services	1,300.00
Cable & Wireless (WI) Ltd. - SLU	240,000.00
Chugani Industries Limited	200.00
Goddard Catering Group (St. Lucia) Ltd.	200.00
Island Broadcasting, Advertising Services	1,700.00
Digicel (St.Lucia) Ltd.	240,000.00
Digicel (St.Lucia) Ltd.	2,000.00
Ten Sports/Taj TV Ltd.	600.00
Ten Sports/Taj TV Ltd.	600.00
Cable & Wireless Caribbean Cellular (SLU) Ltd.	520,000.00
Cable & Wireless Caribbean Cellular (SLU) Ltd.	11,000.00
Wireless Ventures (SLU) Ltd.	518,000.00
BDSL Ltd (Smugglers Cove Resort & Spa)	1,000.00
Digicel (St. Lucia) Ltd.	340,000.00

5. Telecommunications Fees

Bay Gardens Resort	400.00
Helen Television System Ltd.	125.00
Helen Television System Ltd.	9,000.00
Helen Television System Ltd.	7,500.00
Cable & Wireless (WI) Ltd - SLU	88,000.00
Globecast UK (SLU) Ltd.	30,000.00
Globecast UK (SLU) Ltd.	15,000.00
Ronin Guardian Agency Limited	200.00
Ronin Guardian Agency Limited	200.00
Ronin Guardian Agency Limited	200.00
The Body Holiday	200.00
Massy Stores (St. Lucia)	400.00
Royal St. Lucian by Rex resorts	600.00
Digicel (St. Lucia) Ltd.	523,000.00
Richard Jn. Marie	200.00
Caribbean Dispatch Services Limited	200.00
Rhythm FM Inc.	5,000.00
Rhythm FM Inc.	5,000.00
Rhythm FM Inc.	5,000.00
Caribbean Prem OC (St. Lucia) Ltd.	3,600.00
Southern Broadcasting Services	2,200.00
Indigo Asia	15,000.00
Link Technology	25,000.00
Link Technology	26,065.80
2,638,690.80	

OUTSTANDING SPECTRUM FEES FOR 2016/2017

PROVIDERS	AMOUNT DUE
All Biz	4,250.00
Adolphus Adolphus Francis & Manley Richard	2,000.00
Almus Mc Dowall	4,500.00
ARINC Incorporated	4,000.00

5. Telecommunications Fees

BDSL Limited (Smugglers Cove)	200.00
C&W C'bean Cellular (SLU) Ltd.	11,000.00
Cable & Wireless (WI) Ltd - SLU	244,200.00
Cable & Wireless (WI) Ltd - SLU	240,000.00
Cable & Wireless (WI) Ltd - SLU	88,000.00
Digicel (St. Lucia) Ltd.	200,000.00
Digicel (St. Lucia) Ltd.	240,000.00
Digicel (St. Lucia) Ltd.	547,000.00
Dystreek Inc.	4,500.00
AEP & Sons	200.00
Globecast Africa - SLU	12,000.00
Green Dot	18,000.00
Green Dot	101,000.00
Harris Customs Brokerage	200.00
HOT FM Inc.	5,000.00
Helen Television System Ltd.	72,500.00
Helen Television System Ltd.	19,000.00
Helen Television System Ltd.	30,000.00
Hit Radio	6,600.00
Hitz FM	4,400.00
Hot FM Communications	4,500.00
Indigo	15,000.00
Island Broadcasting, Advertising Ser.	4,500.00
IMG Media Ltd.	2,000.00
Jalousie Plantation (Sugar Beach)	1,600.00
Kwency Griffith (Vibe Radio)	4,400.00
Nature Island Communications	6,200.00
NEMO	4,200.00
Landings Resort	400.00
Liberty FM (92.3)	2,000.00
John Poleon (Love FM)	4,250.00
Mediazone Productions Inc.	3,500.00
MIX Broadcasting Co.	4,500.00

5. Telecommunications Fees

PATWA	396,000.00
Pentecostal Assemblies of the W. Indies	4,250.00
RASCO Ltd.	200.00
Ronin Guardian Agency Services	200.00
Rhythm FM Inc.	5,000.00
Rubis West Indies Ltd.	200.00
Secure St. Lucia	200.00
Solar Energy Services Company	200.00
Soufriere Development Foundation	2,200.00
Southern Broadcast Services	2,200.00
Southern Taxi Association	400.00
Splash Island Water Park	400.00
St. Lucia Air & Sea Port Authority	4,800.00
St. Lucia Helicopters	200.00
St. Lucia Electricity Services Ltd.	5,200.00
St. Lucia Distillers	200.00
Stompid Electronics	2,000.00
Sunrod Property Inc.	1,000.00
Ten Sports	600.00
The Wave - Gem Radio	8,750.00
UNO Broadcasting	4,000.00
Upsurge	4,250.00
Valerie Octave	2,250.00
Viking Trading Ltd.	200.00
West Indies Cricket Board	12,000.00
Windjammer Landing	600.00
Wireless Ventures (SLU) Ltd.	518,000.00
TOTAL	2,891,100.00

The Commission continues to carry out its mandate by sending letters and invoices to all Providers, especially delinquent Providers. The Commission and ECTEL also continue to make recommendations for the revocation of licences to the Minister with responsibility for Telecommunications in the instances where Providers fail to comply with the numerous requests made for them to meet their fee payment obligations. As a result of our enforcement initiative, the Commission has noted that Providers have made payments towards their outstanding fees or have begun entering into arrangements to make payments by instalments. The Commission anticipates that payments will be continued in the period 2016/2017.

6. Regulatory, Sector & Operational Matters

6.1 Electronic Communications Bill (EC Bill)

The review of the current sector legislation, the Telecommunications Act and its ensuing Regulations, has been ongoing for approximately ten (10) years. There have been numerous consultative activities on the proposed revised legislation- the Electronic Communications Bill (EC Bill), under the direction of ECTEL, to ensure that the revised legislation is discussed adequately and results in a legal frame-work that will be sufficient to govern the telecommunications sector in Saint Lucia in this current climate.

In the reporting period 2016/17, the Commission participated in most of the activity correlated with the EC Bill. Upon completion of the consultative process, the Commission received an ECTEL's Council approved version of the Bill in January 2017. In considering the proposed legislation, the Commission was still concerned with the provisions for the licensing process, budget and work plan, and penalties. Some telecommunications providers also expressed concerns about the provisions on infrastructure sharing, net neutrality, Over-the-Top Services and the increased cost of implementing the legislation.

Based on the foregoing, the Commission deemed it necessary to discuss the proposed legislation with fellow NTRCs, engage the Attorney General's Chambers to communicate the Commission's position, and submit a report on the matter to ECTEL.

On January 27, 2017, the Commission met Counsel Vidal-Jules in the Legislative Drafting Department of the Attorney-General's Chambers in Saint Lucia to discuss the Electronic Communications Bill. A discussion on the proposed Bill commenced but came to a premature end because Counsel thought it best that the Bill be discussed in the presence of all parties, including ECTEL. It was indicated that multi-stakeholder discussions of the Bill have taken place on a few occasions over the last ten years. Counsel thought that this approach would yield the best results. Consequently, fellow NTRCs were contacted for a collective discussion of the version of the EC Bill which was presented at the time.

On March 7, 2017, the NTRCs met to discuss the EC Bill. NTRC SVG, through Mr. Knights its Director, was present at the Office of the Commission while NTRC Dominica, St. Kitts (in part) and Grenada (in part) participated through their respective Directors/Coordinators via an online facility. All comments were collated and presented to the NTRCs for ratification. The ratified Report was presented to ECTEL on March 24, 2017. The Commission received a response from ECTEL on May 13, 2017, which did not address some of the Commissions' concerns.

Also noteworthy is the continual effort of telecommunications providers to communicate their concerns on some of the provisions of the Bill. In that vein, said providers have had several meetings with ECTEL and the NTRCs, and have also made presentations to the Ministers of Telecommunications in the ECTEL Member States.

At the time of penning this report, the proposed legislation still had not been promulgated.

6.2 Modification of Licences/Frequency Authorisation

During the reporting year 2016/17, ECTEL embarked on an initiative to modify Individual Licences and the correlated Frequency Authorisation. Below is an excerpt from one of ECTEL's documents in which a summary of the recommended changes was provided:

"In summary the main amendments can be found within the definition and clauses of the licences as follows:

Definitions: The definitions within the licences were revised to include, commission, change of control, merger, net neutrality, significant market power, significant interest.

6. Regulatory, Sector & Operational Matters

In Part I, Clause 7 has been inserted to address change of control.

“7.1 The licensee shall not enter into a merger agreement or any agreement which results in the change of control of the licensee, without the prior written consent of the Minister, acting on the recommendation of ECTEL. The Minister shall not unreasonably withhold his consent and shall give reasons for refusal.”

Part II, Clause 4: LICENSEE’S OBLIGATIONS TO CUSTOMERS

Clause 4.8 “The Licensee shall offer number portability to Customers.”

Under Part II, Clause 5 NUMBERING AND FREQUENCY

“5.2 The Licensee shall configure its network to facilitate number portability between similar networks, as and when directed by the Commission, acting on the recommendation of ECTEL.”

Part II, Clause 6: NON-DISCRIMINATION AND FAIR TRADING, has been amended by including 6.3 and addressing the use of the term “significant market power” which will be the words used under the EC Bill to address, what is now “dominance.” Without limiting the generality of Condition 6.4, any such act or omission shall include:

6.5.1 any abuse by the licensee, either independently or with others, of a dominant position or a position of significant market power;

6.5.2 Entering into any contract or engaging in any concerted practice with any other party;

6.5.3 Failing to comply with any written direction of the Commission to act or to refrain from acting in a particular manner where the effect of the act or omission has been deemed by the Commission as likely to have the effect of unfairly preventing, restricting or distorting competition in the Licensed Service; or

where the effect of the conduct defined in Conditions 6.5.1, 6.5.2, and 6.5.3 is, or is likely to be, a substantial lessening of competition in that market or any other market.

Clause 9: PRE-NOTIFICATION OF CHANGES IN SHAREHOLDING has been amended to include a new section 9.2, 9.3, 9.4.

9.1 Subject to Clause 7, the Licensee shall notify the Minister of any acquisition of shares, voting rights or distribution of surplus assets or change in shareholding of the Licence by any Person if, by reason of that acquisition or change, the total number of its shares in the Licensee held by that Person together with any shares held by any nominee or trustee for that Person, immediately after the change or acquisition is or exceeds 20 per cent of the total number of shares, voting rights, or in the distribution of surplus assets in the Licensee (where such shareholding did not already exceed 20 per cent prior to that change or acquisition).

9.2 The Licensee shall notify the Minister in writing ninety (90) days prior to the taking effect of such change or acquisition stated above.

9.3. Upon receipt of the notification under clause 9.2, the Minister shall on the recommendation of ECTEL, issue in writing within 80 days, a certificate of non-objection without conditions, a certificate of non-objection with conditions or a certificate of objection on the grounds of public interest or national security, having taken into account the purposes of the Treaty establishing ECTEL and Article 4, the purpose of ECTEL.

6. Regulatory, Sector & Operational Matters

9.4. A licensee who failure to comply with Clause 9 (notification of change in shareholding) shall be in breach of this licence.

Annexes: The annexes have been updated to delete obsolete references such as “dial-up”.

The quality of service requirements coming out of the consultation process have been added to the new licences.

Universal service requirements have been updated to include universal service and access.

Other amendments have been made which may include the insertion of “as amended in Regulations issued by the Minister” after reference to an annex. Similar amendments have also been inserted into frequency authorisations.”

Further, ECTEL conducted a series of consultations on this matter in which the feedback of providers was requested. Most providers took the opportunity to provide feedback; in the main, their reluctance to accede to the proposed changes was expressed.

At the time of penning this report, the modification to Individual Licences and the correlated Frequency Authorisation was not finalised by ECTEL.

6.3 Consumer Matters

As indicated in the previous Annual Report 2015/16, the Commission executed its plans in relation to its focus on consumers. In that vein, the Commission:

Met the Department of Consumer Affairs of the Ministry of Commerce, Industry, Investment, Enterprise Development and Consumer Affairs and the National Consumer Association (NCA) to join forces to address the above-mentioned matter;

Informed Members of the public on the recourse available as prescribed by the Telecommunications (Dispute Resolution) Regulations 2008;

Continued its monitoring of telecommunications services through software testing, analysing spectrum operations and engaging consumers; and

Addressed telecommunications service providers on the matter.

Meeting with Department of Consumer Affairs and National Consumer Association (NCA)

On March 21, 2017, the Commission met with Mr. Eugene Mitchel of the Department of Consumer Affairs in the Ministry of Commerce, Industry, Investment, Enterprise Development and Consumer Affairs to discuss: 1) consumer complaints; 2) the mechanism to address these complaints by the Commission and the Department of Consumer Affairs; 3) confirmation of the Officers within each Organisation who are to be contacted in relation to complaints; and 4) a brief discussion on the possible collaboration on an initiative to educate consumers/target groups on their rights, responsibilities and protection. There was also discussion on engaging the National Consumer Association (NCA).

On September 29, 2017, the Commission met with Mr. Chester Octave, the President (Ag) of the National Consumer Association (NCA) to discuss the proliferation of consumer complaints about telecommunications services. Mr. Octave explained the NCA’s far-reaching mandate, their advocacy skills and the procedures that are used to resolve consumer complaints. The NCA’s approach provides a short-term/immediate response and assistance to the complainant. Thus, on a preliminary basis, it was agreed that in the situations in which immediate action and resolution are required, the complainant will be directed to the NCA. If the complaint needs to be escalated, the Ministry of Consumer Affairs or the NTRC will be contacted, depending on the nature of the complaint and mandate of the above-named institutions.

6. Regulatory, Sector & Operational Matters

6.3.2 Public Awareness Activity

In keeping with its focus on consumers, the Commission intensified its public education activities. The Commission used the television broadcast medium (National Television Network, NTN) and the print media (the Mirror, Star and Voice Newspapers) to engage and educate members of the public on the Universal Service Fund (USF), USF Projects, and the dispute resolution process, respectively.

