

Development of a compliance monitoring program

Step 1

List all obligations

- Make a comprehensive list of all the obligations that exist in licences, notifications and other legislation that apply to a particular type of licence or licensee
- For licence types in a converged licensing framework see Exhibit
- For a unified list of license terms and conditions [see here](#)

Step 2

Identify bureau's responsibilities

- Revise the list to identify the particular obligations for which your bureau / team is responsible for monitoring and enforcing

Step 3

Prioritise obligations

- Prioritise those obligations (for compliance monitoring purposes) into three categories (A, B and C) by considering the potential non-compliance implications in terms of protecting:
 - Consumers
 - Society
 - Fair competition
- Example of prioritising in classes A, B and C, see detailed exhibit

Step 4

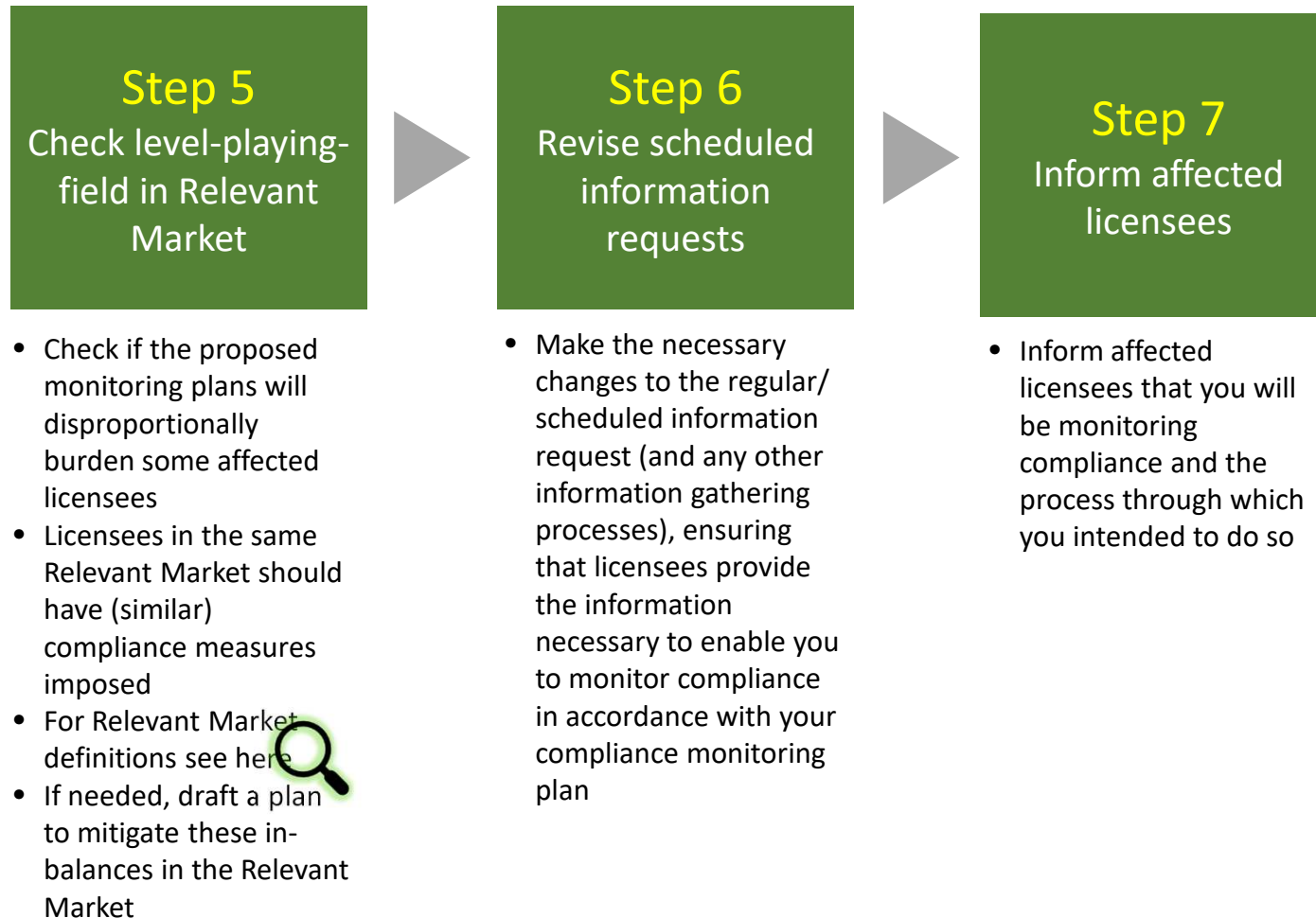
Prepare monitoring plan for each high/medium priority obligation

