



COMPLIANCE RETURN FORM

APPLICATION SERVICE PROVIDER (ASP)

PURSUANT TO THE PROVISIONS OF THE KENYA COMMUNICATIONS ACT 1998, KENYA COMMUNICATION REGULATIONS 2010 AND THE ASP LICENSE CONDITIONS

Instructions

- i. Please note that the latest version of this form must be downloaded from the Authority's website at the end of each quarter in order to capture any official amendments
- ii. This form has provision for both quarterly and annual compliance reporting.
- iii. Information to be submitted within 15 days after the end of every Quarter
- iv. Please provide information in the space provided, you may insert additional rows and pages as required.
- v. Please provide accurate information and fill all fields as required. Please provide explanation for fields where you may not have relevant information.
- vi. Where Nil returns are submitted, an explanation **MUST** be provided under the Comments/Suggestions section.

1. GENERAL INFORMATION

1.1 Licence Details

Name of Licensee		
License No		
Other Licenses held

1.2 Period under review (Tick against appropriate quarter)

FINANCIAL YEAR

(based on Government of Kenya Financial year e.g., 2021/2022)

Quarter 1 (1 st July – 30 th Sep)	Quarter 2 (1 st Oct – 31 st Dec)	Quarter 3 (1 st Jan – 31 st Mar)	Quarter 4 (1 st Apr – 30 th Jun)
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1.3 Address

1.3.1 Physical Address

County.....	Town	Street/Road.....
Name of Building.....	Floor No.....	Room No.....

1.3.2 Postal Address:

P. O. Box.....	Town	Code.....
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1.3.3 Telephone Contacts

Tel No.....	Mobile No.....
Other Tel. Nos:

1.3.4 Email and Web Address

Email address:
Web address:

1.4 Contact details

Name of Chief Executive Officer (CEO)		
Name of Contact Person		
Telephone	Landline.....	Mobile.....
Email.....		

Did any of the address information change during the quarter? (Please tick as appropriate)

Yes No

PART A: QUARTERLY REPORTING SECTION

2 SERVICES PROVIDED UNDER THE LICENSE

2.1 Machine to Machine Services (e.g Car tracking, IOT, etc)

No.	Service Provided	Brief Description	Number of Subscriptions
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

2.2 Telecommunications Service Subscriptions

Category of Subscriptions		Number of Registered Active ¹ Subscriptions		
		Month 1	Month 2	Month 3
Postpaid Services	GSM (SIM Cards)			
	Terrestrial Fixed Line			
	Terrestrial Fixed Wireless			
Prepaid Services	GSM (SIM Cards)			
	Terrestrial Fixed Line			
	Terrestrial Fixed Wireless			
Voice over Internet Protocol (VoIP)	Mobile			
	Fixed			
Leased Lines	Mobile			
	Fixed			

2.3 Number of Mobile Phone Devices (Applicable to MNOs and MVNOs)

Type of Device	Number of devices
Feature Phone	
Smart Phone	
Others (e.g Tablets)	

2.4 Data/Internet Service Subscriptions (Retail Customers) By Technology

Subscriptions by Technology	Active Data/Internet Subscriptions		
	Month 1	Month 2	Month 3
Data Enabled SIM cards			
Fiber To The Home			
Fiber To The Office			
Terrestrial Fixed Wireless e.g., WiMax, WiFi			
Satellite			
Copper Line (Dial-up & DSL, xDSL)			
Cable Modem			
Other Fixed ² , Please Specify			

¹ Active Subscription – Refers to any subscription that has generated revenue in the last 3 months (90 days)

² Refers to Internet subscriptions using other fixed broadband technologies to access the Internet (other than DSL, cable modem, and fibre), at downstream speeds equal to, or greater than, 256 Kbit/s. This includes technologies such as ethernet LAN, and broadband-over-powerline (BPL) communications. Ethernet LAN subscriptions refer to subscriptions using IEEE 802.3 technology. BPL subscriptions refer to subscriptions using broadband-over-powerline services. Users of temporary

2.5 Broadband Service Subscriptions (Retail Customers)

Subscriptions by Technology	Active Broadband Subscriptions			Data Volumes Consumed during the quarter (Gigabytes)
	Month 1	Month 2	Month 3	
3G				
4G				
5G				
Fiber To The Home				
Fiber To The Office				
Terrestrial Fixed Wireless (WiMax/WiFi)				
Satellite				
Copper Line (Dial-up & DSL, xDSL)				
Cable Modem				
Other Fixed ³ , Please Specify				

2.6 Fixed Data Subscriptions by Speed by Technology

Technology	< 256 Kbps	=> 256 Kbps < 2 Mbps	=> 2 Mbps < 10 Mbps	=> 10 Mbps < 30Mbps	=> 30 Mbps < 100 Mbps	> 100 Mbps < = 1 Gbps	>1 Gbps
Fiber To The Home							
Fiber To The Office							
Terrestrial Fixed Wireless (WiMax/WiFi)							
Satellite							
Copper Line (Dial-up & DSL, xDSL)							
Cable Modem							
Other Fixed ⁴ , Please Specify							
Total							

3 MOBILE NUMBER PORTABILITY

Operator	Number of in-ports

4 TRAFFIC FOR TELEPHONE SERVICES (VOICE & SMS)

broadband access (e.g. roaming between PWLAN hotspots), users of WiMAX and those with Internet access via mobile-cellular networks are excluded.