The documentary on the USF Project for the differently abled is attached in Compact Disc Format or available on the Commission's website, www.ntrc.lc. Additionally, Appendix I can be viewed for the Notice on the dispute resolution process which was published throughout the Reporting period.

6.3.3. Engagement of Providers

Continuing with its emphasis on consumer matters, the Commission ensured that it engaged telecommunications providers on their operations, quality of service and pricing matters through a series of meetings and written correspondence.

Meeting with Providers

On February 9, 2017, the Commission met Cable and Wireless (St. Lucia) Ltd.'s (FLOW) and Columbus Communications (St. Lucia) Ltd.'s (FLOW) representatives. The primary reason for the meeting was to discuss FLOW's quality of service and the steps taken by FLOW to address the matter. The FLOW representatives confirmed that there have been issues with one of their networks. The representatives went on to inform that in January 2017, some equipment was replaced which caused some congestion issues to be experienced. By way of resolution, it was indicated that additional equipment was purchased and would be installed expeditiously with the expected results of resolving the above-mentioned issue.

Throughout the period, the Commission continued to liaise with FLOW on the above-mentioned matters to ensure that the requisite steps were taken.

In another meeting held on June 27, 2017, FLOW admitted that some technical issues had been affecting its services. The assurance was given that some further work would have been done which would result in improved service within a short period subsequent to the completion of the work. FLOW also agreed that more public relations work is needed and indicated their efforts in that regard. It was also confirmed that customers with interrupted services were compensated in accordance with service contracts.

Communique' to Providers

In May 2017, the Commission sent correspondence to Cable & Wireless (St. Lucia) Ltd. (FLOW) and Columbus Communications (St. Lucia) Ltd. (FLOW) concerning the interruptions in service experienced by customers during the weeks of May 22 and May 29, 2017. The providers were required to indicate the following:

- The services that were being interrupted;
- The geographic areas that were being affected;
- Cause of the interruption; and
- A timeline for restoration of service.

Both providers submitted timely responses. Therein contained within the submissions was the cause of the interruption which was communicated as networks upgrade to facilitate the provision of improved services, the affected areas, the period of interruption, the number of customers that were affected, the mode of notice used to inform customers, and FLOW's willingness to address customer complaints.

The Commission transmitted further correspondence to the said providers requesting that they provide confirmation that

6. Regulatory, Sector & Operational Matters

the upgrade works were complete and confirm that services were being provided at an optimal level. In response the providers informed the Commission that the necessary works were undertaken and service had been restored.

The Commission also took further action by engaging customers to determine whether or not the providers had been addressing its customers' complaints satisfactorily. Providers were also required to submit the "Statement of Complaints" reports on a monthly basis and "Quality of Service" Reports quarterly as prescribed by the Telecommunications (Dispute Resolution) Regulations 2007 and the Telecommunications (Quality of Service) Regulations 2008 respectively.

6.3.4 Proposed Price Increases

Digicel (St. Lucia) Ltd.

In correspondence dated December 30, 2016, Digicel (St. Lucia) Ltd. (Digicel) provided notice of a proposed price increase. Digicel's notice contained minimal information, thus, the Commission decided to meet the provider to discuss the above-mentioned matter.

On January 27, 2017, the Commission met Digicel to discuss the proposed price increases for their voice post-paid service and data pre-paid services and requested that Digicel reconsider its decision to increase the prices. In an electronic message dated January 31, 2017, Digicel indicated that the price increases would not be implemented.

Cable & Wireless (St. Lucia) Ltd.

In correspondence dated June 9, 2017, the Commission also received notification from C&W (St. Lucia) Ltd. (FLOW) about the proposed increase in prices for pre-paid mobile services. The Commission responded to the notice and requested that FLOW submit information justifying its proposed price increase. FLOW provided a response indicating its refusal to submit information to the Commission and started to notify customers of the price increase taking effect on July 1, 2017.

The Commission addressed FLOW in another written communique' requesting the submission of detailed information in support of its claim of increased costs and requested a meeting on June 21, 2017 to discuss the above-mentioned, amongst other matters.

On June 27, 2017, the Commission met with FLOW's representatives. FLOW maintained its position to withhold information on its costing of mobile services due to the categorization of mobile services as unregulated. FLOW indicated that the information would be shared once it became necessary to do so and insisted that our request for information was tantamount to regulating mobile services, which was improper since the Commission had not adopted the transparent process of a public consultation to make a determination.

The Commission maintained its position that as the Regulator, it is in a position to engage providers, particularly in the instances in which consumers may be impacted negatively.

The Commission firmly believes that the necessary study or analysis of the market is required to make a determination on whether or not mobile services should be categorised as regulated. By virtue of the Telecommunications (Retail Tariff) Regulations 2015, ECTEL has been engaged on this matter on several occasions. A firm response on the conduct of a market study or analysis has not been communicated by ECTEL. Although limited by funds, the Commission, on several occasions, has consulted an international expert on this matter and has halted progress in consideration of a harmonised approach in this matter. However, it has become unequivocally apparent that some analysis of the market is required to make a determination on the categorisation of mobile services in Saint Lucia to ensure that consumers are protected and are receiving reasonably/affordably priced services at an acceptable quality.

6. Regulatory, Sector & Operational Matters

6.4 Broadband Guidelines

The Commission's proposed Broadband Guidelines was completed by May 12, 2017. The objective of the document is to provide direction on broadband operations and services to ensure quality services to consumers at reasonable/affordable prices. This may enable growth of Information and Communication Technologies (ICT), applications and services and possibly growth of economy in Saint Lucia and by extension the Caribbean region. The view is held that optimal broadband operations will result in a truly competitive knowledge-based economy and leverage citizens to become healthier, better educated and more engaged in their community & society and generally contribute to social development.

The Guidelines will be presented for public consultation and finalised subsequently.

Remuneration and Post Classification Guidelines (Draft)

The Commission also completed its Guidelines on Remuneration of its staff members and classification of positions within its staff body in this operating year. The objectives of the Guidelines include:

The attraction of premium qualified individuals to share the vision and achieve the mission of the Organisation;

The provision of equitable and consistent remuneration to Staff Members in accordance with their assigned duties and responsibilities;

The compensation of Staff Members with competitive market-based salaries to facilitate the retention of a competent workforce;

The motivation of Staff Members to attain high levels of performance;

The recognition and reward of Staff Members' contribution to the Organisation; and

To communicate the parameters for establishing remuneration packages.

Upon final review by the Commission, the Guidelines will be implemented formally in the upcoming year of operation, 2017/18.

7. 2016/2017 Work Programme

As indicated in the Commission's last four (4) submissions on this subject matter, from 2012-2016, we will continue our strategic approach to executing our mandate and maintain our responsive approach to the dynamism of the telecommunications sector. In that regard, for the period 2017-2018 and beyond, there will be a focus on Consumer Matters and Competition Matters.

The Commission will also continue its general administrative, technical and project operations inclusive of processing correspondence and applications, standards and guidelines development, provision of advice, investigative activity, enforcement activity such as fee collection and monitoring of service providers' operations with a focus on broadband services, implementation of USF Projects, and engaging in public awareness activities.

In consideration of the current state of the telecommunications sector, the Commission deems it necessary to give priority to the following matters for the imminent fiscal year 2017/18:

- Consumer Matters - education, empowerment, protection;
- Competition Matters – mergers/acquisitions/integrations;
- Enforcement – broadband measurement and monitoring network; and
- Human Resource Development.

8. Technical Operations 2016/2017

8.1 Introduction

The Technical Unit (TU) of the National Telecommunications Regulatory Commission (NTRC) is charged with assisting the Commission in executing its duties set out in the Telecommunications Act No.27 of 2000. Fulfilling these tasks requires an approach that effectively accomplishes all goals mandated by the Commission to the TU. The staff of the TU had the privilege of attending training sessions, working groups, seminars and workshops. Attendance at these sessions has equipped the unit to effectively accomplish its goals. This document is designed to help the reader understand the role of the TU and how the unit has or intends to accomplish its mandate. A glossary of technical terms has been included to help the reader better understand certain terminologies in the document.

8.2 Training and Professional Development

Below are sessions the TU attended during the course of 2016/2017.

8.2.1 E-Waste Management Workshop

The Senior Technical Officer attended this workshop in Saint Lucia from December 6-7, 2016.

This project will serve as a blue print for similar initiatives in other countries within the Caribbean region. As part of this project, the ITU has recruited an International Expert who will design the e-waste Management Policy and Regulatory Framework that will be developed in two phases. Phase one will focus on the assessment of current e-waste treatment and the forecast of e-waste volumes and value. Phase two will focus on designing and commissioning of a draft e-waste management policies and regulatory framework document for Saint Lucia.

8.2.2 ITU Regional Frequency Coordination Meeting, March 8-10 2017

The Senior Technical Officer attended this workshop in Nicaragua from March 8-10, 2017

The bands for revision was the VHF band (174-216 MHz) and the UHF band (470-806 MHz), currently they are used for broadcasting in most countries and ECTEL member states. However, some countries are using them for mobile (ECTEL is also considering going that route). The Commission attended the meeting with the view that the ITU would also follow the trend of using those frequencies for mobile. However, they are going to continue using them as broadcast frequencies. The meeting was mainly to encourage countries to update the master table with all their broadcast frequencies and also provided training on how to use the BRRIFIC software.

8.2.3 Capacity Building Exercise

This workshop was attended by the Senior Technical Officer and Director/Secretary in Grenada, in April 28, 2017.

This workshop was geared at the growing concerns of TLDs and how to avert the problem. KS registry, a company specializing in this field gave a presentation on the same subject.

8.3. Milestones Achieved/Ongoing

8.3 Monitoring Exercises

8.3.1 Overview

The TU has developed a strategy of weekly monitoring of the radio frequency spectrum. This involves the monitoring of all applicants in class and individual licencees who use radio frequency to provide a service and/or for communication within the company/entity. This exercise has proven to be successful in updating the TU database and also identifying illegal users of the spectrum.

8.3.2 Summary of weekly monitoring

The TU focused heavily on the FM frequency band which was set out in the Enforcement Drive implemented by the Commission at the commencement of the 2014, 2015 into 2016 period. The TU conducted island wide monitoring, visiting districts and the two main areas/towers (The Morne and Moule-a-Chique (Annex 1)) consisting of sixty percent (60%) of the island's FM broadcasters (Annex 2). This exercise was conducted to verify that assigned frequency was being utilised in keeping with the Technical Broadcast Standards and to also detect any illegal broadcasters. While implementing this drive, the TU noticed erection of towers by broadcasters without any notification to the Commission.

8.3.3 Interference Issues 2016/2017

With reference to the 2013 and 2014 Annual Report the document which was forwarded to the ITU via ECTEL concerning interference issues between Saint Lucia and Martinique has not been resolved. The Commission is awaiting a response from the said entity.

The Commission received almost no complaints as compared to the period 2015/2016 from the airports concerning interference from local FM broadcasters. This is due to positive efforts exercised by the parties involved (SLASPA, NTRC and FM broadcasters) to minimise interference issues. The Commission is continually working with all stakeholders to keep interference at a minimum.

8.4 Enforcement

8.4.1 2016/2017

The Secretariat is continuing its enforcement drive to which the TU has contributed by delivering letters to companies/individuals who use licensed telecommunications services without a valid licence. The TU approach is a two (2) step process: the first letter is an enforcement letter (Annex 3); informing the company/individual of the need to comply, if there is no redress from the said company/individual, a second letter (Annex 4) is sent informing the latter of their breaching of the law and the actions that are to be taken against them. To date the TU has electronically delivered letters to all operators and users who require a licence. To date, several persons have complied and submitted the respected licences for the services to which they provide/utilise. It should be noted that several operators/users have been exempted from being licensed by an order promulgated on 10th June 2014.

2016/2017

Although several delinquent licensees renewed their licences, a few have not shown any interest. Therefore, the TU took the initiative and hand delivered letters informing the licensees of the urgency in renewing. This is still ongoing.

8. Technical Operations 2016/2017

8.4.2 My PC Connection/RIPE

The Commission has embarked on the monitoring of broadband services (focusing on customer premises). Currently the software My Connection PC has been sourced to assist with this venture. The purpose of this would be to monitor the quality of service a customer receives at the premises, then place this in a report to be forwarded to the provider. This endeavor will assist not only the Commission in understanding the current climate of the island's broadband, but also help the provider to know the actual environment of customers.

The Commission has also acquired a dongle/adaptor, which can be installed at the customer's premises. This device will monitor broadband and certain aspects of the QoS, Speeds, Up time and down time of the same. This will be used in conjunction with My PC Connection.

8.4.3 Update of FM Broadcasters

With the increasing number of FM broadcasters, the limited amount of available frequency used for this application is depleting considerably. Broadcasters are also inundated with interference from their counterparts and at times abandon assigned frequencies or have relocated towers for better reception to reach their listeners/customers, without informing the NTRC.

The TU through its weekly monitoring, recognised this and has embarked on the task of updating its database. Letters were mailed (via email and hard copy) to broadcasters requesting all technical parameters (Annex 5) of their equipment used for broadcasting. This is still ongoing since some broadcasters have not sent in a response.

8.4.4 Integrated Spectrum Monitoring and Management System (ISMMS)

ECTEL along with the NTRCs have embarked on this project, procuring a system that will monitor and manage the spectrum. This includes the installation of fixed stations across the islands. This system is also a management system that will aid in spectrum assignment, billing/invoicing of spectrum and submission of applications. Procurement of the system is ongoing and will be commissioned very soon.

8.5 Recognized Trends

The TU has recognised a growth in the applications being submitted to the NTRC and the trend emanating is that providers are technologically up to date. This growth is very much welcomed, but to providers using the spectrum, assignment as mentioned in various areas in this section, needs to be managed effectively and efficiently. The different classes which experienced growth are presented below.

8.5.1 Individual Licence:

New applications were not received, only renewals were submitted. It should be noted that the services to be licensed in this category require extensive planning and financial support to be implemented. Therefore, applications will be very few.