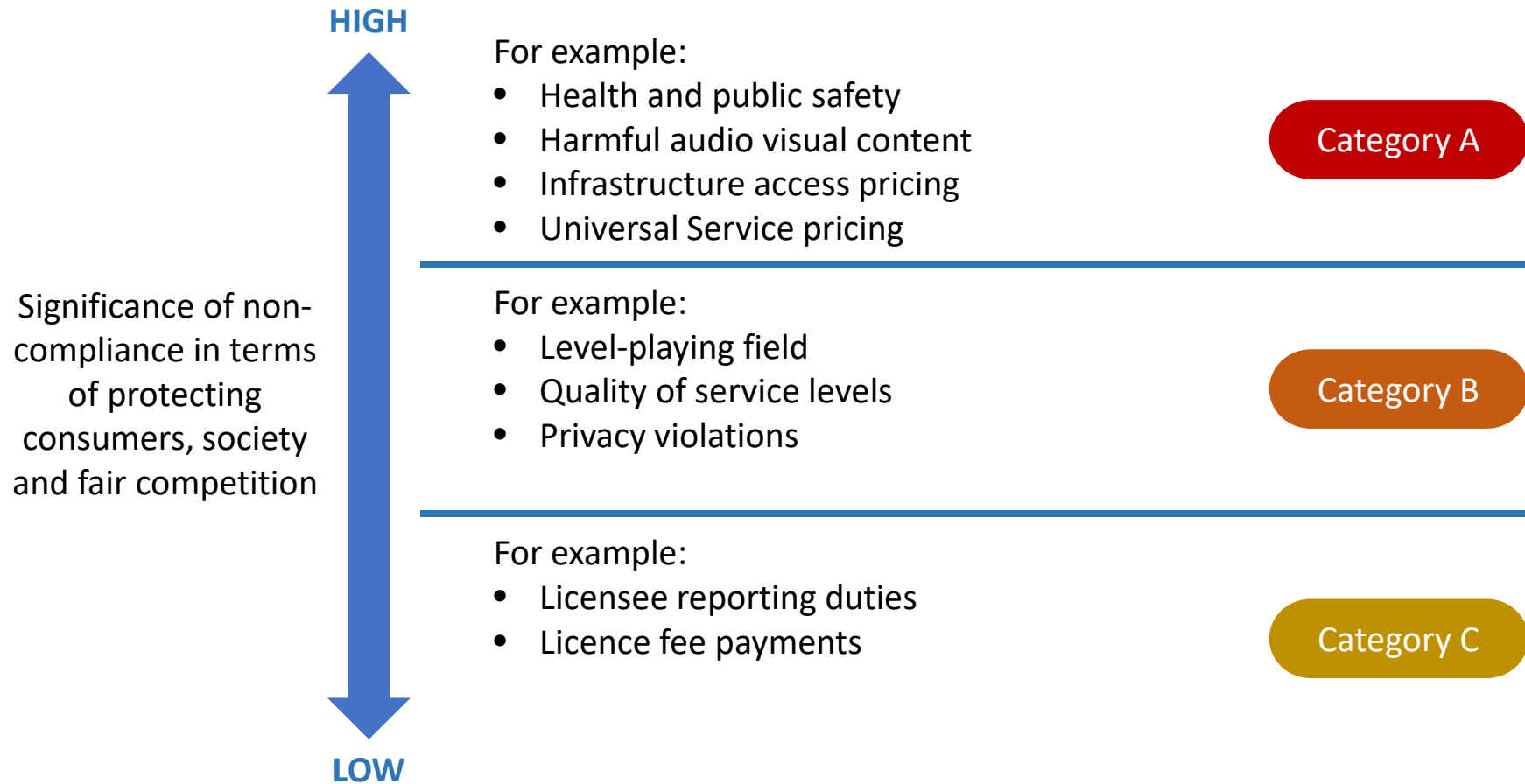
- Preparing a monitoring plan for each high/medium priority obligation
- Consider using the following template

Exhibit

2.10
3.10
4.16

Development of a compliance monitoring program





Template for a compliance monitoring plan

[ref.no.]	Obligation (e.g. not exceeding maximum field strength levels)
Legal references	
Importance (A or B)	
Monitoring plan	
Required information	
Information collection plan	
Threshold for next enforcement step (see below)	

Regular info gathering	Ad-hoc info requests	Formal advice	Site inspection	Written summons	Order to stop or act	Admin fine	Suspend licence	Revoke licence	Court imposed penalty
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