

Exhibit No. \_\_\_\_\_  
Issues: Out of Exchange & Numbering  
Witness: Hoke R. Knox  
Type of Exhibit: Direct Testimony  
Party: Sprint Communications, L.P.  
Case No. TO-2005-0336

## **Exhibit HRK# 2**



**Alliance for  
Telecommunications  
Industry Solutions**

*Sponsor of*



**Industry Numbering  
Committee**

**CENTRAL OFFICE CODE (NXX)  
ASSIGNMENT GUIDELINES**

**1200 G Street NW  
Suite 500  
Washington DC 20005  
[www.atis.org](http://www.atis.org)**

**These guidelines are reissued with the  
resolution of INC Issue 462.**

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## **Preface**

The Industry Numbering Committee (INC) provides a forum for customers and providers in the telecommunications industry to identify, discuss, and resolve national issues that affect numbering. The INC is responsible for identifying and incorporating the necessary changes into this document. All changes to this document shall be made through the INC issue resolution process and adopted by the INC as set forth in the *ATIS Operating Procedures*.

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**Appendix A: Example of Pre-Planning Checklist**

**Appendix B: Months to Exhaust Certification Worksheet – TN Level**

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**\* Note: Previous Appendices E, G, and H have been deleted.**

### **Central Office Code (NXX) Assignment Request and Confirmation Forms**

**Part 1 - Request for NXX Code Assignment**

**Part 2 - Routing and Rating Information (Forms 1-8)**

**Part 3 - Administrator's Response/Confirmation**

**Part 4 - Confirmation of CO Code in Service**

**Part 4 PA - Confirmation of Code In Service (Submitted by the Pooling Administrator)**

**\* Note: Previous Part 2, Forms 3, 4 and 5 have been deleted.**

## 1.0 Purpose and Scope of This Document

This document specifies guidelines for the assignment of central office codes (also referred to as CO codes in this document). The term CO code or NXX refers to sub-NPA destination codes for addressing. Sub-NPA refers to digits D-E-F of a 10-digit NANP Area address, e.g., 740 is the CO code (NXX) in (201) 740-1111. Examples of uses for CO codes (NXX) for which these guidelines apply include plain old telephone service (POTS), Centrex, Direct Inward Dialing (DID), Commercial Mobile Radio Service (CMRS), data lines, facsimile, coin phones, and customer owned pay phones. While these guidelines were developed at the direction of the FCC,<sup>1</sup> they do not supersede controlling appropriate NANP Area governmental or regulatory principles, guidelines and requirements. These industry consensus guidelines are expected to apply throughout the NANP Area subject to guidelines and constraints of the NANP Area administrations unless the affected administrations direct otherwise.<sup>2</sup>

These guidelines apply only to the assignment of CO codes (NXX) within geographic numbering plan areas (NPAs). This does not preclude a future effort to address non-geographic NPAs in the same guidelines.<sup>3</sup> CO codes (NXXs) are assigned for use at a Switching Entity or Point of Interconnection they own or control. Entities assigned CO Codes are termed “code holders” in areas where thousands-block number pooling has not been implemented or for those entities that are not participating in thousands-block number pooling. Where thousands-block number pooling has been implemented, an entity assigned a CO Code is designated as the “LERG<sup>4</sup> Assignee.” While the ultimate delivery of any call to a CO code (NXX) need not be geographically identified, by necessity initial routing is geographically defined. Therefore, for assignment and routing purposes, the CO code (NXX) is normally associated with a specific geographic location

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<sup>1</sup> This effort has been undertaken at the direction of the Federal Communications Commission (FCC), in a letter to NANPA dated June 21, 1991, in an attempt to develop procedures that can be applied uniformly while using a finite numbering resource in the most efficient and effective manner possible and subsequently changed per FCC 00-104 and FCC 00-429.

<sup>2</sup> The Canadian Radio-television and Telecommunications Commission (CRTC) has approved the Canadian Central Office Code (NXX) Assignment Guidelines for the administration of Central Office Codes within Canadian Numbering Plan Areas (NPAs) by the Canadian Numbering Administrator (CNA). See [www.cnac.ca](http://www.cnac.ca).

<sup>3</sup> Separate procedures apply to the assignment of NXX codes within currently assigned Service Access Codes (SACs), and others will be developed, as appropriate, as new SACs are assigned by NANPA. For example, NXX assignment guidelines for the 900 SACs are available. Separate guidelines also will be prepared to address the assignment of numbering resources reserved for non-geographic applications.

<sup>4</sup> LERG in the phrase “LERG Assignee” used in this document refers to the Telcordia™ LERG™ Routing Guide, Telcordia and LERG Routing Guides are trademarks of Telcordia Technologies, Inc.

within an NPA, from which it is assigned. For some companies this is also used for billing purposes.

## **2.0 Assumptions and Constraints**

The development of the assignment guidelines includes the following assumptions and constraints.<sup>5</sup>

- 2.1 NANP resources, including those covered in these guidelines, are collectively managed by the North American Telecommunications industry with oversight of the North American regulatory authorities. The NANP is the basic numbering scheme for the public switched telecommunications networks in the nineteen countries that are participants in the North American Numbering Plan. NANP resources are used to route calls to subscriber terminals, and may be included in the call record for the purpose of rating calls.

The NANP resources are considered a public resource and are not owned by the assignees. Consequently, the resources cannot be sold, brokered, bartered, or leased by the assignee for a fee or other consideration. Transfer of code(s) due to merger/acquisition is permitted.

If a resource is sold, brokered, bartered, or leased for a fee, the resource is subject to reclamation.<sup>6</sup> Unused numbers may also be subject to reclamation for reassignment to other carriers.<sup>7</sup>

- 2.2 NANP numbering resources shall be assigned to permit the most effective and efficient use of a finite numbering resource in order to prevent premature exhaust of the NANP and delay the need to develop and implement costly new numbering plans. Efficient resource management and code conservation are necessary due to the industry

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<sup>5</sup> At present, various procedures are employed to recover costs associated with the assignment and implementation of codes. The treatment of these or any future costs associated with CO code assignments is not addressed in these guidelines.

<sup>6</sup> Supported by the NANC in letter dated 7/30/97 from the NANC Chairman to the INC Moderator.

<sup>7</sup> FCC 00-104, ¶ 5.

impacts of expanding the numbering resource (e.g., expansion from 10 to 11 digits).  
Impacts to the industry include:

- Customer impacts (e.g., dialing, changes to advertising and stationery, etc.)
- Customer Premise Equipment (CPE) modifications
- Domestic and international switching hardware and software modifications
- Operational support systems modifications
- Reprogramming of non-telecommunications databases that contain telephone numbers.

- 2.3 These guidelines treat the assignment of central office codes (NXX), including submission of new assignments for inclusion in the Telcordia™ Business Integrated Routing and Rating Database System (BIRRDS) and LIDB Access Support System (LASS) so that notification to the industry can take place through BIRRDS outputs. Examples of these outputs are the Telcordia™ LERG™ Routing Guide, the Telcordia™ NPA/NXX Activity Guide (NNAG), the Telcordia™ TPM™ Data Source and the Telcordia™ NPA/NXX Vertical and Horizontal Coordinates Data (VHCD), and LASS outputs such as the Telcordia™ LIDB Access Routing Guide (LARG). Implementation of these assignments is beyond the scope of these guidelines<sup>8</sup>.
- 2.4 If regulatory certification is required, the applicant must be able to demonstrate that regulatory authorization has been obtained for the area where the code is to be utilized.
- 2.5 The guidelines should provide the greatest latitude in the provision of telecommunications services while effectively managing a finite resource.
- 2.6 These assignment guidelines also apply to an environment where number portability and/or number pooling have been implemented.
- 2.7 These guidelines do not address the issue of who will fulfill the role of CO Code Administrator(s) or Pooling Administrator(s) (PA). The guidelines described herein were developed by the industry without any assumption on who should be the CO Code Administrator(s) or Pooling Administrator(s).<sup>9</sup>
- 2.8 These assignment guidelines were prepared by the industry to be followed on a voluntary basis. However, FCC 00-104 - *Report and Order and Further Notice of Proposed Rule Making*, released March 31, 2000 and FCC 00-429 - *Second Report and*

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<sup>8</sup> TPM Data Source is a trademark of Telcordia Technologies, Inc.