8.5.2 Class Licence Type A:

Submission of this type of licence is almost nil and this value is contrary to the vast providers/users of these types of services. As mentioned earlier the TU has embarked on an enforcement drive. This enforcement is geared towards not only having persons to comply with the Telecommunications Act but also to create an awareness amongst the providers/users. As mentioned earlier certain providers/users are now exempt from acquiring a licence, however they are required

8. Technical Operations 2016/2017

to be registered with the NTRC.

8.5.3 Class Licence Type B:

8.5.4 LMR/FRS: There was a continued increase in applications for Land Mobile Radio (LMR) Licence versus Family Radio Licence (FRS) which was previously the preferred method of communication between companies in close proximity. As previously mentioned this ideology was realigned and persons were informed of the proper service to use according the use of the equipment to be utilized for communication. Also, with the updating of the Commission database, delinquent licencees were requested to update their status with the Commission.

8.5.5 Maritime Radio: With the assistance of SLASPA, submission of this type of licence is steadily growing as compared to last year. As mentioned earlier the TU has embarked on an enforcement drive. This enforcement is geared towards not only having persons to comply with the Telecommunications Act but also to create an awareness amongst maritime users.

8.5.6 Amateur Radio: This licence is mainly utilized as a hobby. Submission of this licence came from two groups: locals and visitors. Locals are realising the benefits of having an amateur radio licence particularly during disasters. Visitors who come on holiday utilise this communication as a hobby and praise the great reception/communication they can achieve when communicating with other amateur radio operators worldwide. Also, with the assistance of licensed operators the Commission beckoned delinquent operators to renewal.

8.5.7 Frequency Authorisation:

Many providers - with the advent of fourth generation technology and Long Term Evolution (LTE) - are increasing their bandwidth, backbone links and also increasing their bank of frequencies so as to satisfy their increasing customers and the demand of data from their customers. Applicants are also using frequencies with introduction of new services to complement the existing ones. The implementation of new technology is always welcomed but management of the spectrum needs to be enforced.

8.5.8 Broadcast Licence:

Applications for this type of licence have lessened. The decrease may be as a result of many factors, but the FM spectrum is depleting and needs to be managed efficiently and effectively. Also, the issues we currently experience with cross-border interference also increase when this resource depletes. Therefore, the TU is currently paying particular attention to this area and exercising a continuous monitoring effort so as to avert problems of interference.

Annex A



Annex A

FREQUENCY (MHz)	STATION NAME
88.1	Errol DJ
88.3	
88.5	Soufriere Regional Development Foundation
88.7	
88.9	
89.1	
89.3	
89.5	Southern Broadcasting Service/Michael Innocent
89.7	
89.9	
90.1	Radio RHEMA (Joy FM)
90.3	Cletus Hippolyte
90.5	Unity FM
90.7	
90.9	Cletus Hippolyte
91.1	Hitz FM
91.3	REAL FM
91.5	REAL FM
91.7	
91.9	(SOUTH FM)
92.1	Hitz FM
92.3	Liberty FM
92.5	ADCOM Ltd (Prayz FM)
92.7	Pending
92.9	(Vybe Radio)
93.1	Kairi FM/ Nature Island Communications
93.3	
93.5	The WAVE Radio
93.7	The WAVE Radio
93.9	
94.1	Pending
94.3	
94.5	The WAVE Radio

Annex A

94.7	The WAVE Radio
94.9	
95.1	Stompid Electronics/Live FM
95.3	Pending
95.5	RHYTHM FM
95.7	
95.9	
96.1	Hot FM Communications
96.3	
96.5	Pending
96.7	Pending
96.9	Radio RHEMA (Joy FM)
97.1	
97.3	Radio St. Lucia
97.5	
97.7	Radio St. Lucia
97.9	Jaycom International
98.1	
98.3	Pending
98.5	ADCOM Ltd (Prayz FM)
98.7	
98.9	
99.1	Radio Caribbean Int.
99.3	Rhythm FM (Blazin FM)
99.5	
99.7	RIZZEN FM
99.9	
100.1	Helen FM (Radio 100)
100.3	Helen FM (Radio 100)
100.5	
100.7	Helen FM (Radio 100)
100.9	(Vybe Radio)
101.1	Radio Caribbean Int.
101.3	

Annex A

101.5	Pentecostal Assemblies of West Indies/ Yes FM
101.7	Pentecostal Assemblies of West Indies/ Yes FM
101.9	Michael Innocent (Southern Broadcasting Services)
102.1	Valerie Octave (RFI Group)
102.3	
102.5	RIZZEN FM
102.7	
102.9	RIZZEN FM
103.1	Dystreek
103.3	Dystreek
103.5	Helen FM (Radio 100)
103.7	
103.9	(SOUTH FM)/Love FM
104.1	Helen FM (Radio 100)
104.3	Uno Broadcast Limited
104.5	IBAS (Island Broadcasting Advertising Services)
104.7	
104.9	Uno Broadcast Limited
105.1	
105.3	Hot FM Communications
105.5	Hot FM Communications
105.7	
105.9	Hot FM Communications/KISS FM
106.1	ALL BIZ Limited
106.3	ALL BIZ Limited
106.5	Mix Broadcasting Company Ltd.
106.7	IBAS (Island Broadcasting Advertising Services)
106.9	Mix Broadcasting Company Ltd.
107.1	Kairi FM/ Nature Island Communications
107.3	Radio St. Lucia
107.5	
107.7	
107.9	Kairi FM/ Nature Island Communications

Annex B

Dear Sir/Madam,

An investigation was undertaken on ____ day of ____ 201__ and it was discovered that _____
_____ are operating without a Licence/Frequency Authorisation/Registration under the Telecommunications Act and its
ensuing Regulations.

You are therefore required to apply for the requisite Licence/Frequency Authorization/Registration by ____ day of
____ 201__. The application forms and Procedures are available on our website www.ntrc.lc or at our office located
at Bois D'Orange, Gros Islet.

Upon completion, the application should be submitted to our offices at the above stated address.

Please do not hesitate to contact the NTRC should you have questions.

Yours sincerely,

.....

Received by:

Print Full Name

Date:

Signature

Annex C

Date

OUR REF: 405-07.01/

The Owner

Address

Dear Sir/ Madame

The National Telecommunications Regulatory Commission (NTRC) Technical Unit has launched a formal investigation into the operations of _____. Through a standard monitoring exercise, it was determined that the said company is operating on an expired licence.

The Technical Unit of the NTRC hand delivered an enforcement letter dated _____. To date there has been no formal response by the owner/manager of _____.

The owner of the aforementioned company is in violation of the principle offence of the Telecommunications Act No. 27 2000 Part 3; section (29(1)) which states that, a person shall not establish or operate a telecommunications network or provide a telecommunications service without a licence.

As a consequence of such violations, a person who contravenes subsection (1) commits an offence and shall be liable on indictment to a fine not exceeding one million dollars or to imprisonment for a period not exceeding ten years, subsection (29(4)). See <http://www.ntrc.lc> for a soft copy of the Telecommunications Act.

Considering the circumstances, the NTRC further grants the owner/manager of _____ an additional grace period of (two) 2 weeks from the date of receipt of this letter, to resolve this breach of the Telecommunications Act.

Regards,

Alden St Clair

Senior Technical Officer

Annex D

Date

OUR REF: 335-02/

The Owner

Address

Verification of Records /Information

NTRC is conducting a survey of the current status of operators in the 88-108 [MHz] FM broadcast band. Also, in an effort to minimise/eliminate interference caused by FM service operators with radio communications facilities at Mole-a-Chique high-site in Vieux-Fort, the Technical Unit of NTRC is embarking on an initial physical cleanup of this site. All FM Broadcast operators transmitting on that site please be advised that you will be informed of this cleanup scheduled for Date.

The Commission under the Telecommunications Act 2000 section 13 subsections 2(a) has the authority to acquire information relevant to the performance of its functions including whether or not a person is in breach of a licence, frequency authorisation or the Act.

We thank you in anticipation of your cooperation

Yours sincerely,

Alden St. Clair

Senior Technical Officer

Annex D

Please complete the following by the Date. List all stations where applicable and their corresponding frequencies, etc. that you are responsible for if they exceed more than one FM radio service station.

1. General Information

Current station call Sign: _____

Owner's name/ Manager: _____

Name on Broadcast license: _____

Name on Frequency Authorisation: _____

Station Engineer's name: _____

Station Engineer's Contact e-mail address: _____

Contact telephone number: _____

2. FM Broadcast

List the assigned Frequency/frequencies: _____

Name of the location of the Antenna(s): _____

Antenna site(s) Coordinates (deg/min/sec): _____

Maximum effective antenna height (m): _____

Altitude of site above sea level: _____

Type of polarisation: _____

Maximum EIRP (dBw): _____

Azimuth: _____

Annex D

Equipment (manufacturers Name/brand, model identification, serial number):

3. STL

List the assigned Frequency/frequencies (if applicable):

Name of the location of the Antenna(s):

Antenna site(s) Coordinates (deg/min/sec):

Equipment: (manufacturers Name/brand, model identification, serial number):

Maximum EIRP (dBw):

Altitude of site above sea level (m):

Glossary:

3G: 3G, short for third Generation, is the third generation of mobile telecommunications technology. This is based on a set of standards used for mobile devices and mobile telecommunication use services and networks that comply with the International Mobile Telecommunications-2000 (IMT-2000) specifications by the International Telecommunication Union. 3G finds application in wireless voice telephony, mobile Internet access, fixed wireless Internet access, video calls and mobile TV.

4G: 4G, short for fourth generation, is the fourth generation of mobile telecommunications technology succeeding 3G. A 4G system, in addition to usual voice and other services of a 3G system, provides mobile ultra-broadband Internet access, for example to laptops with USB wireless modems, to smartphones, and to other mobile devices. Even though 4G is a successor technology of 3G, there can be signification issues on the 3G network to upgrade to 4G as many of them were not built on forward compatibility. Conceivable applications include amended mobile web access, IP telephony, gaming services, high-definition mobile TV, video conferencing, 3D television, and cloud computing.

Amateur Radio: Amateur radio (also called ham radio) is the use of a designated radio frequency spectra for purposes of private recreation, non-commercial exchange of messages, wireless experimentation, self-training, and emergency communication. The term «amateur» is used to specify persons interested in radio technique solely with a personal aim and without direct monetary or other similar reward, and to differentiate it from commercial broadcasting, public safety (such as police and fire), or professional two-way radio services (such as maritime, aviation, taxis, etc.).

ANFR: Agence Nationale Des Fréquences – French Radio Spectrum Assignment Authorities

Bandwidth Throttling: It is a reactive measure employed in communication networks to regulate network traffic and minimise bandwidth congestion (for large companies that can afford to pay the ISP to take away service for local households and carry more bandwidth to them). Bandwidth throttling can occur at different locations on the network.

Commission: Same as NTRC.

CTU: Caribbean Telecommunications Union.

ECTEL: Eastern Caribbean Telecommunications Regulatory Authority.

FM: Frequency Modulation.

FRS: Family Radio Service.

HSPA: HSPA+, or Evolved High-Speed Packet Access, is a technical standard for wireless, broadband telecommunication. HSPA+ enhances the widely used WCDMA based 3G networks with higher speeds for the end user that are comparable to the newer LTE networks.

Interference: Interference is anything which alters, modifies, or disrupts a signal as it travels along a channel between a source and a receiver. The term typically refers to the addition of unwanted signals to a useful signal.

ITU: International Telecommunications Union.

LMR: Land Mobile Radio.

LTE: LTE, an acronym for Long-Term Evolution, commonly marketed as 4G LTE, is a standard or wireless communication of high-speed data for mobile phones and data terminals. It is based on the GSM/EDGE and UMTS/HSPA network technologies, increasing the capacity and speed using a different radio interface together with core network improvements.

Maritime Mobile Radio: The Maritime Mobile Service is an internationally-allocated radio service providing for safety of life and property at sea and on inland waterways. It includes the Maritime Mobile Service, the Maritime Mobile-Satellite

Glossary:

Service, the Port Operations Service, the Ship Movement Service, the Maritime Fixed Service, and the Maritime Radio Determination Service.

NTRC: National Telecommunication Regulatory Commission.

OTT: Over-the-top content is a term used in broadcasting and technology business reporting to refer to audio, video, and other media transmitted via the Internet as a standalone product, that is, without an operator of multiple cable or direct-broadcast satellite television systems (so-called multiple-system operators) controlling or distributing the content.

Radio Frequency: Radio frequency (RF) is a rate of oscillation in the range of around 3 kHz to 300 GHz, which corresponds to the frequency of radio waves, and the alternating currents which carry radio signals.

RF Filters: Radio frequency (RF) and microwave filters represent a class of electronic filter, designed to operate on signals in the megahertz to gigahertz frequency ranges (medium frequency to extremely high frequency). This frequency range is the range used by most broadcast radio, television, wireless communication (cellphones, Wi-Fi, etc.), and thus most RF and microwave devices will include some kind of filtering on the signals transmitted or received. Such filters are commonly used as building blocks for duplexers and diplexers to combine or separate multiple frequency bands.

SLASPA: Saint Lucia Air and Seaport Authority. **Spectrum Management:** Spectrum management is the process of regulating the use of radio frequencies to promote efficient use and gain a net social benefit.

Subsea Fiber: A submarine communications cable is a cable laid on the sea bed between land-based stations to carry telecommunication signals across stretches of ocean. The first submarine communications cables, laid in the 1850s, carried telegraphy traffic. Subsequent generations of cables carried telephone traffic, then data communications traffic. Modern cables use optical fiber technology to carry digital data, which includes telephone, Internet and private data traffic.

TLD: A top-level domain (TLD) is one of the domains at the highest level in the hierarchical Domain Name System of the Internet. The top-level domain names are installed in the root zone of the name space. For all domains in lower levels, it is the last part of the domain name, that is, the last label of a fully qualified domain name. For example, in the domain name www.example.com, the top-level domain is com. Responsibility for management of most top-level domains is delegated to specific organizations by the Internet Corporation for Assigned Names and Numbers (ICANN), which operates the Internet Assigned Numbers Authority (IANA) and is in charge of maintaining the DNS root zone.

TU: Technical Unit (NTRC).

