



## 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**

*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*

#### 1 GENERAL INFORMATION

##### 1.1 Licence Details

Name of Licensee: \_\_\_\_\_

License No: \_\_\_\_\_

Other Licenses held: \_\_\_\_\_

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##### 1.2 Period under review (Tick against appropriate quarter)

**FINANCIAL YEAR** \_\_\_\_\_ *(based on Government of Kenya Financial year i.e. 2017/2018)*

Quarter 1 (1 <sup>st</sup> July – 30 <sup>th</sup> Sep)	Quarter 2 (1 <sup>st</sup> Oct – 31 <sup>st</sup> Dec)	Quarter 3 (1 <sup>st</sup> Jan – 31 <sup>st</sup> Mar)	Quarter 4 (1 <sup>st</sup> Apr – 30 <sup>th</sup> Jun)

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##### 1.3 Address

###### 1. Physical Address:

Town \_\_\_\_\_ Street/Road \_\_\_\_\_

LR No. \_\_\_\_\_ Floor No. \_\_\_\_\_ Room No. \_\_\_\_\_

Name of Building \_\_\_\_\_

###### 2. Postal Address:

P. O. Box \_\_\_\_\_ Postal Code \_\_\_\_\_

Post Office Town \_\_\_\_\_

**3. Phone and Fax Contact:**

Tel. No. \_\_\_\_\_ Fax. No. \_\_\_\_\_

Mobile No. \_\_\_\_\_ Other Tel. Nos. \_\_\_\_\_

**4. Email and Web Address:**

Email address: \_\_\_\_\_

Web Address: \_\_\_\_\_

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**1.4 Contact details**

Name of Chief Executive Officer (CEO): \_\_\_\_\_

Title of CEO: \_\_\_\_\_

Name of contact person: \_\_\_\_\_

Designation: \_\_\_\_\_

Telephone: (a) Landline \_\_\_\_\_ (b) Mobile: \_\_\_\_\_

Email: \_\_\_\_\_ Web address: \_\_\_\_\_

Signature of submitting contact person: \_\_\_\_\_ Date \_\_\_\_\_

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Did any of the address information change during the quarter? Yes  No   
(Please tick as appropriate)

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**1.5 Instructions**

- 1. This form has provision for both quarterly and annual compliance reporting.***
- 2. Please provide information in the space provided, you may insert additional rows and pages as required.***
- 3. Please provide information as accurately as possible and fill all fields required. Please provide explanation for fields where you may not have relevant information.***

**PART A: QUARTERLY REPORTING SECTION**

**(Information to be submitted at the end of every Quarter)**

**2 SERVICES PROVIDED UNDER THIS ASP LICENSE**

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

	<b><u>Service Provided</u></b>	<b><u>Brief Description</u></b>	<b><u>Number of Subscriptions</u></b>
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

**3 SUBSCRIPTION INFORMATION**

**3.1 Telephone Service Subscriptions**

Category of Subscriptions		Number of Registered Active Subscriptions		
		1 <sup>st</sup> month in the quarter	2 <sup>nd</sup> month in the quarter	3 <sup>rd</sup> month in the quarter
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			

**3.2 Information on licensed CSPs with ring back tones**

**Please provide a list of Content Service Providers on your platform offering Ring Back tones in the format provided below.**

No	Name of CSP	CA License Number

**N/B: The list provided should be an updated copy of the CSPs on your platform in the quarter being reported**

**3.3 Data/Internet Service Subscriptions (Retail Customers) By Technology**

Subscriptions by Technology	Active Data/Internet Subscriptions
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<sup>1</sup> Active Subscription – Refers to any subscription that has generated revenue in the last 3 months (90 days)

<sup>2</sup> Any SIM card that accesses internet during the quarter regardless of the mobile technology used. Refer to the Manual.

<sup>3</sup> Broadband-Internet/Data Speeds above 256Kbps

<sup>4</sup> Any SIM card that accessed data/internet services through 3G and other more advanced mobile networks. Customer to be categorized based on highest mobile technology accessed during the quarter. Refer to the manual

<sup>5</sup> Active 3G/4G mobile-broadband subscriptions refer to the sum of active handset- based and computer-based (USB/dongles) SIM Cards that

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	1st month in quarter	2nd month in quarter	3rd month in quarter
GSM (SIM Cards) <sup>2</sup>			
CDMA 2000			
Fiber To The Home			
Fiber To The Office			
Fixed Wireless eg WiMax, WiFi			
Satellite			
Copper Line (Dial-up & DSL, xDSL)			
Cable Modem			
Other Fixed Please Specify			