³

List all service providers for internetwork traffic exchange. Number of Minutes and number of calls should be indicated as provided in the table.

4.1 Local Voice Traffic

Name of operator /Indicator		Voice minutes		Number of voice calls		VoIP Minutes			
Intra-Network	Mobile								
	Fixed Wireless								
	Fixed line								
Other Networks		Incoming		Outgoing		Incoming		Outgoing	
		Minutes	Calls	Minutes	Calls	Minutes	Calls	Minutes	Calls
1	Mobile								
	Fixed line								
	Fixed Wireless								
2	Mobile								
	Fixed line								
	Fixed Wireless								
3	Mobile								
	Fixed line								
	Fixed Wireless								
4	Mobile								
	Fixed line								
	Fixed Wireless								

4.2 Local SMS Traffic

Name of operator/Indicator		No. of SMS (Excluding money transfer and Premium Rate)	
Intra-Network	Mobile		
	Fixed Wireless		
Other Networks		Incoming	Outgoing
1.	Mobile		
	Fixed Wireless		
2.	Mobile		
	Fixed Wireless		
3.	Mobile		
	Fixed Wireless		
4.	Mobile		
	Fixed Wireless		
5.	Mobile		
	Fixed Wireless		

4.3 International Traffic

Name of Country / Carrier of Origin / Termination / of	Voice minutes				VoIP Minutes				SMS	
	Incoming		Outgoing		Incoming		Outgoing		Incoming	Outgoing
	Mobile	Fixed	Mobile	Fixed	Mobile	Fixed	Mobile	Fixed		
1.Uganda										
2.Tanzania										
3.Rwanda										
4.Burundi										
5.South Sudan										
6. Democratic Republic of Congo										
6.Others										
Total										

4.4 International Mobile Roaming Traffic**4.4.1 Out-Bound Mobile Roaming Traffic (Own Customers Roaming Abroad)**

Name of country with roaming agreement	Voice (Minutes)		SMS		Data
	Incoming	Outgoing	Incoming	Outgoing	
1.Uganda					
2.Tanzania					
3.Rwanda					
4.Burundi					
5.South Sudan					
6. Democratic Republic of Congo					
6.Others					
Total					

4.4.2 In-Bound Mobile Roaming Traffic (Foreign Customers Roaming on Local Networks)

Name of country with roaming agreement	Voice (Minutes)		SMS		Data
	Incoming	Outgoing	Incoming	Outgoing	
1.Uganda					
2.Tanzania					
3.Rwanda					
4.Burundi					
5.South Sudan					
6. Democratic Republic of Congo					
6.Others					
Total					

5 QUALITY OF SERVICE (Applicable to MNOs)

VOICE		
Indicator	TARGET	SCORE
Unsuccessful Call Ratio	<5%	
Dropped Call Ratio	<2%	
Call Set Up Time	<8 Sec	
Voice Quality (Speech Quality) (POLQA MOS)	>3.4 NB	
Handover Success Rate	>96%	
SMS		
Successful SMS Ratio	>95%	
Completion Rate SMS Ratio	>95%	
End to End SMS Delivery Ratio (Less than 30s delay)	>95%	
DATA		
Jitter and Latency	>95%	
Throughput (upload and download speeds)	>95%	
Browsing	>95%	

6 CONSUMER/CUSTOMER COMPLAINTS

Complaint Type	Number of Complaints					
	Month 1		Month 2		Month 3	
	Received	Resolved	Received	Resolved	Received	Resolved
Network Faults / Downtimes						
Poor Service Reception						
Disconnections and SLA related complaints						
Billing (charges)						
Customer Care and Response Challenges						
Spam and Malware Control						
Online Scam						
Childline online abuse and exploitation						
Others (Please Specify)						
Total						

PART B: ANNUAL REPORTING SECTION

7 MANDATORY DOCUMENTS

To be submitted with quarter 4 compliance returns

- i. A copy of the current certificate of shareholding (**Not older than 3 months**).
- ii. A copy of Audited financial statements for the preceding year. The report must be duly signed by a Certified Accountant, indicating the auditor's practicing number.
- iii. Valid tax compliance certificate.
- iv. Tariff structure.