UMTS: The Universal Mobile Telecommunications System (UMTS) is a third generation mobile cellular system for networks based on the GSM standard. Developed and maintained by the 3GPP (3rd Generation Partnership Project), UMTS is a component of the International Telecommunications Union IMT-2000 standard set and compares with the CDMA2000 standard set for networks based on the competing cdma One technology. UMTS uses wideband code division multiple access (W-CDMA) radio access technology to offer greater spectral efficiency and bandwidth to mobile network operators.

VSAT: Very Small Aperture Terminal is a satellite communications system that serves home and business users. A VSAT end user needs a box that interfaces between the user's computer and an outside antenna with a transceiver. The transceiver receives or sends a signal to a satellite transponder in the sky.

Wireless Broadband: Wireless broadband is technology that provides high-speed wireless Internet access or computer networking access over a wide area.

9 Universal Service Fund Office Annual Report

October 2016-September 2017

BACKGROUND

The Universal Service Fund (USF) was established under section 44 of the Telecommunications Act (#27 of 2000) of Saint Lucia. Under the provision of the Act, the Fund is managed by the National Telecommunications Regulatory Commission (NTRC) through the office of the Universal Service Fund which collects, disburses and makes relevant decisions with regards to the prudent management of the Fund.

9.1 KEY ACTIVITIES OF THE UNIVERSAL SERVICE FUND OFFICE

Trainings/Workshops

Accessible Americas III: Information and Communication for all- the event is an International Telecommunication Union (ITU) event held in Mexico City, Mexico November 28- 30, 2016.

The meeting's highlight was the disabled, their right of inclusion in the use of modern communication technologies and the best practices and use of equipment and software to ensure inclusion for all. The Universal Service Fund Administrator (USFA) attended this meeting and was also invited to be a panellist. The USFA moderated under the topic 'Reforms and trends in terms of telecommunications and accessibility in the region' and also presented the achievements thus far with improving the lives of the differently abled in Saint Lucia via video clip.

"The 5 Choices to Extraordinary Productivity" by Franklin Covey was scheduled for all Professional/Supervisory staff on June 7- 8, 2017 and attended by the Universal Service Fund Administrator (USFA) and The Administrative Assistant (AA). The workshop was initiated by the management of ECTEL and facilitated by Celestial Self-development Centre. The 5 Choices to Extraordinary Productivity empowers people with clear discernment to avoid distractions and to accomplish the goals that matter most in their professional and personal lives. Supported by science and years of experience, the 5 Choices not only produce a measurable increase in productivity but provide a renewed sense of engagement and accomplishment.

"The 5 Choices to Extraordinary Productivity" NTRC Version. The workshop material was tailored for the staff of NTRC and presented on June 22-23, 2017 in the NTRC conference room. The workshop was conducted by the Universal Service Fund Administrator (USFA) and Administrative Assistant (AA) who were participants of the previous ECTEL workshop.

The ABCs of Supervising Others – September 6-7, 2017.

The workshop was presented by Celestial Self-Development Centre and attended by the USFA and Administrative Assistant (AA). This two-day course was designed to help participants overcome many of the supervisory problems that they will encounter as a workplace leader. Dealing with the problems that a new supervisor encounters isn't easy, but it doesn't have to lead to discouragement.

9 Universal Service Fund Office Annual Report

9.2 USFO ACTIVITIES

Public Awareness Campaign- USF

Press Release

A press release requesting proposals and providing an update of USFO projects was placed in the Voice and Mirror newspapers on October 15, 2016. A repeat of this release was also placed in the Star for publication on October 22, 2016. Plaques for Libraries, Community Access Centres and other projects.

All plaques were confirmed installed on all USF project sites in October 2016. The aim of the exercise was to ensure the public is apprised of the projects rolled out by the USFO.

Girls in ICT- ITU 2017 The theme was 'App'lauding the girls'

Date: April 26-28, 2017

Objective: To Promote the inclusion of girls in ICT by teaching and guiding them on how to develop a mobile App, as well as inspiring them to consider careers in technology.

Target Group: Two (2) girls from form 4/5 in the 23 secondary schools throughout Saint Lucia

Number of participants: Forty- two (42)Facilitator: Mr. Shawn St. Clair- Consultant

Motivational Speakers:

Ms. Denise Joseph – ICT Officer

Mrs. Natalie Bodley- Jn. Baptiste – Senior ICT Officer

Coordinators:

Ms. Sandra Jones – Universal Service Fund Administrator

Ms. Natoya Cassius – Universal Service Fund Administrative Assistant

9.3 USFO PLANS AND DOCUMENTS

The USFO created the Complaints Forms for the use of all project beneficiaries in an administrative and management capacity. The form is intended to track faults and issues and as a result address them in an orderly manner.

9.3 USFO PROJECTS

The following proposals/projects have been approved by the Commission, continued to be implemented and commenced in the reporting year.

USF SLU 01/13 - Soufriere Community Access Centre Project (Submitted by the National ICT Office (NICTO) in the Ministry of the Public Service, Information and Broadcasting and carried out by Cable and Wireless St. Lucia Ltd. -The USFO continued in the reporting period to conduct various monitoring exercises at the centre, no critical issues were noted. Management of the facility also submitted project reports as requested by the USFO.

USF SLU 02/13- Installation of payphones in rural communities and public institutions (Submitted and carried out by Digicel St. Lucia Ltd)- Subsequent to the installation of all payphones throughout the reporting year, Digicel St. Lucia Ltd. officials continued to submit status reports as requested. The payphones continued to serve the targeted areas very well as evidenced by the recorded usage and financial returns. However, on June 1, 2017, the USFO was informed that the payphone located at La Croix Mangot was vandalised. The payphone was subsequently replaced by Digicel St. Lucia Ltd.

9 Universal Service Fund Office

USFO SLU 003/14- Internet Access Web Enabled Training Facility for Babonneau Library (Submitted by Babonneau Community and carried out by Cable and Wireless St. Lucia Ltd.) - The USFO continued to carry out its monitoring exercises throughout the reporting period and concluded that there were no critical issues at the facility to be noted. The management confirmed this in their report submitted in the period.

USF SLU 004/14 -Supply of equipment and related services for the establishment of internet access at the Ciceron Secondary School (Submitted by Ciceron Secondary School and carried out by Cable and Wireless St. Lucia Ltd.) – During the reporting period the Ciceron Secondary School produced the necessary reporting for the project. The National Telecommunications Regulatory Commission (NTRC)/ USFO on its site visits dated February 27, 2017 at the Ciceron Secondary School, noted two (2) faulty monitors supplied by CBS Ltd. CBS was informed and the monitors were collected to be replaced.

The school also reported interrupted/inconsistent access to some classrooms, this matter is yet to be addressed and is most likely under a new prospective project specific to secondary schools.

USF SLU 005/15 – Supply and installation of broadband equipment and related services for the establishment of internet access at the libraries and community access centres throughout Saint Lucia (Submitted by the National ICT Office (NICTO) of the Ministry of the Public Service, Information and Broadcasting NICTO and carried out by Cable and Wireless St. Lucia Ltd.) –The ongoing concerns listed below were dealt with in the new reporting period;

- Monchy Library – security and repair;
- Micoud Community Access Centre- access to the building; and
- Anse La Raye Library – accommodation for the desktops.

The Director of Library Services confirmed on December 22, 2016, that the kiosks were installed to accommodate the desktops at the Anse La Raye library. She also reported that the Monchy Library was being renovated, all windows were being replaced and the burglar bars would be completed by the end of January 2017. The USFO after its confirmations indicated that Anse La Raye needed burglar bar protection. On August 16, 2017 the USFO also gained access to the Micoud Community Access Centre and the assigned computers were delivered to the facility subsequent to the visit.

The networking, broadband connections and delivery of outstanding equipment to the various sites were mostly completed in the period.

At the end of the reporting period (September 2017) the USFO conducted a site visit accompanied by the Technical Unit. The purpose of the exercise was to acquire an updated status on the libraries. The report from most of the libraries' Access Centres were favorable except for some Special Ed. units which indicated that they were unable to effectively use their newly installed interactive white board, had some faulty equipment and experienced inconsistent internet connection. These complaints were followed up by the USFO accordingly.

The Director of Library Services also reported to the NTRC/USFO a burglary incident at the Gros Islet Library.

The USFO visited the library following the burglary incident and confirmed that five (5) mini CPUs funded by the USF were among the stolen items. However, the monitors were not taken away, and investigations continued with the police.

USF SLU 007/16 - Supply and installation of broadband equipment and related services for the Sir Arthur Lewis Community College (SALCC)-Southern Campus Saint Lucia (Submitted by SALCC and carried out by Digicel St. Lucia Ltd.)- The SALCC contract between NTRC and Digicel St. Lucia Ltd. was signed on September 16, 2016. Digicel St. Lucia Ltd. informed that their work which was scheduled to commence on October 7, 2016 would be done from October 12, 2016 due to the inclement weather experienced earlier in the month. A site visit was conducted by the USFA, Com. G. George, SALCC officials and Digicel St. Lucia Ltd. Officials on November 7, 2016 to verify the work done by the Service Provider.

In summary, the work was completed with a few follow ups to be made regarding internet speed and the utilisation of three (3) Access Points as opposed to five (5). It was suggested that the extra Access Points could be utilised at the nearby Beanfield Secondary School where SALCC would normally utilise for classes. A quotation for additional works is to be submitted by Digicel St. Lucia Ltd. and they were contacted accordingly.

9 Universal Service Fund Office

The project also consisted of a segment for Meraki training which was conducted by Digicel St. Lucia Ltd. at the NTRC building on December 5, 2016, and attended by a SALCC representative, the USFAA and the Technical Officer of NTRC.

During the verification exercise the idea to connect Beanfield Secondary School which is located in the vicinity of SALCC was considered, however in March 2017 a correspondence was sent to Digicel St. Lucia Ltd. by NTRC/USFO informing them of the possible inclusion in the upcoming secondary schools project.

USF SLU 006/16 -Improving Internet Access for the Differently Abled Throughout St. Lucia (Submitted by Ministry of Education and carried out by Cable and Wireless St. Lucia) Ltd.)– At the beginning of the reporting period, Cable and Wireless St Lucia Ltd. won and signed a contract to deliver the broadband aspect of the project while B and B Money Savers signed for the provision of equipment.

Both companies presented delivery schedules to be initiated immediately after contract signage. However, with delays equipment delivery was completed by the second quarter while the broadband was installed by the third quarter. No major issues were recorded during the reporting year except for a faulty laptop in one location and the beneficiaries' inability to use the interactive projector of which the necessary training was organised.

EDU/NET – Improving internet access for secondary schools throughout Saint Lucia (Submitted by the National ICT Office (NICTO) of Ministry of Public Service, Information and Broadcasting. The reporting period began with site visits conducted by NICTO and the USFA to District Education Offices in September 2016. This visit was requested by NICTO, explaining their role as crucial in serving the secondary schools. NICTO followed up with an addendum to the existing proposal to include equipment and broadband for these sites. Within the first quarter, a meeting was held with the acting PS. of the Ministry of the Public Service, NICTO, D/S and USFA of NTRC Saint Lucia. The purpose of the meeting was to discuss the way forward on the present project proposal. The decisions of the meeting were as follows:

To proceed with the procurement process for the aspect of the project dealing with providing internet and broadband access to the secondary schools.

The inclusion of the District Education Offices would be addressed once the appropriate recommendations for amendment of the regulations are made to ECTEL and taken into consideration. The regulation did not make reference to providing support to auxiliary institutions.

NICTO will advise on the local communities of which to provide access.

The bid document was prepared, notices were sent out to the various media houses and stakeholders. Submission date was carded for March 9, 2017. The bid document covers phase 1 (EDU/NET) of the EDUCONNECT project.

Three (3) prospective bidders expressed interest in bidding. They were Cable and Wireless (St. Lucia) Ltd., Digicel St. Lucia Ltd. and Link Technologies/Calahub.

The pre-bid meeting took place as planned; it was attended by NTRC / USFO, Cable and Wireless St. Lucia Ltd. and Digicel St. Lucia Ltd. representatives.

As part of the clarifications, it was decided that site visits to the twenty-two (22) secondary schools throughout the island would be necessary as of March 2-3, and 8-9, 2017. The visits were conducted successfully.

The Request for Bids (RFB) submission date was scheduled for May 15, 2018. The RFB submission resulted in no submission of proposal, one party emerged late in their delivery, while another informed of their inability to meet the deadline.

Digicel St. Lucia Ltd. later submitted a letter dated May 15, 2017 indicating various reasons why the Request for Bid was unfair, including the capacity of the other Service Providers and also the possible misuse of the USF. They informed of their present association with the CARCIP project and also their intentions to bid to deliver similar services as advertised by the project.

9 Universal Service Fund Office

The bid process was halted and a meeting to seek clarification was held between the Government officials and NTRC on June 19, 2017. The meeting focused on the role of CARCIP and possible linkages to EDUCONNECT. This meeting was rescheduled to include the proposer NICTO and CARCIP Coordinator on June 30, 2017. The process remained on hold as more information was sought from the responsible parties.

USF SLU 008/16 -Supply and installation of broadband equipment and related services for the establishment of internet services at the Holy Family Children's Home (NTRC initiative and carried out by St. Lucia ICT Association (SLICTA) - This project was executed in the previous reporting period; its aim was to provide internet upgrade to the facility which provides a home to children two (2) to twelve (12) years old.

On June 19, 2017 the NTRC/USFO received a letter of gratitude from the Home and informed us of the benefits of the project thus far:

- The Home has been enjoying the rewards of broadband internet service, including fast and reliable internet with very few disruptions in the service;
- The children in the home and community are able to complete their assignments on time;
- A technology company from the USA was able to install a computer program from pre-school to grade two levels, which significantly benefits the younger children with learning challenges; and
- The monthly internet bill is significantly lower and the savings are diverted to towards other commitments.

PROSPECTIVE PROJECTS

The USFO embarked on evaluating prospective projects as listed below:

- Targeted elderly homes in Saint Lucia-
- Adelaide Memorial Home
- Senior Citizens Home
- Marian Home
- St. Lucy's Home
- Johnson's memorial Home
- Villa St. Joseph

Adolescents and Youth facilities:

- Boys Training Centre
- Upton Garden Girls Centre

The USFO received a proposal from Adelaide's and Mary Ann homes.