<sup>9</sup> A list of the current Code Administrator(s) is available upon request from NANPA (See Section 10).



*Order, Order on Reconsideration* contain "Rules" associated with CO/NXX number administration which have been incorporated and are referenced by a footnote in the format "FCC 00-104 . . ." or "FCC 00- 429". Should the "Rules" change, the associated text in the guidelines and references would change accordingly.

- 2.9 Administrative assignment of the CO code (NXX) public resource to a code holder/LENG assignee does not imply ownership of the resource by Code Administrator, nor does it imply ownership by the code holder/ LENG assignee to which it is assigned.
- 2.10 SPs and numbering resource administrators are responsible for managing numbering resources in accordance with these guidelines and the orders of applicable regulatory authorities. Both SPs and numbering resource administrators are subject to audits. Further information may be found in FCC 00-104 ¶62, FCC 00-429 ¶81-99, and 47 CFR § 52.15(k).
- 2.11 Audits of the CO Code Administrator(s), the Pooling Administrator(s), and code applicants/holders may be performed to: 1) ensure uniformity in application of these guidelines by a CO Code Administrator to all code requests received, 2) ensure compliance with these guidelines by code applicants/holders and CO Code Administrator, and 3) ensure the efficient and effective use of numbering resources by code applicants/holders and the efficient management of numbering resources by CO Code Administrator.
- 2.12 An applicant is not required to provide any additional explanation or justification of items that he/she has certified. However, certification alone may not provide the CO Code Administrator(s) with sufficient information upon which to make a decision regarding code assignment, and additional dialog and written documentation may be required. The CO Code Administrator(s) is still obligated to reply within 10 business days. Service providers participating in number pooling shall apply to the PA for all numbering resources; i.e., thousands-blocks and full NXX codes. In addition, SPs participating in number pooling must submit changes or disconnects for pooled NXXs to the PA. Changes or disconnects for non-pooled NXXs in a pooling rate area should be sent to NANPA, unless the PA received the original request for the non-pooled NXX.
- 2.13 State commissions have access to service providers' applications for numbering resources. State commissions should request copies of such applications from the service providers operating within their states, and service providers must comply with state commission requests for copies of numbering resource applications. Carriers that

fail to comply with a state commission request for numbering resource application materials shall be denied numbering resources.<sup>10</sup>

- 2.14 It is assumed from a wireline perspective that CO codes/blocks allocated to a wireline service provider are to be utilized to provide service to a customer's premise physically located in the same rate center that the CO codes/blocks are assigned. Exceptions exist, for example tariffed services such as foreign exchange service.

### **3.0 Assignment Principles**

The following assignment principles apply to all aspects of the CO code (NXX) Guidelines:

3.1 CO codes (NXXs) are assigned to entities for use at a Switching Entity or Point of Interconnection they own or control. Where thousands-block number pooling has been implemented, an entity assigned a CO Code is designated as the "LERG Assignee." An entire NXX code dedicated for a single customer's use may be classified as a non-pooled code at the discretion of the SP. The SP will be considered the CO Code Holder by leaving the pooling indicator field blank in Section 1.5 of the CO Code Part 1. In addition, the SP should write "Non-pooled code for dedicated customer" in Section 1.7 of the Part 1.

If this option is selected, the SP is reminded that a portability indicator may be required. The NXX code dedicated for a single customer's use will become a pooled code if and when thousands-blocks from the NXX code are donated to the pool. Central office codes (NXX), as part of NANP telephone numbers, are to be assigned only to identify initial destination addresses in the public switched telephone network (PSTN), not addresses within private networks.

- 3.2 Central office codes (NXX) are a finite resource that should be used in the most effective and efficient manner possible. All applicants will be required to provide a completed Part 1 form and, for additional codes, quantitative support to demonstrate compliance with these guidelines. The quantitative information required for an additional code request is the "CO Code Assignment Months to Exhaust Certification Worksheet - TN Level" (Appendix B) or "Thousands-Block Number Pooling Months To Exhaust Certification Worksheet – 1000-Block Level" [Thousands-Block Number (NXX-X) Pooling

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<sup>10</sup> FCC 01-362, § 52.15 (g)(5).

Administration Guidelines, Appendix 4]. The applicant should retain a copy in the event of an audit or regulatory initiative (See Section 4.2.1).

- 3.3 Information that is submitted by applicants in support of code assignment shall be kept to a minimum, be uniform for all applicants, and be treated as proprietary and adequately safeguarded by the PA/NANPA. Information required by Telcordia™ Business Integrated Rating and Routing Database System (BIRRDS), Telcordia™ TPM™ Data Source<sup>11</sup>, and information available in the LERG Routing Guide may be subject to licensing agreements with Telcordia.
- 3.4 Central office codes shall be assigned in a fair and impartial manner to any applicant that meets the criteria for assignment as detailed in Section 4.0.
- 3.5 Applicants for central office codes must comply with all applicable local governmental, state, federal and the NANP Area governmental regulations relative to the services they wish to provide.
- 3.6 Any entity that is denied the assignment of one or more central office codes under these guidelines has the right to appeal that decision per Section 13.
- 3.7 Affected parties<sup>12</sup> in a given geographic area have the right and will be given the opportunity to participate as early as possible in the process of determining the alternatives for addressing CO code (NXX) exhaust and relief in that area before the CO Code Administrator(s) submits a final recommendation to the relevant regulatory body.
- 3.8 Resource conservation, in and of itself, should not inhibit or otherwise impede, the ability to obtain NXXs.
- 3.9 SPs cannot change the rate center on a code that contains ported TNs. Such changes are not permitted because of the impact to customer calling patterns and associated charges.

#### **4.0 Criteria for the Assignment of Central Office Codes**

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<sup>11</sup> TPM Data Source is a trademark of Telcordia Technologies, Inc.

<sup>12</sup> Affected parties are a) those entities that have applied for and/or received central office code (NXX) assignments or reservations within the affected NPA per Section 4.0 of these Guidelines; b) all interested members of the industry within the affected NPA.

The assignment criteria in the following sections shall be used by CO Code Administrator(s) in reviewing a central office code assignment request from a service provider for an initial and/or an additional code:

#### 4.1 Code Assignment Criteria for Both Initial and Growth Resources

CO codes (NXXs) are assigned to entities for use at a Switching Entity or Point of Interconnection they own or control. Where thousands-block number pooling has been implemented, an entity assigned a CO Code is designated as the "LERG Assignee." Assignment of the initial code(s) will be to the extent required to terminate PSTN traffic as authorized or permitted by the appropriate regulatory or governmental authorities, and provided all the criteria in Sections 4.1.1 through 4.1.3 are met. An initial code assignment will be based on a unique rate center<sup>13</sup> consistent with regulatory restriction.

Utilization criteria or projection will not be used to justify an initial NXX assignment. The applicant must demonstrate authorization and preparation to provide service before receiving initial numbering resources.<sup>14</sup> These requirements apply equally to carriers requesting an initial NXX code and those requesting an initial thousand-block pursuant to the pooling requirements established in FCC Report and Order No. 00-104.<sup>15</sup> Where the PA is applying for the assignment of a CO Code, the service provider whose OCN is shown on the CO Code Application form shall meet the above requirement.

##### 4.1.1 The applicant must certify a need for NANP numbers, e.g., provision of wireline or wireless service in the Public Switched Telephone Network.

In order to obtain CO codes, an applicant must submit or have submitted a North American Numbering Plan Numbering Resource Utilization/Forecast (NRUF) Report (See NRUF Reporting Guidelines) to the NANPA for the NPA(s) in which the CO code(s) is being requested.<sup>16</sup> This requirement shall not apply in instances where an NPA has been implemented since the last NRUF Report and the Service Provider has submitted a NRUF Report for the NPA(s) previously serving the geographic areas involved.