**3.4 Broadband<sup>3</sup> Service Subscriptions (Retail Customers)**

Subscriptions by Technology	Active Broadband Subscriptions			Data Volumes Consumed during the quarter (Gigabytes)
	1st month in quarter	2nd month in quarter	3rd month in quarter	
GSM <sup>4</sup> (3G )				
GSM <sup>5</sup> (4G)				
CDMA 2000				
Fiber To The Home				
Fiber To The Office				
Fixed Wireless (WiMax/WiFi)				
Satellite				
Copper Line (Dial-up & DSL, xDSL)				
Cable Modem				
Other Fixed Please Specify				

**3.5 Fixed Data Subscriptions by Speed**

Speeds	Number of Active Data/Internet Subscriptions
< 256 Kbps	
=> 256 Kbps < 2 Mbps	
=> 2 Mbps < 10 Mbps	
=> 10 Mbps < 30 Mbps	
=> 30 Mbps < 100 Mbps	
=> 100 Mbps	

**3.6 Data Subscriptions by Speed by Technology**

Technology	< 256 Kbps	=> 256 Kbps < 2 Mbps,	=> 2 Mbps < 10 Mbps	=> 10 Mbps < 30 Mbps	=> 30 Mbps < 100 Mbps	=> 100 Mbps
Cable Modem						
Copper Line (Dial-up & DSL,						

<sup>2</sup> Any SIM card that accesses internet during the quarter regardless of the mobile technology used. Refer to the Manual.

<sup>3</sup> Broadband-Internet/Data Speeds above 256Kbps

<sup>4</sup> Any SIM card that accessed data/internet services through 3G and other more advanced mobile networks. Customer to be categorized based on highest mobile technology accessed during the quarter. Refer to the manual

<sup>5</sup> Active 3G/4G mobile-broadband subscriptions refer to the sum of active handset- based and computer-based (USB/dongles) SIM Cards that have generated the highest broadband traffic through 3G/4G technology

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xDSL)						
FTTH/O						
Fixed wireless						
Satellite						
Other fixed <sup>5</sup>						
Total						

### 4 MOBILE PORTABILITY (For MNOs)

No.	Name of the Operator	Authorization Requests Received	Authorization Requests accepted	Authorization Requests Refused

### 5 MOBILE FINANCIAL SERVICES

#### 5.1 Mobile Money Transfer Service

Indicator	1 <sup>st</sup> month in the quarter	2 <sup>nd</sup> month in the quarter	3 <sup>rd</sup> month in the quarter
Number of Active Agents			
Number of Registered Active Subscriptions			
Value of Customer to Business-C2B Transfers (Kshs.)			
Value of Business to Customer - B2C Transfers (Kshs.)			
Value of Business to Business - B2B Transfers (Kshs.)			
Value of Government to Citizen– G2C Transfers (Kshs.)			
Value of Citizen to Government – G2C Transfers (Kshs.)			
Volumes sent to other networks			
Volumes received from other networks			
Value sent to other networks (Ksh.)			
Value received from other networks (Ksh.)			
Volumes of P2P Transactions			
Value of Domestic Person-Person -P2P Transfers (Kshs)			
Value of Person-Person -P2P Transfers within EAC Region (Kshs)			
Total Deposits value in KShs			

### 6 TRAFFIC FOR MOBILE SERVICES (VOICE & SMS)

#### 6.1 Local Voice Traffic

<sup>6</sup>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 broadband access (e.g. roaming between PWLAN hotspots), users of WiMAX and those with Internet access via mobile-cellular networks are excluded.

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

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								

**6.2 Local SMS Traffic**

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

**6.3 International Traffic**

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Name 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.Others										
<b>Total</b>										

**6.4 International Mobile Roaming Traffic**

**6.4.1 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.Others					
<b>Total</b>					

**6.4.2 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.Others					
<b>Total</b>					

**7 QUALITY OF SERVICE**

TELEPHONY	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%	

TELEPHONY	TARGET	SCORE
<b>SMS</b>		
Successful SMS Ratio	>95%	
Completion Rate SMS Ratio	>95%	
End to End SMS Delivery Ratio (Less than 30s delay)	>95%	
<b>DATA SERVICES</b>		
Latency	100ms	
Jitter	50ms	
Data Transfer Failure Ratio/Throughput (Download/Upload)	<10%	
Ratio of Packet Loss	1/1,000	
Internet Accessibility	>98%	
HTTP Set up failure Ratio (95% within 5 seconds)	<2%	
HTTP Completion Failure Ratio and Completion Time (95% within 20 seconds)	<90%	
HTTP Generic Scenario Availability	>85%	