The USFO continues to follow up with the remaining institutions most of which promised a proposal in the near future.

UNIVERSAL SERVICE FUND BUDGET

9.4.1 Universal Service Fund Contribution

According to the Telecommunications (Universal Service Fund Contribution) Order 2009, a Telecommunications provider shall contribute to the Universal Service Fund as follows:

In respect of the first year, 0.25 % of Gross Annual Revenue of licence,

In respect of the second year, 0.5% of Gross Annual Revenue of licence;

In respect of the third year, 1.0% of Gross Annual Revenue of licence and throughout the duration of the license.

The due date for payment shall be within forty -five (45) days of the reporting year and shall be accompanied by a gross annual revenue report and supporting attachments that provide details of the calculation.

9 Universal Service Fund Office

9.4.2 Providers' contribution 2016/2017

As set forth in the Telecommunications (Universal Service Contribution) Order 2009, of Saint Lucia, all telecommunications providers shall contribute to the Universal Service Fund. Parliament may also appropriate funds for use by the Fund. Official grants, donations bequests, other contributions or transfers by legal entities may also be made to the Fund.

The following Service Providers have not honored its obligations to the USF for the period 2016/17:

- Helen Television Systems
- Antilles Crossing
- Southern Caribbean

Contributions/Bidding fees were received by the following Service Providers for the reporting period:

- Cable and Wireless St. Lucia Ltd.- \$947,140.00
- Digicel St. Lucia Ltd. -\$ 849,057.00
- Kelcom International Ltd. - \$230,289.38

Total contributions received: \$2,026,486.23

9.4.3 Operating Expenses of the Universal Service Fund

As provided by the Telecommunications (Universal Service Fund) Regulation, SI 120 of 2008, and the Guidelines and Procedures for the Universal Service Fund, the Operating Budget shall be used for operating expenses of the Fund and shall not exceed 10% of the Annual budget of the Fund.

According to the Legislation, the fund shall be financed primarily by contributions collected from licensed telecommunications providers as mandated in the Telecommunications (Universal Service Fund) 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 funds used to cover the administrative expenses of the USF are disbursed on a quarterly basis after approval by the Commission 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 Assistant and other persons employed to work on staff 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, socio-economic or demand studies pertinent to the development of the Operating Plan;
- Consultancy or advisory contracts directly related to Fund activities; and
- Financial audit costs of the Fund.

9.5 Fund Disbursement

Fund disbursements from the designated Fund Bank Accounts are restricted to payments for eligible expenditure as approved by the Commission under the categories specified below:

- Approved budgeted operational/administration expense; and
- Approved payments for Fund Project.

9 Universal Service Fund Office

Universal Service Fund 2016/2017

Total funds accrued for the period	EC 861,3329.00
Approved Annual Allocation for administration operating expenses	EC \$ 374,632.57
Total Funds Disbursed during the period	EC\$1,313,080.24
Project Fund Disbursement	EC\$ 1,015,982.08

10. Final Remarks

The operating year of 2016/17 can be deemed another year of success for the Commission, notwithstanding the many challenges that were encountered during the period. The Commission's focus on consumers, though at its fledging stage, yielded positive results as it relates to collaborating with other agencies to provide recourse to consumers, and engaging consumers and providers directly to address quality of service issues, billing matters, and issues relating to the upgrade of providers' networks and services. Another noteworthy accomplishment is the formulation of Broadband Guidelines, which are expected to be implemented in the imminent operating year.

In the upcoming period 2017/18, the Commission will continue to focus on consumers and the operations of providers as it relates to providing services. The formulation of Guidelines for some aspects of competition matters will also be undertaken. Although still limited in financial resources, the Commission continues to persevere, and endeavours to address significant matters with much innovation and collaboration. As has been the call in previous reports, it is imperative that more resources become available and the appropriate legislative framework is promulgated to ensure that the Regulator executes its mandate, particularly as the telecommunications sector is a dynamic one with constant development and advancement of technology.

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APPENDIX A

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

**FINANCIAL STATEMENTS
30TH SEPTEMBER, 2017**

- MARIOLENDOR -

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Auditor's Report to the Commissioners 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, 2017 as well as the Statement of Changes in Shareholders' Equity, 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, 2017 and the results of its operations and cash flows for the year then ended in accordance with International Financial Reporting Standards.

10th October, 2018


CHARTERED ACCOUNTANT

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Index to Financial Statements

30th September, 2017

CONTENTS

PAGES

Statement of Financial Position	1
Statement of Changes in Shareholders' Equity	2
Statement of Support and Expenditure	3
Statement of Cash Flows	4
Notes to Financial Statements	5-10

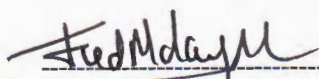
NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Statement of Financial Position

As at 30th September, 2017
With comparative figures as at 30th September, 2016
(Expressed in Eastern Caribbean Dollars)

	<u>Notes</u>	<u>2017</u>	<u>2016</u>
<u>Current Assets</u>			
Cash and cash equivalents	5	\$ 884,226	764,557
Accounts receivable and prepayments	6	35,160	35,170
Due from related party		2,600	2,600
Total current assets		<u>921,986</u>	<u>802,327</u>
<u>Non-Current Asset</u>			
Property, plant and equipment	8	35,476	36,983
Total non-current asset		<u>35,476</u>	<u>36,983</u>
Total assets		<u>957,462</u>	<u>839,310</u>
<u>Current Liabilities</u>			
Accounts payable and accruals	7	140,058	138,203
Total current liabilities		<u>140,058</u>	<u>138,203</u>
Total liabilities		<u>140,058</u>	<u>138,203</u>
<u>Shareholders' Equity</u>			
Accumulated surplus		817,404	701,107
Total shareholders' equity		<u>817,404</u>	<u>701,107</u>
Total liabilities and shareholders' equity		\$ <u>957,462</u>	<u>839,310</u>

Approved by:

 Chairman.

 Commissioner.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Statement of Changes in Shareholders' Equity

For the year ended 30th September, 2017

*With comparative figures for the year ended 30th September, 2016
(Expressed in Eastern Caribbean Dollars)*

	<u>2017</u>	<u>2016</u>
Balance - beginning of year	\$ 701,107	643,294
Excess support over expenditure	<u>116,297</u>	<u>57,813</u>
Balance - end of year	<u>\$ 817,404</u>	<u>701,107</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, 2017
With comparative figures for the year ended 30th September, 2016
(Expressed in Eastern Caribbean Dollars)*

	<u>2017</u>	<u>2016</u>
Support		
Contributions from ECTEL	\$ 940,152	904,654
Application fees	93,434	20,280
Numbering fees	63,205	51,021
Other income	68,664	10,929
Total support	<u>1,165,455</u>	<u>986,884</u>
Expenditure		
Advertising and promotion	9,819	5,150
Professional fees	13,450	10,975
Bank charges and interest	3,787	2,135
Depreciation	20,785	33,760
Gratuity	146,854	85,957
Insurance	6,015	5,981
Membership and subscriptions	2,700	916
Office	34,341	40,464
Rent	93,000	90,000
Repairs and maintenance	25,662	15,817
Salaries and wages	475,064	479,837
Staff training and welfare	19,449	10,779
Staff uniforms	2,579	340
Supplies	7,878	2,109
Meeting, travel and entertainment	98,731	66,415
Utilities	60,329	37,338
Sundry	1,215	9,198
Public education	2,937	7,900
Service contract fees	24,563	24,000
Total expenditure	<u>1,049,158</u>	<u>929,071</u>
Excess support over expenditure	\$ <u>116,297</u>	<u>57,813</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, 2017
With comparative figures for the year ended 30th September, 2016
(Expressed in Eastern Caribbean Dollars)*

	<u>2017</u>	<u>2016</u>
<u>Cash Flows from Operating Activities</u>		
Excess of support over expenditure for the year	\$ 116,297	57,813
Adjustments for:		
Depreciation	<u>20,785</u>	<u>33,760</u>
Cash flows before changes in operating assets and liabilities	137,082	91,573
Accounts receivable and prepayments	10	3,873
Accounts payable	<u>1,855</u>	<u>35,479</u>
Cash generated from operations	<u>138,947</u>	<u>130,925</u>
<u>Cash Flows from Investing Activities</u>		
Purchase of property, plant and equipment	<u>(19,278)</u>	<u>(18,402)</u>
Net cash used in Investing Activities	<u>(19,278)</u>	<u>(18,402)</u>
Increase in cash and cash equivalents	119,669	112,523
Cash and cash equivalents - beginning of year	<u>764,557</u>	<u>652,034</u>
Cash and cash equivalents - end of year	<u>884,226</u>	<u>764,557</u>
Cash represented by:		
Cash on hand	500	500
Cash at bank	<u>883,726</u>	<u>764,057</u>
	\$ 884,226	764,557

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

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

Notes to Financial Statements

30th September, 2017
(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 22nd November, 2000. The Commission commenced operations on 18th March, 2002.

The principal activity of the 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 Commissioners and authorized for issuance on 18th December, 2018.

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 the accounting periods. 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 Commission expects that the adoption of these standards in future periods will not have a material effect on the financial statements.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

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

30th September, 2017
(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.

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

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

30th September, 2017
(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 support and expenditure during the financial period in which they are incurred.

Depreciation is calculated on the straight line method to allocate the cost of each asset 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 amounts, 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 support and expenditure. When revalued assets are sold, the amounts included in other reserves are transferred to accumulated surplus.

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, 2017
(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. The Commission 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. The Commission does not believe that significant credit risk exists at 30th September, 2017.

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. The Commission does not believe that significant liquidity risk exists at 30th September, 2017.

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, 2017.

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

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

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

30th September, 2017
(Expressed in Eastern Caribbean Dollars)

	<u>2017</u>	<u>2016</u>
5. <u>Cash and Cash Equivalents</u>		
Cash on hand	\$ 500	500
Bank of St. Lucia Limited	707,591	557,990
RBTT Bank Caribbean Limited	<u>176,135</u>	<u>206,067</u>
	<u>884,226</u>	<u>764,557</u>
6. <u>Accounts Receivable and Prepayments</u>		
Prepaid expenses	2,176	2,220
Other receivables	<u>32,984</u>	<u>32,950</u>
	<u>35,160</u>	<u>35,170</u>
7. <u>Accounts Payable and Accruals</u>		
Other payable	14,283	14,805
Gratuity payable	<u>125,775</u>	<u>123,398</u>
	\$ <u>140,058</u>	<u>138,203</u>

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

NATIONAL TELECOMMUNICATION REGULATORY COMMISSION

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

30th September, 2017
(Expressed in Eastern Caribbean Dollars)

8. Property, Plant and Equipment:

	<u>Furniture & Equipment</u>	<u>Leasehold Improvements</u>	<u>Total</u>
As at 30th September, 2015			
Cost	\$ 327,736	120,467	448,203
Accumulated depreciation	<u>(282,481)</u>	<u>(113,381)</u>	<u>(395,862)</u>
Net book value	<u>45,255</u>	<u>7,086</u>	<u>52,341</u>
For the year ended 30th September, 2016			
Opening net book value	45,255	7,086	52,341
Additions in the year	5,319	13,083	18,402
Depreciation charge for the year	<u>(30,115)</u>	<u>(3,645)</u>	<u>(33,760)</u>
Closing net book value	<u>20,459</u>	<u>16,524</u>	<u>36,983</u>
As at 30th September, 2016			
Cost	333,055	133,550	466,605
Accumulated depreciation	<u>(312,596)</u>	<u>(117,026)</u>	<u>(429,622)</u>
Net book value	<u>20,459</u>	<u>16,524</u>	<u>36,983</u>
For the year ended 30th September, 2017			
Opening net book value	20,459	16,524	36,983
Additions in the year	19,278	-	19,278
Depreciation for the year	<u>(17,271)</u>	<u>(3,514)</u>	<u>(20,785)</u>
Closing net book value	<u>22,466</u>	<u>13,010</u>	<u>35,476</u>
As at 30th September, 2017			
Cost	352,333	133,550	485,883
Accumulated depreciation	<u>(329,867)</u>	<u>(120,540)</u>	<u>(450,407)</u>
Net book value	\$ <u>22,466</u>	<u>13,010</u>	<u>35,476</u>

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

A blue-tinted background image featuring a fountain pen and a magnifying glass resting on financial documents. The documents show various numerical values and text, including "5,000", "21,500", "54,144", "80,644", "\$1,332,75", "Balan", and "As".

APPENDIX A

UNIVERSAL SERVICE FUND

**FINANCIAL STATEMENTS
30TH SEPTEMBER, 2017**

Mario Lendor

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

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

Auditor's Report to the Commissioners 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, 2017 as well as the Statement of Changes in Shareholders' Equity, 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 Fund'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 Fund as at 30th September, 2017 and the results of its operations and cash flow for the year then ended is in accordance with International Financial Reporting Standards.

28th January, 2017

Mario Lendor
CHARTERED ACCOUNTANT

UNIVERSAL SERVICE FUND

Index to Financial Statements

30th September, 2017

<u>CONTENTS</u>	<u>PAGES</u>
Statement of Financial Position	1
Statement of Changes in Shareholders' Equity	2
Statement of Support and Expenditure	3
Statement of Cash Flows	4
Notes to Financial Statements	5-10


UNIVERSAL SERVICE FUND

Statement of Financial Position

As at 30th September, 2017
With comparative figures as at 30th September, 2016
(Expressed in Eastern Caribbean Dollars)

	<u>Notes</u>	<u>2017</u>	<u>2016</u>
<u>Current Assets</u>			
Cash and cash equivalents	5	\$ 10,347,869	10,799,302
Accounts Receivable	6	1,177,429	-
Total current assets		<u>11,525,298</u>	<u>10,799,302</u>
<u>Non-Current Assets</u>			
Property, plant and equipment	8	4,413	10,040
Total non-current assets		<u>4,413</u>	<u>10,040</u>
Total assets		<u>11,529,711</u>	<u>10,809,342</u>
<u>Current Liabilities</u>			
Accounts payable	7	39,484	48,130
Total current liabilities		<u>39,484</u>	<u>48,130</u>
Total liabilities		<u>39,484</u>	<u>48,130</u>
<u>Shareholders' Equity</u>			
Accumulated surplus		11,490,227	10,761,212
Total shareholders' equity		<u>11,490,227</u>	<u>10,761,212</u>
Total liabilities and shareholders' equity		\$ <u>11,529,711</u>	<u>10,809,342</u>

Approved by:

 Chairman.