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<sup>13</sup> Multiple NXX codes, each associated with a different rate center, may be assigned to the same switching entity/POI. Such arrangements may require "Meet Point Billing-like" considerations to permit proper recovery of interconnection charges (see also Section 6.2.3).

<sup>14</sup> FCC 00-104, § 52.15, (g) (2) i – ii.

<sup>15</sup> FCC 00-104, ¶ 97.

<sup>16</sup> FCC 00-104, § 52.15 (f) (4) (5).

The applicant must submit an NXX request form certifying that a need exists for an NXX assignment to a point of interconnection or a switching entity due to routing, billing, regulatory, or tariff requirements. The NXX request form must provide an Operating Company Number (OCN), which uniquely identifies the applicant. The NANPA will not issue numbering resources to a carrier without an OCN.<sup>17</sup> The OCN cannot be shared with another service provider.

- 4.1.2 All applications for numbering resources must include the company name, company headquarters address, OCN, parent company's OCN(s), and the primary type of business in which the numbering resources will be used.<sup>18</sup>
- 4.1.3. An applicant may request an NXX assignment for the establishment of an initial Location Routing Number (LRN) per POI or switching entity for each LATA in which the applicant has a customer served by that same POI or switch, provided the applicant has no existing resources available for LRN assignment. SPs must meet the months to exhaust and utilization requirements if the request is for a CO code for a new switch in a rate center in which the SP already has numbering resources. SPs may appeal to the appropriate regulatory authorities for exceptions to this rule.
- 4.1.4 Where thousands-block number pooling has been implemented, the PA is authorized to apply for CO Codes. The PA will select a "LERG Assignee" for codes to be added to the pool, in accordance with steps outlined in the Thousands-Block (NXX-X) Pooling Administration Guidelines. The LERG Assignee will fill out the CO Code Request and submit it to the PA who will then forward the request to the Code Administrator. The OCN and AOCN of the "LERG Assignee" will be entered on the NXX request form. The LERG Assignee shall also indicate on the CO Code Application that the NXX being requested is designated for thousands-block number pooling by checking the "Pool Indicator" box on the request form, and provide the names of both the PA and the LERG Assignee on the application (Code Applicant section) for the CO Code Administrator response purposes.
- 4.1.4.1 The PA shall apply for additional CO Codes in the following instances:
  - 1. to add resources to the industry inventory pool in order to establish and maintain a 6 month<sup>19</sup> inventory at the rate center level.

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<sup>17</sup> FCC 01-362, § 52.15 (g)(4).

<sup>18</sup> FCC 00-104, § 52.15 (g) (1).

<sup>19</sup> FCC 00-104, § 52.15 (d) (2).

2. to replenish the industry inventory pool in order to meet a service provider's request for a specific block due to technical reasons.
3. to request an entire NXX code (i.e., 10,000 numbers) to satisfy the numbering needs for a service provider's single customer. A single customer is defined as one customer requiring 10,000 consecutive telephone numbers from one central office exchange. SPs have the option whether or not to indicate such a code as pooled or non-pooled.
4. to request an NXX code for LRN purposes when an SP is deploying a new switching entity/POI that requires the assignment of an LRN.

#### 4.2 Code Assignment Criteria for Initial Codes

Application to the NANPA for an initial code assignment shall include evidence that the applicant is authorized to provide service in the area for which the code is being requested,<sup>20</sup> and that the applicant is or will be capable of providing service within sixty (60) days of the numbering resources activation date requested.<sup>21</sup>

For an initial code request, a code applicant must provide one form of documentation from both Sections 4.2.1 and 4.2.2 below:

##### 4.2.1 License and/or Certification

Evidence that demonstrates the SP has a license or authority issued by the FCC **or** a Certificate of Public Convenience and Necessity (CPCN) issued by a State Regulatory Body to provide service in the city and state/rate center/MSA#/RSA# /MTA#/BTA#/national /LATA. The SP may attach a copy of the FCC license or authority or CPCN to the application.

##### 4.2.2 Facilities Readiness

Appropriate evidence that facilities are in place or will be in place to provide service within 60 days of the numbering resources activation date (LERG Routing Guide effective date). Evidence may be provided via a copy of any one of the following document(s)<sup>22</sup> the SP selects:

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<sup>20</sup> FCC 00-104, § 52.15 (g) (2) (i).

<sup>21</sup> FCC 00-104, § 52.15 (g) (2) (ii).

<sup>22</sup> There may be additional or different criteria requested by state regulators. See FCC 00-104 ¶ 98.

1. An executed interconnection agreement between a Local Exchange Carrier and the service provider requesting numbering resources. The relevant pages are the cover page, area covered and the signature page from the interconnection agreement.
2. Service Provider developed business plans to provide service in this area. Relevant excerpts from the Business Plan to include planned coverage area and in service dates.<sup>23</sup>
3. A letter from the SP indicating the scheduled switch installation complete date (month/day/year), including the address location, as well as Point of Interconnection or CLLI.
4. The service order request, pre-planning checklist, or the equivalent to show that facilities for origination or termination for calls being used specifically for the requested code(s) have been requested and are anticipated to be completed prior to the effective date of the code (See Appendix A for an example of a pre-planning checklist showing the identified fields which must be completed).
5. A confirmation letter or letter of intent provided by the entity with which the requesting SP will interconnect. Interconnecting carriers are encouraged, but not required, to provide such letters.
6. The construction schedule including the following information: site identifier, latitude and longitude of the cell site, and its construction start or complete date. The numbers assigned to the facilities identified must serve subscribers in the geographic area corresponding with the rate center requested.
7. A letter from the requesting carrier identifying a code in service in another rate center that already uses the same facilities that will be used to serve the new rate center where the initial code is being requested.

All documentation submitted will be held confidential pursuant to FCC confidentiality rules.<sup>24</sup>

#### 4.3 Code Assignment Criteria for Growth Codes

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<sup>23</sup> Provision of business plans may not be sufficient proof of facilities readiness in some serving areas.

<sup>24</sup> 47 CFR, § 52.13 (c) (7)

Assignment of additional code(s) (growth codes) in a rate center will be made by satisfying the criteria in Section 4.3.1, 4.3.2, 4.3.3, or 4.3.4.

The MTE form submitted must demonstrate that all of the numbers assigned to the code holder in the rate center will exhaust within six months. In the MTE calculation, SPs must include every code in the rate center, regardless of NPA.<sup>25</sup> An exception occurs in cases where a rate center is split among multiple NPAs due to a regulatory order by a state commission. Should that occur, the MTE calculation shall be based on only those codes in the rate center and particular NPA for which additional resources are being requested.

- 4.3.1 For additional codes for growth, each code holder will demonstrate that existing codes for the rate center will exhaust within 6 months and *must* supply supporting data using the "CO Code Assignment Months to Exhaust Certification Worksheet - TN Level" which covers:<sup>26</sup>

1. Telephone Number (TNs) Available for Assignment;
2. Growth history for six months
3. Projected demand for the coming 12 months; and
4. The applicants must demonstrate that existing numbering resources for the rate center will exhaust within 6 months.<sup>27</sup>

The applicants must also meet the following numbering resource utilization levels:<sup>28</sup>

- 60% effective May 8, 2001;
- 65% effective June 30, 2002;
- 70% effective June 30, 2003; and
- 75% effective June 30, 2004.

The numbering resource utilization level shall be calculated by dividing all assigned numbers by the total numbering resources in the applicant's inventory and multiplying the result by 100. Numbering resources activated in the LERG Routing Guide within the

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<sup>25</sup> State commissions may have certain requirements as to the treatment of different types of grandfathered codes.

<sup>26</sup> FCC 00-104, § 52.15 (g) (3) (iii).