8 SUBSCRIPTIONS BY COUNTY

County / Indicator	Voice subscriptions		Fixed Data / Internet Subscriptions						
	Terrestrial Fixed Wireless	Terrestrial Fixed Line	Fiber To The Home	Fiber To The Office	Fixed Wireless (e.g. WiMax, WiFi)	Satellite	Copper Line (Dial up, DSL, xDSL)	Cable Modem	Other fixed
Mombasa									
Kwale									
Kilifi									
Tana River									
Lamu									
Taita/Taveta									
Garissa									
Wajir									
Mandera									
Marsabit									
Isiolo									
Meru									
Tharaka-Nithi									
Embu									
Kitui									
Machakos									
Makueni									
Nyandarua									
Nyeri									
Kirinyaga									
Murang'a									
Kiambu									
Turkana									
West Pokot									
Samburu									
Trans Nzoia									
Uasin Gishu									
Elgeyo/Marakwet									
Nandi									
Baringo									
Laikipia									
Nakuru									
Narok									
Kajiado									

County / Indicator	Voice subscriptions		Fixed Data / Internet Subscriptions						
	Terrestrial Fixed Wireless	Terrestrial Fixed Line	Fiber To The Home	Fiber To The Office	Fixed Wireless (e.g. WiMax, WiFi)	Satellite	Copper Line (Dial up, DSL, xDSL)	Cable Modem	Other fixed
Kericho									
Bomet									
Kakamega									
Vihiga									
Bungoma									
Busia									
Siaya									
Kisumu									
Homa Bay									
Migori									
Kisii									
Nyamira									
Nairobi City									

9 STAFF (Directly and Indirectly Engaged Personnel)

Staff category		Local (Kenyan Citizens)		Expatriates	
		Male	Female	Male	Female
Technical	Permanent				
	Contract				
	Temporary				
None Technical	Permanent				
	Contract				
	Temporary				
Total					

10 NUMBERING RESOURCES

10.1 Numbers for Fixed telephony, Mobile Telephony, Free Phone and other services

National Destination Code (NDC) (e.g. 020, 041, 0800, 0900, etc.)	Number series e.g. 31xxxxx	Total numbers in the block/series allocated	Numbers in use	Numbers not in use	Reasons for non-usage

10.2 Other Numbering Resources

Other numbering resources	Purpose for the numbers	Total numbers assigned	Numbers in use	Numbers not in use	Reasons for non-Usage

11 CYBERSECURITY READINESS ASSESMENT

11.1 Does your organization have in place a team/officer with the capability to handle cybersecurity incidents? (Please tick one)

Yes No

11.2 If yes, please indicate the number of staff charged with cybersecurity/information security within your organization

Total	Male	Female

11.3 Has your organization put in place tools and systems to manage cybersecurity? (Please tick one)

Yes No

11.4 If yes, please indicate the kind of tools/systems has your organization deployed to safeguard yourself

11.5 Did your organization encounter a cyber incident in the last 12 months?

Yes No

11.6 If yes please indicate the type of cyber incident. (Tick as appropriate)

- Malware
- Ransomware
- Web Application Attack
- Online Abuse (Impersonation)

11.7 Did you organization report any cyber incidents in the last 12 months? (Please tick one)

Yes No

11.8 If yes, please indicate where you reported the incident (eg CA, KE-CIRT, Police, sector CIRT)

Communications Authority of Kenya (Tick as appropriate)

- KE-CIRT
- Sector CIRT
- National Police Service
- Others

11.9 Do you have initiatives in your organization to create cyber awareness and education amongst staff and customers?

Yes No

11.10 If yes, please indicate some of the cyber awareness and education activities carried out during the period.

12 COMPLIANCE TO PROVISION OF SERVICE AND FACILITIES TO PERSONS LIVING WITH DISABILITY IN LINE WITH KS2952 STANDARD.

- a) Please indicate your awareness and compliance to the KS2952 (May 2022) standard on ICT Accessibility for PWDs
 - i) Aware of the standard - **Yes/No**
 - ii) Complied with the standard **Yes/No.**

(if Yes, please attach the standard matrix as guided therein)

- b) Please specify the actions taken in your organization to ensure accessibility to your services and facilities by PWDs;

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- c) Please indicate the challenges or limitations you face in serving Persons Living With Disability

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- d) What are your future plans to enhance ICT inclusivity and accessibility for PWDs

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14 COMMENTS/ SUGGESTIONS

Please share any challenges faced and/or make suggestions to improve the regulatory environment.

Details of Individual Submitting the form		
Name	
Title	
Date	
Signature	
		Company Stamp

**THANK YOU FOR COMPLETING THE FORM
FOR OFFICIAL USE ONLY – DO NOT FILL BELOW THIS LINE**

These returns have been :)

	Checked By:	Verified by:	Approved <input type="checkbox"/> Rejected <input type="checkbox"/> (Tick as appropriate)
Name			
Title			
Signature			
Date			