 Commissioner.

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

UNIVERSAL SERVICE FUND

Statement of Changes in Shareholders' Equity

*For the year ended 30th September, 2017
With comparative figures for the year ended 30th September, 2016
(Expressed in Eastern Caribbean Dollars)*

	<u>2017</u>	<u>2016</u>
Balance - beginning of year	\$ 10,761,212	10,001,362
Excess support over expenditure	<u>729,015</u>	<u>759,850</u>
Balance - end of year	\$ <u>11,490,227</u>	<u>10,761,212</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, 2017
With comparative for the year ended 30th September, 2016
(Expressed in Eastern Caribbean Dollars)*

	<u>Note</u>	<u>2017</u>	<u>2016</u>
Support			
Contributions from telecommunications providers	\$	2,038,612	1,911,527
Other income		<u>450</u>	<u>500</u>
Total support		<u>2,039,062</u>	<u>1,912,027</u>
Expenditure			
Training and professional development		3,691	11,577
Employee benefits expenses	9	200,578	208,270
Rent		36,000	36,000
Utilities		19,595	17,956
Advertising and promotion		5,750	2,349
Projects		1,016,228	847,735
Bank charges and interest		1,032	1,364
Depreciation expense		5,627	6,541
Sundry		254	261
Meeting		-	34
Repairs and maintenance		529	2,261
Public education		9,885	9,619
Professional fees		10,250	8,210
Stationery and office expense		<u>628</u>	<u>-</u>
Total expenditure		<u>1,310,047</u>	<u>1,152,177</u>
Excess support over expenditure	\$	<u>729,015</u>	<u>759,850</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, 2017
With comparative figures for the year ended 30th September, 2016
(Expressed in Eastern Caribbean Dollars)*

	<u>2017</u>	<u>2016</u>
<u>Cash Flows from Operating Activities</u>		
Excess of support over expenditure for the year	\$ 729,015	759,850
<u>Adjustments for:</u>		
Depreciation	<u>5,627</u>	<u>6,541</u>
Cash Flows before changes in operating assets and liabilities	734,642	766,391
Increase/(decrease) in accounts payable	(8,646)	1,197
Increase in accounts receivable	<u>(1,177,429)</u>	-
Net cash generated from/(used in) operations	<u>(451,433)</u>	<u>767,588</u>
Increase/(decrease) in cash and cash equivalents	(451,433)	767,588
Cash and cash equivalents - beginning of year	<u>10,799,302</u>	<u>10,031,714</u>
Cash and cash equivalents - end of year	\$ <u>10,347,869</u>	<u>10,799,302</u>

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

UNIVERSAL SERVICE FUND

Notes to Financial Statements

30th September, 2017
(Expressed in Eastern Caribbean Dollars)

1. Background and Principal Activity

The Universal Service Fund was established pursuant to the Telecommunications Act of Saint Lucia. The act indicates that the National Telecommunications Regulatory Commission shall establish a Fund to be known as the Universal Service Fund, which shall be managed by the Commission in accordance with the Telecommunications (Universal Service Fund) Regulations.

The main goal of the Universal Service Fund (USF) is to support the provision of Universal Service in telecommunications throughout the island.

- (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.

The financial statements were approved by the Commissioners and authorized for issuance on 18th December, 2018.

2. Summary of significant financial reporting policies

Overall policy

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

a. 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 the accounting period. 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 Commission expects that the adoption of these Standards in future periods will not have a material effect on the financial statements of the Fund.

UNIVERSAL SERVICE FUND

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

30th September, 2017
(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 support and expenditure.

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. Accounts Receivable

Trade accounts receivable are initially recognised at fair value and subsequently recognised at amortised cost using the effective interest method, less provision for impairment. The provision for impairment of trade receivable is established when there is objective evidence that the commission will not be able to collect the original amount due according to the original terms of the receivable.

g. 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 support and expenditure during the financial period in which they are incurred.

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

Furniture and Fittings 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 amounts, 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 support and expenditure. When revalued assets are sold, the amounts included in other reserves are transferred to accumulated surplus.

UNIVERSAL SERVICE FUND

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

30th September, 2017
(Expressed in Eastern Caribbean Dollars)

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

h. 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.

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 Fund is exempt from income tax under the provision of the Telecommunications Act.

k. 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 support and expenditure 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. The Commission 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.

UNIVERSAL SERVICE FUND

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

30th September, 2017
(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 Fund. The amount of the Fund's maximum exposure to credit risk is indicated by the carrying amount of its financial assets.

The Fund operates within the telecommunication regulatory environment, and financial assets which may potentially expose the Fund to concentrations of credit risk consist primarily of contributions and receivables. The Commission does not believe that significant credit risk exists at 30th September, 2017.

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. The Commission does not believe that significant liquidity risk exists at 30th September, 2017.

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, 2017.

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.

UNIVERSAL SERVICE FUND

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

30th September, 2017
(Expressed in Eastern Caribbean Dollars)

	<u>2017</u>	<u>2016</u>
5. <u>Cash and Cash Equivalents</u>		
Bank of St. Lucia Limited – operating ac.	\$ 76,664	101,839
Bank of St. Lucia Limited - super saver ac.	10,270,705	10,696,963
Cash on Hand	500	500
	<u>10,347,869</u>	<u>10,799,302</u>
6. <u>Accounts Receivable</u>		
Trade receivable	1,177,429	-
	<u>1,177,429</u>	<u>-</u>
7. <u>Accounts Payable</u>		
Trade payable	32,984	32,950
Other payable	6,500	15,180
	\$ <u>39,484</u>	<u>48,130</u>
8. <u>Property, Plant and Equipment</u>		
	<u>Furniture & Fittings</u>	
For the year ended 30th September, 2016		
Opening net book value	\$ 16,581	
Additions in the year	-	
Depreciation charge for the year	(6,541)	
Closing net book value	<u>10,040</u>	
As at 30th September, 2016		
Cost	41,767	
Accumulated depreciation	(31,727)	
Net book value-2016	<u>10,040</u>	
For the year ended 30th September, 2017		
Opening net book value	10,040	
Additions in the year	-	
Depreciation charge for the year	(5,627)	
Closing net book value	<u>4,413</u>	
As at 30th September, 2017		
Cost	41,767	
Accumulated depreciation	(37,354)	
Net book value-2017	\$ <u>4,413</u>	

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

UNIVERSAL SERVICE FUND

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

30th September, 2017
(Expressed in Eastern Caribbean Dollars)

	<u>2017</u>	<u>2016</u>
9. <u>Employee Benefit Expenses</u>		
Salaries and wages	\$ 167,240	170,534
Other staff expenses	1,500	4,949
Gratuity	31,838	32,340
Staff insurance, travel and medical	-	447
	<u>200,578</u>	<u>208,270</u>
 Key Management Compensation		
Salaries and other short-term benefits	\$ <u>200,578</u>	<u>208,270</u>

The average number of employees during the year was 2.

APPENDIX B: Register of Type Approved Equipment

Certificate Number	Manufacturer	Equipment Identifier	Model Identifier	Date Granted	Date Of Expiry
LCT/AU16.1178	Adtran Inc.	Outdoor Wireless Access Point	BSAP-2135	August 11, 2016	August 10, 2026
LCT/AU16.1179	Adtran Inc.	Wireless 802.11ac/a/b/g/n Access Point	BSAP-2020	August 11, 2016	August 10, 2026
LCT/AU16.117E	Alps Electric Co. Ltd.	TPMS/RKE Receiver	TWD1G776	August 15, 2016	August 14, 2026
LCT/AU16.117D	Alps Electric Co. Ltd.	Keyless Entry System (Hand Unit)	TWB1G762	August 15, 2016	August 14, 2026
LCT/NO15.1081	Alps Electric Co. Ltd.	TPMS/Keyless Tuner	TD1G049	November 10, 2015	November 9, 2025
LCT/NO15.1080	Alps Electric Co. Ltd.	Keyless Entry System	TB1G077	November 10, 2015	November 9, 2025
LCT/FB16.109D	Apple Inc.	Magnetic Charging Dock	A1714	February 2, 2016	February 1, 2026
LCT/DC15.1084	Apple Inc.	Portable Bluetooth Speaker	A1680	December 8, 2015	December 7, 2025
LCT/DC15.1083	Apple Inc.	Apple Pencil	A1603	December 8, 2015	December 7, 2025
LCT/DC15.1089	Apple Inc.	Tablet Device	A1652	December 8, 2015	December 7, 2025
LCT/NO15.107C	Apple Inc.	Apple TV	A1625	November 5, 2015	November 4, 2025
LCT/NO15.1079	Apple Inc.	Apple Remote	A1513	November 5, 2015	November 4, 2025
LCT/NO15.107E	Apple Inc.	Apple iPhone 6S	A1688	November 5, 2015	November 4, 2025
LCT/NO15.107D	Apple Inc.	Apple iPhone 6S PLUS	A1687	November 5, 2015	November 4, 2025
LCT/NO15.107B	Apple Inc.	Apple iPad Mini	A1550	November 5, 2015	November 4, 2025
LCT/NO15.107A	Apple Inc.	Apple iPad Mini	A1538	November 5, 2015	November 4, 2025
LCT/DC15.1085	Apple Inc.	Magic Mouse 2	A1657	December 8, 2015	December 7, 2025
LCT/DC15.1087	Apple Inc.	Magic Keyboard	A1644	December 8, 2015	December 7, 2025
LCT/DC15.1086	Apple Inc.	Track Pad	A1535	December 8, 2015	December 7, 2025
LCT/DC15.1088	Apple Inc.	Tablet Device	A1584	December 8, 2015	December 7, 2025

APPENDIX B: Register of Type Approved Equipment

LCT/JA16.108D	AutoLiv ASP Inc.	Vehicle Radar System	6181175	January 11, 2016	January 10, 2026
LCT/MR16.1104	Breitling SA	Connected Wrist Watch	B55	March 15, 2016	March 14, 2026
LCT/JL16.1125	Calsonic Kansei Corp	RKE Receiver	BN011	July 13, 2016	July 12, 2026
LCT/JL16.1126	Canon Inc.	Laser Beam Printer	LBP151DW	July 13, 2016	July 12, 2026
LCT/OC15.1075	Caterpillar Inc.	Cellular Radio Equipment Telematics Hardware	PL641	October 19, 2015	October 18, 2025
LCT/NO15.1082	Clarion Corporation of America	Gen 3.1 Bluetooth Car Audio	A8DGEN31DE	November 10, 2015	November 9, 2025
LCT/AP16.110A	Continental Automotive GmbH	Innovative RF Receiver	5WK49096	April 13, 2016	April 12, 2026
LCT/AP16.1109	Continental Automotive GmbH	Transponder Authentication Transceiver	HFM_CMFB_01	April 13, 2016	April 12, 2026
LCT/MR16.1105	Continental Automotive GmbH	Vehicle Lock/Unlocking System	TXN1	March 15, 2016	March 14, 2026
LCT/MR16.1102	Continental Automotive GmbH	Body Control Module	40737300	March 15, 2016	March 14, 2026
LCT/JA16.1091	Continental Automotive GmbH	Wireless Key fob	Alfa434	January 18, 2016	January 17, 2026
LCT/JA16.1090	Continental Automotive GmbH	RF/LF Communications Device	AlfaRFHM1	January 18, 2016	January 17, 2026
LCT/JA16.108E	Continental Automotive Systems	Remote Keyless Entry	A2C31244300	January 11, 2016	January 10, 2026
LCT/JA16.108F	Delphi Deutschland GmbH	Remote Keyless Entry and Tire Pressure Monitor	FO3-AM-433RX	January 11, 2016	January 10, 2026
LCT/MR16.1108	Denso Corporation	Passive Entry Passive Start System (LF Transmitter)	U2NA0	March 22, 2016	March 21, 2026
LCT/MR16.1107	Denso Corporation	Passive Entry Passive Start System (LF Transmitter)	UPE01	March 22, 2016	March 21, 2026
LCT/JA16.1095	Denso Corporation	Electronic Key	4EA	January 18, 2016	January 17, 2026
LCT/JA16.1094	Denso Corporation	Electronic Key	2EB	January 18, 2016	January 17, 2026
LCT/JA16.1093	Denso Corporation	Electronic Key	1EA	January 18, 2016	January 17, 2026
LCT/SP16.1181	Denso Corporation	Electro static Capacity Sensor	DECS001	September 16, 2016	September 15, 2026
LCT/JA16.109C	Fuji Heavy Industries	Vehicle Immobilizer	FJ16-2	January 21, 2016	January 20, 2026
LCT/JA16.109B	Fuji Heavy Industries	Keyless Access with Push Button Start System	FJ16-1	January 21, 2016	January 20, 2026