<sup>27</sup> FCC 00 429 ¶ 29

<sup>28</sup> FCC 00 429 §52.15 (h)



preceding 90 days of reporting utilization levels may be excluded from the utilization calculation.<sup>29</sup>

4.3.2 Whether to replenish the inventory pool or meet a service provider's immediate request, the Months To Exhaust form sent to the Co Code Administrator by the PA will demonstrate that existing thousands-blocks for the rate center will exhaust within 6 months and will have documented and be prepared to supply supporting data to the CO Code Administrator in the form of:<sup>30</sup>

1. Thousands-blocks available for assignment;
2. Growth history of thousands-blocks, or equivalent information, for the past 6 months; and
3. Projected demand for thousands-blocks in the next 12 months<sup>31</sup>.

The PA shall complete the "Thousands-Block Number Pooling Months to Exhaust Certification Worksheet – 1000-Block Level [Thousands-Block Number (NXX-X) Pooling Administration Guidelines, Appendix 4] and retain it in the event of an audit or regulatory initiative and forward a copy to the CO Code Administrator.

The PA when applying to the CO Code Administrator for an NXX Code to a) satisfy the needs of an SP's single customer requiring 10,000 consecutive TNs, or b) be assigned for LRN purposes, will certify the need by providing the CO Code Administrator a copy of the "Thousands-Block Number Pooling Months To Exhaust Certification Worksheet - TN Level" [Thousands-Block Number (NXX-X) Pooling Administration Guidelines, Appendix 3] that is supplied to the PA by the requesting SP in accordance with the Thousands-Block Number (NXX) Pooling Administration Guidelines which covers:

1. Telephone numbers (TNs) available for assignment;
2. Incremental growth history of new TNs for the past 6 months (does not include ported TNs);
3. Projected incremental demand for TNs in the next 12 months<sup>32</sup>; and
4. Utilization threshold level for the rate center in which growth numbering resources are being requested.

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<sup>29</sup> FCC 00-104, § 52.15 (g) (3) (i) (ii) .

<sup>30</sup> FCC 00-104, ¶ 189.

<sup>31</sup> FCC 00-104, § 52.15 (g) (3) (i).

<sup>32</sup> FCC 00-104, § 52.15 (g) (3) (i).

The PA must supply all certification information to the CO Code Administrator.

- 4.3.3 An additional code(s) is necessary for distinct routing, rating, or billing purposes (e.g., Calling Party Pays).<sup>33</sup> Applicant must provide the CO Code Assignment Months To Exhaust Certification Worksheet – TN Level and utilization data by rate center as stated in Section 4.3.1.<sup>34</sup>
- 4.3.4 An additional code(s) is necessary for other reasons. The applicant must provide an explanation of why existing assigned resources cannot satisfy this requirement. Applicant must provide the CO Code Assignment Months To Exhaust Certification Worksheet – TN Level and utilization data by rate center as stated in Section 4.3.1.<sup>35</sup>
- 4.4 Where LRN-LNP based thousands-block number pooling has not been deployed, NXX code sharing between carriers, in which portions of the NXX codes are assigned to multiple switching entities/POIs, should be avoided unless mutually agreed to by affected parties.

When a single switching entity/POI provides access for multiple carriers (i.e., wireless and wireline carriers), and the need for numbers for either carrier is less than a full code (10,000 numbers), the unused numbers from an NXX code serving one of these carriers can be made available for any carrier served by the switching entity/POI.<sup>36</sup>

- 4.5 Codes shall be assigned on a first-come, first-served basis. Good faith efforts shall be made to eliminate or to minimize the number of reserved codes. Special requirements exist in jeopardy NPA situation.

Reservation is permitted if the applicant can demonstrate the reservation of the code is essential to accommodate technical or planning constraints or pending regulatory approval of a tariff and/or certification /registration if appropriate documentation to be provided should demonstrate that a request for regulatory certification/ registration has been submitted to one appropriate regulatory body to provide service when the applicant has provided a proposed use date within twelve months.

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<sup>33</sup> Any additional information that can be provided by the code applicant may facilitate the processing of that application.

<sup>34</sup> FCC 00-104, § 52.15 (g) (3) (i) (A) and (B).

<sup>35</sup> FCC 00-104, § 52.15 (g) (3) (i) (A) and (B).

<sup>36</sup> In certain situations there are technical, billing, service delivery, roaming, and/or tariff reasons that require partial and/or different NXX assignments.

No reservation will be made unless the applicant meets the requirements of code assignment as outlined in Section 4 for initial codes (Section 4.2.1 - 4.2.2) or for additional codes (Section 4.3 -4.3.3), depending upon whether the reserved code is to be an initial or additional code.

If a reserved code is not activated within eighteen months, the code will be released from reservation.

When the reservation was due to technical constraints (e.g., step-by-step switches) solely, the reservation will be extended until the constraint is no longer present.

Upon written request to the CO Code Administrator(s), one reservation extension of six months will be granted when the proposed code use date will be missed due to circumstances beyond the control of the applicant (e.g., hardware, software provision delays, regulatory delays, etc.).

Reservation requests must be submitted directly to the Pooling Administrator if the requested CO Code is in a mandatory pooling rate center.

#### 4.6 Unassignable CO Codes

The following codes are duplicated in new NPAs during NPA relief.

The N11 codes are not to be assigned by NANPA to any service provider as central office (NXX) codes<sup>37</sup>.

The designated or common uses of these codes are as follows:

- 211 – Community Information and Referral Services
- 311 – Non-Emergency Police and Other Governmental Services
- 411 – Local Directory Assistance
- 511 – Travel Information Services
- 611 – Repair Service
- 711 – Telecommunications Relay Service (TRS)
- 811 – Business Office
- 911 – Emergency

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<sup>37</sup> INC supports industry use of non-dialable, ten-digit numbers in the format NPA-211-XXXX and NPA-511-XXXX for use as wireless E9-1-1 ESRDs/ESRKs. Any other use of these numbers would potentially cause conflicts in properly routing calls to emergency services systems.(Issue 429)

#### 4.7 Unassignable, Special Use CO Codes

The following codes are duplicated in new NPAs during NPA relief.

- 4.7.1 The 555 code is not to be assigned by NANPA as a central office (NXX) code because its numbers are assigned by NANPA on a line-level basis to different entities. Calls to this code are completed with 7 or 10 digits.
- 4.7.2 The 950 code is not to be assigned by NANPA as a central office (NXX) code because it is used by the entire industry to access Feature Group B Carrier Identification Codes (CIC) and has special Automatic Message Accounting (AMA) triggers. The 950 code plus the CIC constitute a Carrier Access Code (CAC): 950-XXXX.
- 4.7.3 The 958 and 959 codes are not to be assigned by NANPA as central office (NXX) codes because they are used by the entire industry, in every central office, as standard test codes.

#### 4.8 Assignable, Special Use CO Codes

- 4.8.1 The 976 code can only be used for Information Delivery Services.
- 4.8.2 The 700 code may be assigned to a single service provider, but only with the understanding that line number 4141 is protected and is only used for its intended purpose. In 1996, line number 700-4141 was established in each NPA as access for verification of a customer's intraLATA carrier.

These assignable special use codes are duplicated in new NPAs during NPA relief. Any of these codes that have specific hosting company information may require additional documentation (Part 1 form) prior to being added to the routing and rating database.

#### 4.9 Test Codes for New NPAs – Splits or Overlays

- 4.9.1 Test codes for the purpose of implementation of a new NPA shall be assigned to the volunteering service provider(s). The test code is for the implementation of the new area code and will be returned following the completion of that implementation. The test code will not be subject to pooling requirements (if pooling is in place within the NPA).<sup>38</sup> The test code shall not be an unassignable CO code or an assignable Special Use CO code.

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<sup>38</sup> See "NIIF Reference Document" for test code requirements for implementation of a new NPA.

Assignment is coordinated with the NANPA Relief Planner. Many times a regulatory decision to introduce a new NPA is issued more than six months before the start of permissive dialing and the test number is required to be included in the NANPA Planning Letter, therefore the code may be assigned well in advance of the LERG effective date.

- 4.9.2 Under normal conditions, the assignment of only one test number for an NPA relief project is required. However, circumstances may require two or three test numbers as well as possibly more than one service provider. This may be decided by the industry at the implementation meeting.
- 4.9.3 Assignment may be made without the applicant meeting the requirements of code assignment as outlined in Section 4 for additional codes (Section 4.3-4.3.3). The MTE and the Utilization requirements, as well as NRUF forecast, are waived.