**8 Resolution of Consumer/Customer Issues (Attach CRM)**

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						
Others (Please Specify)						
<b>TOTAL</b>						

**PART B: ANNUAL REPORTING SECTION**

**(Information to be submitted at the end of the Quarter ending 30<sup>th</sup> June)**

**9 SHAREHOLDING INFORMATION**

**Please attach a copy of the current certificate of shareholding (Not more than 6 months old).**

**10 FINANCIAL DATA**

Specify the start and end dates of your firm’s financial year below.

Financial Year Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

**Please attach the following;**

- I. A copy of your Annual Audited Accounts for the preceding year.**
- II. Valid tax compliance certificate.**

**11 SUBSCRIPTIONS PER COUNTY**

County	Voice Service Subscriptions	Fiber To The Home	Fiber To The Office	Fixed Wirele	CDMA 2000	Satellite	Copper Line (Dial-up &



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	Terrestrial Fixed Wireless	Terrestrial Fixed Line			ss eg WiMax , WiFi			DSL, xDSL)
Baringo								
Bomet								
Bungoma								
Busia								
Elgeyo-Marakwet								
Embu								
Garissa								
Homa Bay								
Isiolo								
Kajiado								
Kakamega								
Kericho								
Kiambu								
Kilifi								
Kirinyaga								
Kisii								
Kisumu								
Kitui								
Kwale								
Laikipia								
Lamu								
Machakos								
Makueni								
Mandera								
Marsabit								
Meru								
Migori								
Mombasa								
Murang'a								
Nairobi								
Nakuru								
Nandi								
Narok								
Nyamira								
Nyandarua								
Nyeri								
Samburu								
Siaya								
Taita-Taveta								
Tana River								
Tharaka-Nithi								
Trans Nzoia								
Turkana								
Uasin Gishu								
Vihiga								
Wajir								
West Pokot								

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County	Voice Service Subscriptions		Fiber To The Home	Fiber To The Office	Fixed Wireless eg WiMax, WiFi	CDMA 2000	Satellite	Copper Line (Dial-up & DSL, xDSL)
	Terrestrial Fixed Wireless	Terrestrial Fixed Line						
<b>Totals</b>								

**12 TARIFFS (Please attach all the tariffs for services offered under this license in excel format)**

**13 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				
<b>Total</b>					

**14 NUMBERING RESOURCES**

**14.1 Numbers for fixed 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

**14.2 Other Numbering Resources**

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

**15 ENVIRONMENTAL SUSTAINABILITY COMPLIANCE**

Reporting on Environmental Sustainability Initiatives

15.1. Provide information on initiatives you are undertaking to establish channels of collecting both consumer and your own electronic waste (e-waste) at the end of life-cycle (please detail your take back mechanisms);

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15.2. Provide information on initiatives that you are undertaking in the operations to reduce the carbon footprint/negative environmental impact;

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15.3. Provide information on the current status of adherence to the Environmental Management and Coordination Act, EMCA on Waste Management.

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**16 COMMENTS/ SUGGESTIONS**

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

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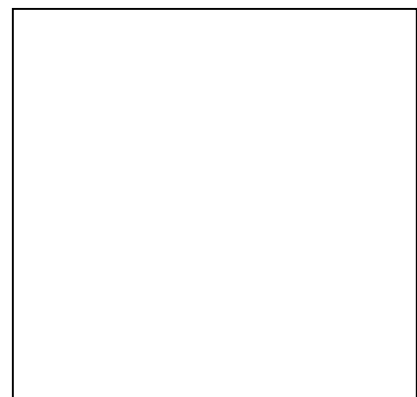
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Signed.....  
Name.....  
Title.....  
Date .....



Company Stamp above

*(NB: Where Nil returns are submitted, an explanation **MUST** be provided under the Comments/Suggestions section of this form)*

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**THANK YOU FOR COMPLETING THE FORM**

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**FOR OFFICIAL USE ONLY – DO NOT FILL BELOW THIS LINE**

These returns have been :)

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

**N/B A COMPLIANCE CERTIFICATE WILL NOT BE ISSUED IF THE COMPLIANCE RETURNS ARE SUBMITTED LATE OR REJECTED BY THE AUTHORITY**