APPENDIX B: Register of Type Approved Equipment

LCT/AU16.117B	Fujitsu Ten Limited	Car Audio	FT0107A	August 4, 2016	August 3, 2026
LCT/JA15.108C	Fujitsu Ten Limited	Car Audio	FT0087A	January 11, 2016	January 10, 2026
LCT/NO15.107F	Fujitsu Ten Limited	Car Audio	FT0052D	November 10, 2015	November 9, 2025
LCT/SP16.1182	Harman Becker Automotive System GmbH	Infotainment System With Bluetooth	MIB GLOBAL ENTRY	September 16, 2016	September 15, 2026
LCT/AU16.1194	Harman International Industries, Inc.	Automotive Infotainment Unit with Bluetooth	GEN3 MID	August 22, 2016	August 21, 2026
LCT/AU16.1173	Harman International Industries, Inc.	Automotive Infotainment Unit with Bluetooth	GEN3 BASE	August 22, 2016	August 21, 2026
LCT/JL16.1127	Humax Automotive Co., Ltd.	Vehicle Infotainment	CMF-R3000E-17P-A	July 13, 2016	July 12, 2026
LCT/AU16.1177	Hyundai Mobis Co., Ltd.	Digital Car Audio System	ACB10G3BN	August 16, 2016	August 15, 2026
LCT/JA16.109A	Hyundai Mobis Co., Ltd.	Digital Car Audio System	ACB11G5GN	January 21, 2016	January 20, 2026
LCT/JA16.1099	Hyundai Mobis Co. Ltd.	Digital Car Audio System	ACB10G5GN	January 21, 2016	January 20, 2026
LCT/AU16.1176	Hyundai Mobis Co., Ltd.	Digital Car Audio System	ACB10G6GN	August 25, 2016	August 24, 2026
LCT/AU16.1171	Hyundai Mobis Co., Ltd.	Car Audio System	AC110HDGN	August 23, 2016	August 22, 2026
LCT/AU16.1172	Hyundai Mobis Co., Ltd.	Car Audio System	ACB10HDGN	August 23, 2016	August 22, 2026
LCT/SP16.1184	Hyundai Mobis Co., Ltd.	Digital Car Audio System	ACB10H8GN	September 28, 2016	September 27, 2026
LCT/SP16.1183	Hyundai Mobis Co., Ltd.	Digital Car Audio System	ACB14H8GN	September 28, 2016	September 27, 2026
LCT/DC15.108B	Jaguar Land Rover Limited	Infotainment Slave Controller	ISC1.0	December 8, 2015	December 7, 2025
LCT/DC15.108A	Jaguar Land Rover Limited	Infotainment Master Controller	IMC1.0_ROW	December 8, 2015	December 7, 2025
LCT/AU16.117C	Kyocera Document	Communication Module	LBWA1ZZ1CA	August 9, 2016	August 8, 2026
LCT/SP16.1180	LG Electronics Inc.	LG Slim Remote	AN-SP700	September 13, 2016	September 12, 2026
LCT/JN16.1123	Mitsubishi Electric Corp.	Keyless Entry System	SKE13D-02	June 20, 2016	June 19, 2026
LCT/OC15.1076	Mitsubishi Electric Corporation	Head Unit with WLAN	NR-000	October 19, 2015	October 18, 2025

APPENDIX B: Register of Type Approved Equipment

LCT/MR16.1100	Novero Dabendorf GmbH	Onboard Vehicle Wireless Charging Unit	WCH-177	March 7, 2016	March 6, 2026
LCT/MR16.1103	Panasonic Corporation of America	Ford Sync Gen 3	SYNCG3-L	March 15, 2016	March 14, 2026
LCT/FB16.109F	Pioneer Corporation	Car Audio with Bluetooth/WLAN	PVH-5248	February 15, 2016	February 14, 2026
LCT/AU16.117F	Pioneer Corporation	Car Audio	AVH-6868ZH	August 9, 2016	August 8, 2026
LCT/FB16.109E	Robert Bosch Car Multimedia GmbH	Human Machine Interface with BT, WLAN and GPS	NG 2.5 HMI	February 9, 2016	February 8, 2026
LCT/AU16.117A	Samsung Electronics Co. Ltd.	Wi-Fi Module	WIDT30Q	August 8, 2016	August 7, 2026
LCT/AU16.118A	Schrader Electronics Ltd.	Tyre Pressure Monitoring Sensor	SHS4	August 23, 2016	August 22, 2026
LCT/OC15.1078	Sicom Systems Inc.	Mini PC	SI-AQ01	October 20, 2015	October 19, 2025
LCT/OC15.1077	Sicom Systems Inc.	Mini PC	SI-AQ01-Plus	October 20, 2015	October 19, 2025
LCT/MR16.1101	Symbol Technologies Inc.	Touch Computer	TC75AH	March 7, 2016	March 6, 2026
LCT/JA16.1098	Tokai Rika Co, Ltd.	Electronic Key	BR2EX	January 21, 2016	January 20, 2026
LCT/JA16.1097	Tokai Rika Co, Ltd.	Tuner	BF3US	January 21, 2016	January 20, 2026
LCT/AU16.1170	Tokai Rika Co., Ltd.	Electronic Key	BS1EW	August 29, 2016	August 28, 2026
LCT/JA16.1096	Toyota Motor Corporation	Smart Ld Oscillator	TMLF15-3	January 18, 2016	January 17, 2026
LCT/MR16.1106	Universal Electronics Inc.	DirectV RC71 RF4CE 2012	RC72L	March 15, 2016	March 14, 2026
LCT/OC15.1074	Valeo Comfort and Driving Assistance	Integrated Keyhead Transmitter	N5F-A08TDA	October 19, 2015	October 18, 2025
LCT/JA16.1092	Visteon Corporation	Car Audio	Ford Audio	January 18, 2016	January 17, 2026

APPENDIX C: Register of Dealers and Suppliers of Terminal Equipment and Related Services

Register of Suppliers of Terminal Equipment and Related Services					
<i>Sorted by Registrant Name</i>					
Registration Name	Registration Date	Registration No			
CALIDAD Services	31-Aug-06	LSTE/AU06.0004			
CLICKCOM	15-Dec-05	LSTE/NO05.0002			
Communications Systems & Services Ltd.	31-Aug-06	LSTE/AU06.0005			
Cox Radio Limited	15-Dec-05	LSTE/NO05.0003			
Icon Security & Private Investigation Services Limited	27-Sep-06	LSTE/SP06.0007			
Island Water World (St. Lucia) Limited	26-Jan-07	LSTE/JA07.0009			
Johnsons Hardware Limited	16-Oct-06	LSTE/OC06.0008			
Kent's Hi Tech Electronics	10-Nov-05	LSTE/NO05.0001			
N. V. Commercial Services Limited	27-Sep-06	LSTE/SP06.0006			
Phone Links	30-Mar-07	LSTE/MR07.0010			
G&G Limited	24-Apr-07	LSTE/AP07.0011			
Emdee Electronics	17-02-12	LSTE/AP12.0012			

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

Pursuant to sub-section 13(7)(a) of the Telecommunications Act, No. 27 of 2000, 2008 Revision 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, 2017.

Telecommunications Licences Issued	Licensee	Date Issued	length valid (in years)
(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, 2001	15
	Digicel (St. Lucia) Limited	April 17, 2008	15
	Kelcom International	April 17, 2008	15
	Tele (St. Lucia) Limited	June 24, 2008	15
(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, 2001	15
	Digicel (St. Lucia) Limited	September 06, 2002	15
	<u>AWS Caribbean Holdings Limited [1]</u>	September 10, 2002	15
	<u>Wireless Ventures (St. Lucia) Limited, transferred from AWS Caribbean Holdings Limited [2]</u>	September 10, 2006	15
	21st Century Telecoms Network (Caribbean) Limited.	December 19, 2007	15
	PATWA (St. Lucia) Inc.	April 29, 2010	15
(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, 2001	15
	Antilles Crossing (St. Lucia) Limited	April 22, 2006	15
	21st Century Telecoms Network (Caribbean) Limited.	December 19, 2007	15
	Link Technologies Limited	February 15, 2008	15

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	Kelcom International Limited	April 17, 2008	15
	Digicel (St. Lucia) Limited	April 17, 2008	15
	Tele (St. Lucia) Limited	June 19, 2008	15
	PATWA (St. Lucia) Inc.	April 29, 2010	15
	Helen Television System (HTS)	December 29, 2011	15
(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 02, 2005	20
	Southern Caribbean Fibre Limited	August 02, 2007	20
(v) For the Establishment and Operation of a Private Telecommunications Network and Services in Saint Lucia	Helen IT Systems	July 27, 2004	15
	FINMAN Information Technology Unit	September 22, 2004	15
	PBL Sat	July 02, 2009	15
	Globecast UK	May 20, 2011	15
	West Indies Cricket Board	January 15, 2013	15
(vi) 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, 2001	15
	Helen Television Systems Limited	February 02, 2007	15
	Link Technologies	November 03, 2008	15
	Digicel (St. Lucia) Limited	November 03, 2008	15
	Cable & Wireless (St. Lucia) Limited	November 03, 2008	15
	World on Wireless Communications	November 03, 2008	10
	21 CTN Telecoms Network (Caribbean) Limited	November 03, 2008	15
	SES Americom Incorporated	March 01, 2009	15
	Arqiva	March 30, 2009	15

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	Link Technologies	June 02, 2009	15
	PBL SAT	July 02 , 2009	15
	Gem Radio (The Wave)	July 06 , 2009	15
	Cable & Wireless (Trading as LIME)	April 06 , 2010	15
	Uno Broadcasting	April 06 , 2010	5
	Globecast Africa Limited	April 29 , 2010	15
	PATWA (St. Lucia) Inc.	June 01 , 2010	15
	Tele (St. Lucia) Inc.	April 11 , 2011	12
	Globecast UK Limited	May 20, 2011	15
	Cable & Wireless (Trading as LIME)	May 20, 2011	5
	Cletus Hippolyte	June 06 , 2011	5
	Digicel (St.Lucia) Limited	June 06 , 2011	6
	Stompid Electronics	June 06 , 2011	5
	Jaycom International	September 30 , 2011	5
	Upsurge	June 06, 2012	5
	Digicel (St.Lucia) Limited	January 18, 2012	5
	Helen Television Systems Limited	July 03, 2012	10
	Dystreek Inc. (Rayneau Gajadhar)	February 19, 2013	5
	Cable & Wireless (Trading as LIME)	February 06, 2013	3
	Island Broadcasting, Advertising Services (IBAS)	February 19, 2013	5
	West Indies Cricket Board	January 15, 2013	15
	Globecast UK Ltd.	July 30, 2014	15
	Soufriere Regional Development Foundation	September 19, 2014	15
	Globecast UK	July 01, 2015	1
	Digicel (St. Lucia) Ltd.	September 02, 2015	15
	Martinus Eugene (Liberty FM 92.3)	November 13, 2015	5
	Kwency Griffith	March 11, 2016	5
	Vibert Jacobs (HITZ FM)	August 18, 2016	5

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	UNO Broadcasting Limited	June 14, 2017	5
(vii) Special Licence for Land Mobile Radio and Frequency Authorisation for Operation in Saint Lucia	Discovery at Marigot Bay Limited	December 01, 2006	
(viii) For the operation of a Maritime Mobile Service in Saint Lucia	Andre Delice	July 30, 2014	5
	Buckeye St. Lucia Terminal Ltd	August 15, 2014	5
	Norbert Joseph	August 15, 2014	5
	Godfrey Joseph	August 15, 2014	5
	The Landings St. Lucia	June 08, 2015	5
	SLASPA	July 25, 2015	5
	Le Sport- The Body Holiday	May 30, 2016	5
	CATS (1995) Ltd.	October 18, 2016	5
	Soufriere Marine Management Association	October 18, 2016	5
	Wave Riders Ltd.	May 17, 2017	5
	Soufriere Regional Development Foundation	June 14, 2017	5
	Hilroy Emanus	October 10, 2017	5
(viii) For the use of Amateur Radio Service in Saint Lucia	Bernard Thomas	March 14, 2014	5
	Frans Van Santbrink	May 16, 2014	5
	Dudley Du Boulay	2014-2019	5
	Albert Tot Henry	June 06, 2014	5
	Lyndell St. Ville	June 06, 2014	5
	Gerd Uhlig	July 30, 2014	1
	Ian Plummer	July 30, 2014	5
	William J. Schmidt II	July 30, 2014	5
	Derek Noel Kirkham	July 30, 2014	5
	Cecile Whiltshire	August 15, 2014	5
	Joanna Harmsen	August 15, 2014	5

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	Junior A. Mathurin	September 15, 2014	5
	Matthew Nelson	September 15, 2014	5
	Lionel Ellis	September 18, 2014	5
	William Richards II	September 19, 2014	1
	Linus Theclus Herelle	September 19, 2014	5
	James M. Worthington	October 24, 2014	1
	Bengt Falkenberg	October 24, 2014	1
	Ronnie Nilsson	October 24, 2014	1
	Winslow N Hall	October 24, 2014	1
	William Loeschman	October 24, 2014	1
	James L Teeple	October 24, 2014	1
	Budd Lee Drummond	October 24, 2014	5
	Christopher David Drummond	October 24, 2014	5
	Joseph C Kelly	October 24, 2014	1
	Annette Du Boulay	November 10, 2014	5
	Tony Du Boulay	November 10, 2014	5
	Anselm Gittens	November 10, 2014	
	Fabian Lewis	December 5, 2014	5
	Ned Fahmi	December 5 5, 2014	1
	Errol D Reid	December 05, 2014	5
	Givan George	December 05, 2014	5
	Frans Van Santbrink	December 05, 2014	5
	Francis Philgence	December 19, 2014	5
	Howard Andrew Sine	January 14, 2015	5
	Gary Glen Dein	January 08, 2015	1
	Tadeusz Kolodziejczak	January 30, 2015	1
	Zbigniew Tycman	January 30, 2015	1
	Jerzy Jakubowski	January 30, 2015	1

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	Przemyslaw Golembowski	January 30, 2015	1
	SLARC- St. Lucia Amateur Radio Club	February 02, 2015	5
	Ancletus Ernest	February 26, 2015	5
	Stephen A. Licht	February 26, 2015	1
	David Lianez Fernandez	February 26, 2015	1
	Pius Stephen	February 26, 2015	5
	Albert Tot Henry	February 26, 2015	5
	Andrea Falgiani	March 17, 2015	1
	Peter James	April 20, 2015	5
	Stephen Harry Whitfield	April 20, 2015	5
	Thomas Steve Colburn	April 29, 2015	1
	Frans Van Santbrink	April 29, 2015	5
	Daren George Hager	May 14, 2015	5
	David J Nicholson	May 18, 2015	5
	Clem Bobb	May 18, 2015	5
	Fay M Ernest	June 02, 2015	5
	John Emerson Blaize	July 03, 2015	5
	William P. Tempel	July 02, 2015	1
	Joseph C. Kelly	July 02, 2015	1
	David A. Wright	July 02, 2015	1
	Barclay M. Thomas	July 02, 2015	1
	Frank Richard Gruber	July 02, 2015	1
	Russell Mickiewicz	July 02, 2015	1
	Ralph E. Bates	August 07, 2015	1
	Cyril St. Jour	September 02, 2015	5
	David Bern	November 16, 2015	1
	Richard Arthur Lloyd	November 17, 2015	3
	Thomas Hardison	November 17, 2015	1