The applicant must provide a paper Part 1 request with the expected effective date and a paper Part 1 return with the expected disconnect date at the same time.

There will be no Part 4 requirement and there will be no reclamation requirement. There will be no requirement to report this kind of test code on the NRUF.

## **5.0 CO Code (NXX) Assignment Functions**

The CO Code Administrator(s) shall:

- 5.1 Produce and make available upon request information regarding NANPA CO Code Administration processes, guidelines, interfaces and services. Provide upon request of the code applicant information on how to obtain documents related to CO Code Administration by either referring them to web sites where it will be possible to download electronic copies or provide paper copies if the requester cannot obtain the document via the Internet.
- 5.2 Receive and process applications (CO Code (NXX) Assignment Request Form Part 1) for CO codes (NXX) within the geographic NPA(s) for which the CO Code Administrator is responsible.

For rate centers transitioning to pooling:

- The CO Code Administrator will only process NXX requests received at least 33 calendar days prior to the Pool Start Date.

- Within the 33 calendar days prior to Pool Start Date, applications for codes/blocks will not be accepted. However within this 33-day interval, the NANPA will continue to process code applications for:
  - CO codes awarded via lottery;
  - LRN requests;
  - full CO code request for a single customer;
  - CO code expedite requests;
  - petition/safety valve requests;
  - any requests from non-pooling capable carriers; and
  - PA requests to the NANPA.

After Pool Start Date, all pooling-capable carriers will apply to the PA for numbering resources.

- 5.2.1 Receive NXX Code application from SPs and validate the entire application to determine if the request is in compliance with code assignment policies and guidelines. If one or more errors are identified, the Code Administrator will notify the applicant with a list of all errors on the application. Upon notification, the application is suspended and the applicant has up to two business days to respond with the corrections back to the Code Administrator. If the application is returned within the two business days with all errors corrected, the Code Administrator will lift the suspension and proceed with the assignment process. If the errors identified by the Code Administrator are not corrected by the applicant within two business days, the Code Administrator will issue a Part 3 denial. The NANPA is required to withhold numbering resources from any U.S. carrier that fails to comply with the reporting and numbering resource application requirements.<sup>39</sup>
- 5.2.2 Respond within 10 business days from the date of receipt of an application form by completing the response portion that is part of these guidelines (See Appendix D, II). For an NXX assigned to a pool, the CO Code Administrator shall also set the "Pool Indicator" on the CO Code ACD screen in BIRRDs to designate that the NXX is assigned to a pool. For those NXXs which the "Pool Indicator" has been set, the CO Code Administrator shall provide a Central Office Code (NXX) Assignment Request - Part 3 (Administrator's Response/Confirmation) directly to both the PA and the LERG Routing Guide Assignee whose OCN appears on the request form.

The NANPA must notify the carrier in writing of its decision to withhold numbering resources within ten (10) business days of receiving a request for numbering

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<sup>39</sup> FCC 00-104, § 52.15 (g) (3) (B) (iv).

resources.<sup>40</sup> If the Code Administrator suspended the application within two business days of the end of the ten-day interval, the ten-day period may be extended up to two business days. Although the NANPA is required to withhold numbering resources from any U.S. carrier that fails to comply with reporting and number resource application requirements, state commissions have been delegated authority to affirm or overturn a NANPA decision to withhold initial numbering resources.<sup>41</sup>

5.2.3 Review the documentation, verify the carrier's need, and determine if the code request is in compliance with these code assignment policies and guidelines. The NANPA must ensure that SPs satisfy the MTE requirement and the utilization threshold before obtaining additional numbering resources.<sup>42</sup> In cases where a code application is denied or suspended, NANPA will:

- a) provide specific reasons for the denial to the applicant in writing and information regarding where and how to appeal the administrator's decision, or
- b) provide an explanation for the suspension (other than minor errors as noted above) and whether the applicant needs to give further information/documentation.

5.2.4 Select an unassigned code for assignment provided the code is not currently being aged due to an NPA split.

5.2.5 Monitor CO code usage in order to determine the need for relief or declaration of jeopardy, and notify NPA Relief Coordinators as appropriate. The NPA Relief Coordinators will then perform the notification functions in relief and jeopardy situations (See Section 9).

5.2.6 Maintain records on codes assigned plus those available.

5.2.7 Perform applicable CO Code utilization surveys as detailed in Section 6.4.1.

5.2.8 Verify that the code applicant has submitted a current NRUF Report.

5.2.9 Ensure, concurrent with assignment of an NXX to a code applicant, the NPA, NXX, and OCN of the code applicant are input to BIRRDs to indicate that a specific NXX has been assigned to an applicant. Completion of this step will allow the input of Part 2 data entries into BIRRDs that may or may not be performed by the CO Code Administrator

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<sup>40</sup> FCC 01-362, § 52.15 (g)(4).

<sup>41</sup> FCC 00-104, ¶ 98.

<sup>42</sup> FCC 01-362, ¶ 50, 56.

(See Code Activation and In Service Timeline in Appendix D, II). Initiate code reclamation if assigned code is not activated and in service within sixty days of expiration of the service provider's applicable activation deadline.<sup>43</sup> The NANPA shall abide by the state commission's determination to reclaim numbering resources if the state commission is satisfied that the service provider has not activated and commenced assignment to end users of their numbering resources within six months of receipt.<sup>44</sup>

- 5.2.10 Respond to the code applicant or the PA in writing via the appropriate "Administrator's Response--Receipt of the Part 4" form within ten (10) business days of receiving the Part 4 or the Part 4-PA. The response may include, but not be limited to, the following:
- Part 4 Form Received and Approved
  - Invalid Part 4 Form Received
  - Delinquent Part 4 form Received
- 5.3 The CO Code (NXX) Assignment Guidelines Part 2 forms are used to provide information supporting a CO Code assignment (and changes to information for CO Codes previously assigned) for input into the BIRRDS. A Code Holder may elect to enter its own BIRRDS information into BIRRDS, or elect to have the Administrative Operating Company Number (AOCN) function performed by a third party. If requested to do so, NANPA is required to perform the AOCN function. This is done as a contracted "Required Enterprise Service" for which fees are charged. If the applicant has completed Section 1.8 of the Part 1 forms and has designated NANPA as its AOCN, the Part 2 data will be input by NANPA. If a code applicant does not designate NANPA as its AOCN on the Part 1 form, NANPA is not responsible for the input of the BIRRDS assignment data. Additional information can be found at the Telcordia™ Routing Administration (TRA) web site ([www.trainfo.com](http://www.trainfo.com)) or by calling the TRA Customer Service Center (732-699-6700) including information on other third party providers of the AOCN function. Code applicants are entirely responsible for ensuring this data will be input within the industry standard timeline.
- 5.4 The following functions have an impact on the accurate routing of calls and are especially applicable to both newly assigned numbers and to the reassignment of existing CO codes.

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<sup>43</sup> FCC 00-104, § 52.15 (i) 6.

<sup>44</sup> FCC 00-104, § 52.15 (i) 5.



- 5.4.1 Analyze and help resolve problems related to misrouted calls and calls that cannot be completed. Such trouble investigations should be initiated in the NPA in which the incomplete call originated.
- 5.4.2 Track switch cutovers and code reassignments, and perform other operational functions; e.g., code reclamation.
- 5.4.3 Ensure that the code applicant places the code in service within the time frame specified in Sections 6.3.3 and 4.4 of these guidelines. If the assigned code is not used within this time frame, the CO Code Administrator(s) shall request the return of the code for reassignment.
- 5.5 It is recognized that the overall code administration process, e.g., planning for number relief, is related to and will require exchange of information with the CO code (NXX) assignment process. The additional functions associated with code administration, related to CO codes (NXX) are described in Sections 8 and 11.

The CO Code Administrator may, on occasion, be requested by regulators or through INC recommendations or guidelines to set aside specific CO codes as unassignable. If an applicant requests one of the set-aside codes, the CO Code Administrator will advise the applicant of the reasons the code has been set aside. Should the applicant be unwilling to accept any other available CO code, the CO Code Administrator shall respond with a CO Code Administrator's Response/Confirmation marked "Assignment activity suspended by the administrator." The "Explanation" section will state that the code has been set aside and will identify the body that directed the CO Code Administrator to do so. The applicant may then appeal to that body, and ask that it advise the CO Code Administrator on whether or not to assign the requested set-aside code.

## **6.0 Responsibilities of Code Applicants and Holders**

Code Applicants and Code Holders shall comply with the following. Code applicants and code holders are responsible for obtaining a current copy of the Central Office Code (NXX) Assignment Guidelines. These are available either electronically from the NANPA web site ([www.nanpa.com](http://www.nanpa.com)) or on paper from the CO Code Administrator if the requester cannot obtain the document via the Internet.

Code applicants who choose to submit their resource applications via facsimile or mailed copies will be charged a fee. See the NANPA web site at [www.nanpa.com](http://www.nanpa.com) for

specific details regarding the associated fee structure. This includes the Part 1, associated MTE (Appendix B) and Part 4 forms. Note that fees will be waived in the case of LERG Assignees submitting paper Part 1 and Part 4 forms directly to the PA.

## 6.1 The Application Process

- 6.1.1 Code applicants, including the PA, for initial and/or additional CO code (NXX) assignments shall submit their requests to the appropriate CO Code Administrator(s) using the Central Office Code (NXX) Assignment Request and Confirmation Form (Code Request Form). One application form is required per NXX code requested. SPs requesting codes in a rate center that is transitioning to pooling should note the criteria in Section 5.0. The code applicant will complete all required entries on the Code Request Form to the best of his/her knowledge.

The NANP Administration System (NAS) will verify the password and access level of the applicant. All electronic submissions from an authorized user will be considered an electronic signature and will be verified for authenticity utilizing criteria maintained in the NAS database.

Incomplete/inaccurate code request forms will delay the start of the code assignment process. An Operating Company Number (OCN), which uniquely identifies the applicant, must be provided. The OCN cannot be shared with another service provider. In addition, the applicant's parent company OCN must be provided, if applicable.<sup>45</sup> The applicant can get OCN information by calling NECA. (See the Forms Part 1, Section 1.2). The information provided on Part 1 of the CO Code Assignment Request Form shall be the official information. Any changes to this information shall be submitted to the CO Code Administrator as described in Section 6.3.1.

- 6.1.2 Requests for code assignments cannot be made more than 6 months prior to the requested effective date. Applicants must request an effective date at least 66 calendar days after the request is sent to NANPA. This 66-calendar day interval is derived by adding the 21 days allotted to code request processing and AOCN input to the industry standard of 45 days for code activation. The code activation interval begins on the date the NXX code request is input into BIRRDs. If the AOCN does not enter the information in sufficient time to allow a 45-day activation interval prior to the effective date, the effective date will be automatically changed in the appropriate TRA databases to ensure a minimum 45-day activation interval.

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<sup>45</sup> FCC 01-362, § 52.15 (g)(4).

6.1.2.1 Requests to open, modify, or disconnect a code in fewer than 66 calendar days increases the potential for call blocking and/or billing errors and should be avoided except in emergency cases. If an SP must seek an expedite, the burden of implementation is borne by that SP and does not obligate any other SP to activate the code in fewer than 45 days.

a) The expedited 21-day Interval activities:

- In addition to submitting the Part 1 form to NANPA, the SP obtains agreement from its AOCN to input the Part 2 data within a specific negotiated time period. This can reduce the AOCN period down from 7 days. The SP must provide written confirmation to NANPA of the reduction of the 7 days. In the case where a Code Applicant/Holder acts as its own AOCN, the Code Applicant/Holder should indicate so on the Part 1. Doing so will reduce the AOCN period down from 7 days.
- Then, the SP submits the Part 1 form to NANPA with the attached confirmation from the AOCN if applicable, and NANPA will do everything possible to reduce its 14-day interval.

b) The expedited 45-day Interval activities:

- The SP must follow the Network Interconnection and Interoperability Forum (NIIF) procedures to expedite the 45-day code activation process.<sup>46</sup>
- On an exception basis, an activation interval of less than 45 calendar days may be requested on the Part 1. Under no circumstances will an activation interval of less than 30 calendar days be approved by the homing tandem operating company or the NANPA.
- To open a new code, the Part 1 must be accompanied by documentation from the homing tandem operating company that the shorter interval can be met.
- To modify or disconnect an existing code, NANPA may have a direct role such as entering changes to data on the ACD screen. If NANPA has a direct role, NANPA has the discretion to grant an expedite without concurrence from the homing tandem operating company. Under no circumstances will a modification or disconnect interval of less than 30 days be approved by the NANPA.

6.1.3 When requesting growth codes applicants shall meet the requirements as described in Section 4 and conform to the conditions contained therein. Applicants must provide (1) a CO Code Assignment Months to Exhaust Certification Worksheet – TN Level (see Appendix B) that provides utilization by rate center for the preceding six months and projected monthly utilization for the next twelve (12) months; and (2) the applicant's

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<sup>46</sup> For more information, refer to the latest issue of NIIF-008 "Recommended Notification Procedures to Industry for Changes in Access Network Architecture."

current numbering utilization level for the rate center in which it is seeking growth numbering resources.<sup>47</sup>

- 6.1.4 For initial codes in a rate center, the code applicant shall provide documented proof<sup>48</sup> that (1) the code applicant is authorized to provide service in the area for which the numbering resources are requested and (2) the applicant is or will be capable of providing service within 60 days of the number resource activation date.<sup>49</sup>

## 6.2 Information Required for Code Activation

For electro-mechanical switches, perform technical analysis as necessary to determine the appropriate CO code (NXX) to request.

- 6.2.1 Before a CO code (NXX) can become active, all code holders are responsible for providing the information shown in Part 2 of the CO Code (NXX) Assignment Request Form that includes routing and rating information for entry into BIRRDS. Applicants should be aware that a Revenue Accounting Office (RAO) code will be necessary on Part 2, and are encouraged to obtain that information in a timely manner to prevent delays in activation (see TRA Part 2 Job Aid, Section 2.2, Item 9). In addition, any changes to the requested effective date and/or Operating Company Number (OCN) need to be provided to the CO Code Administrator as soon as the changes occur. (Note: The LERG Routing Guide contains local routing information obtained from BIRRDS and reflects the current network configuration and scheduled changes within the PSTN). This can be transmitted directly to TRA or via an authorized third party acting on behalf of the code holder.
- 6.2.2 Each switching center, each rate center and each POI may have unique V&H coordinates.
- 6.2.3 A code applicant or holder who has issued or is planning to issue credit or calling cards will be responsible for entering CO code (NXX) information into the appropriate LIDB Access Support System (LASS).

## 6.3 Ongoing Administration

### 6.3.1 Information Changes

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<sup>47</sup> FCC 00-104, § 52.15 (g) (3) (I).

<sup>48</sup> See sections 4.1 and 4.2 for more information on providing "documented proof" for initial codes.

<sup>49</sup> FCC 00-104, § 52.15 (g) (2).

The information associated with a code assignment may change over time. Such changes may occur, for example, because of the transfer of a code to a different company. The CO Code Administrator must be notified of any changes to the information in Part 1 of the CO Code (NXX) Assignment Request Form. This includes changes such as, but not limited to, the tandem homing arrangement, OCN, switching entity/POI and rate center (including a rate center consolidation). For OCN changes due to merger/acquisition, the SP must so state on the Part 1 form.

SPs that change the rate center for a previously assigned NXX that has not been activated shall be required to first demonstrate the need for the NXX in the new rate center. For this change, SPs must first supply a new CO Code Assignment Months to Exhaust Certification Worksheet - TN Level to the CO Code Administrator prior to making any changes to BIRRDS for the affected NXX code. Accordingly, the CO Code Administrator(s) must be informed of these changes to ensure that an accurate record of the code holder/ LERG Routing Guide assignee responsible for the code and the data associated with the code is maintained so as not to jeopardize data integrity. The CO Code Administrator shall verify the retention of the NXX codes using the Months to Exhaust Certification Worksheet - TN Level prior to changes being made to the rate center in the TRA databases.