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	Larry L. Ryan	November 17, 2015	1
	Johnathan Wayne Demaree	November 17, 2015	1
	Bryan W. Webler	November 24, 2015	1
	Anceltus Ernest	December 04, 2015	3
	Stephen Pinill	February 02, 2016	5
	Jeffery B. Otterson	February 12, 2016	3
	Bill Priakos	February 12, 2016	1
	Stephen A. Licht	February 12, 2016	3
	Frans van Santbrink	February 19, 2016	1 week
	Kerri Mills	February 23, 2016	5
	Terry Goodman	March 8, 2016	5
	Rosemond Clery	March 25, 2016	5
	Gary Glen Dein	April 7, 2016	3
	Erald Mitchison Martin	May 03, 2016	3
	William P. Temple	May 10, 2016	3
	Joseph C. Kelly	May 11, 2016	3
	Barclay M. Thomas	May 11, 2016	3
	Gerd Uhlig	May 17, 2016	3
	Steven Strauss	May 17, 2016	1
	Thomas M. Samulenas	May 17, 2016	1
	Yasmin Elius-St. Jour	August 25, 2016	5
	William Hicks Jr.	August 25, 2016	1
	David Bern	December 08, 2016	3
	Ann Marie Santos	December 08, 2016	1
	Robert Finkelsen	December 08, 2016	1
	Jason Hilaire	April 04, 2017	5
	Christopher Bristol	October 10, 2017	5
(x) For the operation of a Broadcast Licence in Saint Lucia	Daher Broadcasting Service Limited	December 17, 2002	

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	Nature Island Communications Corp Ltd (Kairi FM)	January 30, 2015	5
	Martinus Eugene (Liberty FM 92.3)	November 13, 2015	5
	Kwency Griffith	March 11, 2016	5
	Vibert Jacobs (HITZ FM)	August 18, 2016	5
	UNO Broadcasting Limited	June 14, 2017	5
(xi) Private Land Mobile and Frequency Authorisation	Courtesy Taxi Co-Operative Society Ltd	May 16, 2014	5
	IMG Media Limited	July 31, 2014	5
	Sugar Beach, A Viceroy Resort (Jalousie Plantation)	August 21, 2014	5
	National Insurance Corporation	September 15, 2014	5
	Ten Sports/Taj TV Ltd.	September 15, 2014	5
	Treasure Bay St. Lucia Limited	November 10, 2014	5
	Cox & Company Ltd.	November 10, 2014	5
	NEMO	December 05, 2014	5
	Southern Taxi Association	January 16, 2015	5
	Sugar Beach, A Viceroy Resort (Jalousie Plantation)	January 30, 2015	5
	Sunrod Property Inc.	May 05, 2015	5
	Chuganis Industries Ltd.	June 17, 2015	5
	Carib Prem OC (St. Lucia) Ltd.	June 22, 2015	1
	Caribbean Dispatch Services	February 02, 2016	5
	St. Lucia Distillers	October 18, 2016	5
	Cap Maison Resort	May 17, 2017	5
	The Body Holiday – Le Sport	June 01, 2017	5
	BDSL Limited	June 01, 2017	5
	Royal St. Lucia by Rex Resorts	June 14, 2017	5
	Sandals Halcyon	June 14, 2017	5
	Sandals Golf Resort & Spa La Toc	June 14, 2017	5
	Sandals Grande St. Lucia Spa & each Resort	June 14, 2017	5

APPENDIX D: Telecommunications licences that have been issued, modified, renewed or revoked

	Alternative Security Service (St. Lucia) Ltd.	July 07, 2017	5
	Caribbean Premiere League	July 31, 2017	5
	RTC Investments (St. Lucia) Ltd.	August 11, 2017	5
(xiii) For the Establishment and Operation of a Family Radio Service Operation (Open Land Mobile)	Beachcomber Ltd.	June 06, 2014	5
	Wamtec Services/ Wendell Stevens	August 06, 2014	5
	Winners Sport Inc. (Winners TV)	December 19, 2014	5
	Travis Ernest	June 08, 2015	5
	Splash Island Water Park	July 24, 2015	5
	Lance N. Octave	August 07, 2015	5
	Severin Francois	September 02, 2015	5
	Keston Dick	September 02, 2015	5
	Stephen Sonson	September 22, 2015	5
	Solar Energy Services Co. Ltd	May 30, 2016	5
	Antonia George	June 02, 2016	5
	Unicomer (St. Lucia) Ltd	July 31, 2017	5
	Ricardo Charles	October 10, 2017	5
(xiii) For the Establishment and Operation of an Aeronautical Mobile Radio Station	ARINC (Saint Lucia) Limited	December 19, 2014	5
	Goddard Catering St. Lucia	July 01, 2015	5
	St. Lucia Helicopters	February 02, 2016	5
	Caribbean Dispatch Services Ltd.	August 11, 2017	5
Telecommunications Licences Modified	Rhythm FM	September 11, 2009	
Telecommunications Licences Revoked	SES Americom Inc.	September 25, 2009	
	Antilles Crossing (St. Lucia) Limited	September 11, 2008	15
	Antilles Crossing (St. Lucia) Limited	April 22, 2006	15
AWS Licence was transferred to Wireless Ventures			
<u>Digitel gained control of Wireless Ventures through purchase of Cingular Wireless LLC</u>			

APPENDIX E

20

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SEPTEMBER 16, 2017 THE STAR

NATIONAL TELECOMMUNICATIONS REGULATORY COMMISSION



Process for Seeking Redress

KNOW YOUR RIGHTS AND EXERCISE THEM RESPONSIBLY!!!

If you have a complaint against your telecommunications provider, become knowledgeable on the procedure for seeking redress.

The Dispute Resolution Regulations 2008 dictate the process; consider Regulations 4, 5, 6, 7 and 8 below:

PART II

DISPUTE RESOLUTION

Procedure for seeking redress

4. – (1) Subject to the provisions of regulation 3 (3), where a dispute arises between a retail customer and a telecommunications provider, or between two or more telecommunications providers, the aggrieved party, shall first seek redress from the respondent telecommunications provider, by, subject to sub-regulations (2) and (3), filing a statement of complaint on the respondent telecommunications provider.

(2) A Statement of complaint pursuant to sub-regulation (1) shall be in the form prescribed in Form 1 of the Third Schedule and shall contain as much of the following information as possible –

- (a) the name, address, telephone number, e-mail and key contact information of the complainant;
- (b) where available, the name, address, telephone number, e-mail and key contact information of the respondent telecommunications provider;
- (c) a list of the disputes numbered in order so as to enable the respondent telecommunications provider to address each dispute separately;
- (d) a brief description of the basic facts surrounding each dispute;
- (e) as far as is practicable, such supporting information for each dispute; and
- (f) a statement of the desired resolution requested for each dispute.

(3) For the purpose of sub-regulation (1), a telecommunications provider shall make available to its retail customers the form referred prescribed as Form 1 in the Third Schedule.

Tracking by respondent telecommunications provider

5. – (1) A telecommunications provider shall keep and maintain a Telecommunications Provider Complaint Record Register for the purpose of registering statements of complaints filed pursuant to regulation 4.

(2) A telecommunications provider shall keep and maintain a Telecommunications Provider Complaint Record Tracking System for the purpose of tracking the status of resolution of disputes between itself and its retail customers, and between itself and other telecommunications providers.

(3) Upon receipt of a statement of complaint filed pursuant to regulation 4, the respondent telecommunications provider shall –

- (a) enter the details of the statement of complaint into its Telecommunications Provider Complaint Record Register including the name and address of the complainant and the nature of the dispute and the relief sought;
- (b) assign to each statement of complaint a telecommunications provider complaint tracking number;
- (c) send, within three business days, a confirmation of receipt of the statement of complaint, with the telecommunications provider complaint tracking number, the complaint;
- (d) respond to the complainant within thirty days, giving evidence of since or “good faith” effort to amicably resolve the dispute.

(5) A telecommunication provider shall take all reasonable steps to amicably resolve a complaint filed pursuant to sub-regulation (1) within thirty days of the date of filing of the statement of complaint.

(6) A telecommunications provider shall make monthly reports to the Commission concerning the number of statements of complaints and the nature of disputes in statements of complaints filed and the status of the resolution of such disputes.

Application for assistance of Commission

6.– (1) Where after thirty days of the date of filing of a statement of complaint pursuant to regulation 4, the parties have made reasonable efforts in good faith and are unable to amicably resolve the dispute for which the statement of complaint was filed, either party may, subject to sub-regulation (2), file an application with the Commission for assistance with the matter.

(2) An application pursuant to sub-regulation (1), shall—

- (a) be in the form prescribed in Form 2 of the Third Schedule;
- (b) be filed in triplicate with one copy being addressed to the Commission, the second copy to ECTEL, and the third copy to the other party to the dispute;
- (c) contain, if any, such information or evidence describing the status of any negotiation between the parties to resolve the dispute during the thirty-day time limit; and
- (d) contain, if any, such information as to the form of alternative dispute resolution process preferred in the circumstances.

Recording and tracking by the Commission and notice to complainant

7.– (1) The Commission shall keep and maintain a Commission Complaint Record Register for the purpose of registering applications made pursuant to regulation 6.

(2) The Commission shall keep and maintain a Commission Complaint Record Tracking System for the purpose of tracking the status of resolution of disputes relating to applications made pursuant to regulation 6.

(3) Upon receipt of an application filed pursuant to regulation 6, the Commission shall –

- (a) assign a Commission complaint tracking number to the application by adding a prefix to the existing telecommunicationsprovider complaint tracking number assigned pursuant to regulation 5(3) (b);
- (b) enter the details of the application into the Commission Complaint Record Register;
- (c) send to the complainant, telecommunications provider and ECTEL, a confirmation of receipt of the application with the Commission complaint tracking number.

Restriction on Commission's assistance

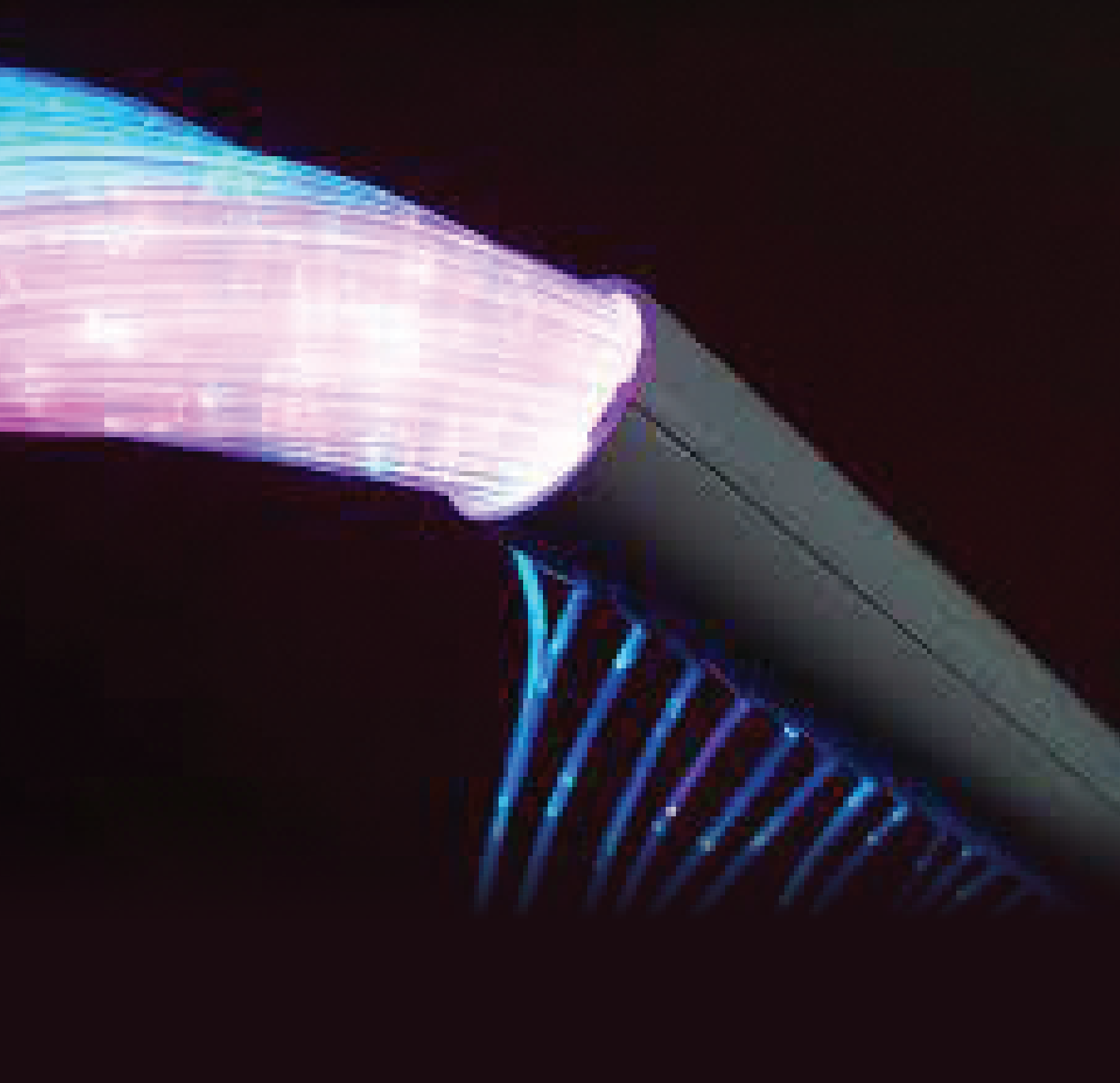
8. The Commission shall not provide any assistance to parties to resolve a matter unless the Commission is satisfied that the parties have made reasonable efforts in good faith to resolve the dispute.

For more information, please view the Commission's website at ntrc.lc. The National Telecommunications Regulatory Commission can be contacted at telephone numbers- (758) 458 2035/ 452 6871; email: ntrc_sluc@candw.lc; Fax (758) 453 2558.

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NOTES

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NTRC Annual Report, 2016 - 2017

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