When changes are submitted the *Switching Identification (Switching Entity/POI)* field, Section 1.2 of the Part 1 Assignment Request Form, and if the information on the Part 1 is exactly the same for all NXXs involved, it is acceptable to submit one Part 1 Form with an attached listing of the NXXs affected.

SPs participating in number pooling must submit changes or disconnects for pooled NXXs to the PA. Changes or disconnects for non-pooled NXXs in a pooling rate area should be sent to NANPA, unless the PA received the original request for the non-pooled NXX. SPs' requests for changes to the rate center on NXX codes assigned for pooling will be denied if any block assignments within the NXX have been made to a service provider other than the LERG Assignee.

SPs that wish to move CO codes from one rate center to another must certify to the NANPA that there are no ported numbers within these codes. This certification shall be shown on the Part 1 Form.

#### 6.3.2 Responsibilities of the Code Holder

The holder of a CO code (NXX) assigned by the CO Code Administrator or acquired by other means such as transfer (i.e., by merger or acquisition) must use the code consistent with these guidelines. Most importantly, the new code holder must be prepared to participate in an audit in order to effectively assess code utilization. Any revisions to the CO Code (NXX) Assignment Request Form Part 1 must be submitted to the CO Code Administrator as soon as the code holder is aware of these changes. This information is necessary regardless of who has AOCN responsibilities.

An OCN cannot be shared with another SP. It is the responsibility of each code holder to update and maintain its code records in BIRRDS with accurate OCN information. This responsibility includes correcting embedded CMRS records that are reflected in BIRRDS with an ILEC OCN.<sup>50</sup>

If the Code Holder no longer provides service in the rate area associated with the NXX code, the SP must notify the CO Code Administrator. SPs should not change routing information in appropriate databases until NANPA has processed the application and responded with a Part 3. Where there are LNP ports associated with the NXX code being returned, the initial Code Holder shall work cooperatively with the CO Code Administrator and the newly selected Code Holder to transition the default routing functions associated with the NXX code (See Appendix C).

### 6.3.3 Code Use

Code assignments are made subject to the conditions listed in Section 4. A code assigned either directly by the Code Administrator or through transfer from another Code Holder should be placed in service by the applicable activation deadline, that is, six months after the original effective date returned on the Part 3 and entered on the ACD screen in BIRRDS. Confirmation that codes have been placed "in service," (see glossary) is mandatory (see Central Office Code (NXX) Assignment Request and Confirmation Form - Part 4 and Part 4-PA). If the assignee no longer has need for the code, the code should be returned to the CO Code Administrator(s) for reassignment.

State commissions may investigate and determine whether service providers have activated their numbering resources and may request proof from all service providers that numbering resources have been activated and assignment of telephone numbers has commenced.<sup>51</sup>

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<sup>50</sup> Prior to CMRS SPs acquiring their own Company Codes/OCNs, the ILEC permitted the CMRS SPs to use the LEC's OCN in BIRRDS. CMRS SPs now are required to obtain their own Company Codes/OCNs.

<sup>51</sup> FCC 00-104, § 52.15 (i) 2.

#### 6.3.4 Rate Center Consolidation Notification

In the absence of state commission actions, SPs who file tariffs for a rate center consolidation must notify NANPA and the PA at the time of the filing.

#### 6.4 NPA Planning Information

##### 6.4.1 Forecast and Utilization Reporting Requirements

Forecast and utilization reports from service providers (i.e. Reporting Carriers) shall be completed and submitted to the CO Code Administrator and, where applicable, the Pooling Administrator semi-annually on or before August 1 for the preceding reporting period ending on June 30 and on or before February 1 for the preceding reporting period ending December 31.<sup>52</sup>

The CO Code Administrator will issue a request for forecast and utilization data (i.e. NRUF Report) at least two months prior to the due date (See NRUF Reporting Guidelines). NRUF Report data will be used for projecting NPA exhaust and for planning NPA code relief. NRUF Report data shall be treated on a confidential and proprietary basis. If a service provider identifies a significant change in their forecast or utilization between NRUF reporting cycles, they should provide an updated NRUF Report.

6.4.2 Code holders shall submit the NRUF Report data per instructions in the NRUF Reporting Guidelines.

6.4.3 It is an FCC requirement that Central Office (CO) code holders, pooling carriers, resellers and type 1 wireless carriers (i.e. Reporting Carriers) report accurate and timely forecasting and utilization data via the NRUF Report. The NANPA shall withhold numbering resources from any U.S. carrier that fails to comply with the reporting and numbering resource application requirements established in FCC rules.<sup>53</sup>

The code/block holders to whom the numbering resources are assigned shall be responsible to report the name and contact information to the NANPA of any other telecommunications carriers that have made numbers available for use and have reported them to NANPA as Intermediate numbers. These other telecommunication

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<sup>52</sup> FCC 00-104, § 52.15 (f) (6) (i).

<sup>53</sup> FCC 01-362, § 52.15 (g)(4).

carriers, e.g. reseller/type 1 wireless carriers, shall be responsible to provide NRUF Report data to the NANPA.

- 6.5 All code holders and the PA agree to abide by the code reclamation guidelines outlined in Section 8.

## **7.0 Criteria for the Transfer of Central Office Codes**

### **7.1 Request to Transfer from Single End-User Customer**

The assignment criteria in the following section shall be used by CO Code Administrator(s) in reviewing a central office code request from a service provider to transfer an NXX code from the current code holder to the service provider making the transfer request. These criteria apply only where the full NXX code was assigned and reserved to a single end-user customer.

All time intervals applicable to the assignment of a new code apply in the case of a transfer. These intervals do not address the time intervals needed to perform the network and other rearrangements associated with the transfer.

The following criteria will be used by the CO Code Administrator in reviewing a central office code transfer request:

1. The applicant (service provider receiving the NXX to be transferred) must submit a complete CO code request form. The applicant must indicate on the Part 1 that the transfer request is from a single end-user customer. In addition to the code request form, the applicant requesting the code transfer must also provide written confirmation that the subscriber has requested to switch service providers to them from the current code holder. The current code holder shall also separately confirm in writing to the NANPA that the transfer of the code has been requested by the subscriber. The subscriber's confirmation, at a minimum, must be on the subscriber's letterhead and signed by a party within the subscriber's organization with the authority to make such a request (e.g., officer of the company).

The NANPA should ensure that the transfer was mutually acceptable by contacting the current code holder to confirm the transfer. NANPA will request a response in 10 business days. If the current code holder fails to respond and confirm the customer's transfer request within 10 business days of NANPA's request, the request will be suspended, which may require a change to the effective date of the



transfer. NANPA then shall contact the current code holder and them 5 more business days to confirm the code transfer request.

If the current code holder does not or refuses to respond within 5 business days and the NANPA has written proof from the applicant that the subscriber has requested the change, the NANPA shall remove the suspension and proceed with the code transfer.

If the current code holder responds within the same 5 business days and produces written proof that the subscriber has not requested the transfer, or provides evidence that some numbers within the NXX code are not assigned to the subscriber, then the transfer request shall be denied.

2. If the transfer request is granted, NANPA will modify the ACD screen in BIRRDs for the code to be transferred to reflect the OCN of the service provider to whom the code will be transferred.
3. NANPA will notify the service provider receiving the code when the ACD screen has been successfully modified. It is the responsibility of the service provider receiving the code to arrange for the entry of any changes to BIRRDs data associated with a switching entity/POI.

## 7.2 Transfer of CO Code Not Assigned to a Single End-User Customer

The assignment criteria in the following section shall be used by CO Code Administrator(s) in reviewing a central office code request from a service provider to transfer an NXX code from the current code holder to the service provider making the transfer request, where the full NXX code is not assigned and reserved to a single end-user customer. Should a regulatory authority ask SPs to voluntarily transfer a code for purposes of enabling an LRN, consideration must be given to the technical issues involved (e.g., contamination levels, dependencies on ancillary services, etc.).<sup>54</sup> In addition, the code cannot be transferred from one rate center to another rate center.

When transferring an NXX code with ported TNs, the new code holder and the old code holder should work together to discuss whether it is more appropriate to transfer the code in the NPAC using the LNP NANC 323 SPID Migration Process (the Secure Site at [www.npac.com](http://www.npac.com)) or the LNP CO Code Reallocation Process ([www.nationalpooling.com/guidelines/index.htm](http://www.nationalpooling.com/guidelines/index.htm)).

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<sup>54</sup> Regulators may ask an SP to voluntarily transfer NXX code assignment to another SP in order to extend the life of an NPA Code.

The following criteria will be used by the CO Code Administrator in reviewing a central office code transfer request:

- The applicant (service provider receiving the NXX to be transferred) must submit a complete CO code request form. The applicant must attach written confirmation from the current code holder giving their authorization for the transfer and indicating that a Part 4 has been submitted.
- NANPA will notify the service provider receiving the code when the ACD screen has been successfully modified. It is the responsibility of the service provider receiving the code to arrange for the entry of any changes to BIRADS data associated with a switching entity/POI.

## 8.0 Reclamation

Reclamation refers to the process by which service providers are required to return numbering resources to the NANPA.<sup>55</sup> State commissions have the authority to investigate and determine whether code holders have "activated" NXXs assigned to them within the applicable time frames.<sup>56</sup> A state commission may request proof from all code holders that NXX codes have been activated and assignment of the numbers has commenced. NANPA will abide by the state commission's determination. If a state commission declines to exercise the authority delegated to it, the entity designated by the FCC to serve as the NANPA shall exercise this authority with respect to NXX code reclamation. The NANPA shall consult with the Common Carrier Bureau prior to exercising the authority delegated to it in this provision and shall provide service providers an opportunity to explain the circumstances causing the delay in activating and commencing assignment of their numbering resources prior to initiating reclamation. This does not imply that the NANPA has the independent authority to grant code extensions.

### 8.1 Service Provider Responsibilities

A Service Provider shall return the code, if:

- it is no longer needed for the purpose for which it was requested and assigned,

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<sup>55</sup> FCC 00-104, § 52.15 (i) 1.

<sup>56</sup> FCC 00-104, ¶ 237.

- the service it was assigned for is disconnected, or
- the CO Code(s) was not placed in service within six months from the original effective date returned on the Part 3 and entered on the ACD screen in BIRRDS.

If the CO Code was assigned after the Pool Start Date, SPs participating in number pooling must return Part 4s to the PA.

The assignee must apply to the appropriate state commission point of contact for an extension date. The assignee must apply to the appropriate FCC point of contact if the appropriate state commission has declined to exercise its delegated reclamation authority.<sup>57</sup> If an extension is approved, the regulator will notify the assignee and the Code Administrator of the new in service deadline and to whom the Part 4 should be sent. A list of appropriate state commission contacts and the FCC point of contact for those state commissions who decline to exercise their authority can be located at <http://www.nanpa.com>.

## 8.2 Administrator Responsibilities

For any Codes identified as not having been returned to the appropriate administrator for reassignment, the CO Code Administrator will contact any Non Pooling and Pooling Carriers who were assigned a CO Code prior to the Pool Start Date or the Pooling Administrator for any NXXs assigned after the Pool Start Date.

Codes may be returned for the following reasons:

- Assigned, but no longer in use by the assignee(s),
- Assigned to a service no longer offered,
- Assigned, but not placed in service within six months from the original effective date returned on the Part 3 and entered on the ACD screen in BIRRDS,
- Assigned, but not used in conformance with these assignment guidelines.

The CO Code Administrator shall contact the PA for inquiries about return of NXXs that are in a thousands-block number pool.

- 8.2.2 If a Part 4 has not been received by the Administrator during the first five months following the original effective date returned on the Part 3 and entered on the ACD screen in BIRRDS, then the Administrator will send, via facsimile/electronic mail, a reminder notice to the code assignee. The notice will be sent no later than one month

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<sup>57</sup> FCC 00-104, ¶ 237.

prior to the end of the 6<sup>th</sup> month, and will direct the assignee to do one of the following by the end of the sixth month after the original effective date returned on the Part 3 and entered on the ACD screen in BIRADS:

- If the code is in a non-pooling NPA, submit a Part 4 to NANPA
- If the code is in a pooling NPA, and the code was assigned prior to the implementation of pooling in the NPA, submit the Part 4 to NANPA
- If the code is in a pooling NPA, and the code was assigned to a pooling carrier after pooling was implemented in the NPA, submit the Part 4 to the PA.
- If the code is no longer needed or not in service, return the code by submitting a Part 1.

During the first ten calendar days of each calendar month, the Administrator will prepare and forward a spreadsheet of all existing and newly identified delinquent codes to the appropriate state commission. Spreadsheets for those states that have declined to exercise their reclamation authority will be forwarded to the FCC.

The Administrator must await further direction from the FCC or appropriate state commission for further action. If the FCC or appropriate state commission directs the Administrator to reclaim the code, the Administrator will send a letter to the code holder advising them of the effective date of the disconnect of the code.

If a Part 4 or Part 4-PA is returned to the Administrator for a code appearing on the delinquent list and an extension has not been granted, the Part 4 will be returned to the SP and the Part 4-PA to the Pooling Administrator marked as "refused" or "denied" with a reminder for the code holder to return the Part 4 to the appropriate state commission or to the FCC.

- 8.2.3 If there are active or pending LNP ports for any TNs within the NXX code which is being returned/reclaimed, the CO Code Administrator shall use the process outlined in Appendix C.

## **9.0 Central Office Code Conservation and Jeopardy Procedures**

Assignment of NANP numbering resources is undertaken with the following objectives: to efficiently and effectively administer/manage a limited NANP resource through code conservation, to delay NPA exhaust and the need for NPA relief (e.g., splits/overlays) for as long as possible, and to delay the eventual exhaust of the NANP. NANPA meets these objectives in the following ways.

- 9.1 Semi-annual NRUF Report analysis is mandatory and is conducted utilizing projected demand forecasts, provided by code holders to the NANPA (see Section 6.4), to identify NPAs nearing exhaust. The schedule for projected exhaust will be forwarded by NANPA to the appropriate CO Code Administrator(s) and published in summary format for industry use.<sup>58</sup>
- 9.2 Ongoing code administration practices that foster conservation include the following:
- 9.2.1 The use of protected codes (NXXs), which permits 7-digit dialing across NPA boundaries, should be eliminated as part of the NPA code relief planning process unless the state commission directs otherwise at the time of the proposed relief. Elimination of protected codes should be accomplished prior to a request for a relief NPA code.<sup>59</sup>
- 9.2.2 Examination of the continued use of codes from the HNPA to serve customers in an adjacent NPA should be undertaken when the HNPA is nearing exhaust. Continued use should be eliminated where practical.
- 9.3 Declaration of Jeopardy
- 9.3.1 An NPA jeopardy condition exists when the forecasted and/or actual demand for NXX resources will exceed the known supply during the planning/implementation interval for relief.
- 9.3.2 NANPA will notify the appropriate regulatory authority(ies) and the industry that the NPA is in jeopardy. Upon jeopardy declaration, code allocations will initially be set at three per month. Such notification causes the immediate invocation of jeopardy procedures as documented in Sections 9.4-9.6<sup>60</sup>
- 9.3.3 Should the supply and/or forecasted demand of codes no longer justify jeopardy, NANPA will rescind jeopardy. NANPA will notify the appropriate regulatory authorities and the industry that any jeopardy procedures, including code rationing, no longer

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<sup>58</sup> NANPA will be responsible for disseminating NRUF Report results to the affected parties.

<sup>59</sup> Policy established per letter dated 10/29/97 from the NANC Chairman to the INC Moderator.

<sup>60</sup> State jurisdiction in fashioning jeopardy procedures must have met the conditions of the FCC Order 98-224, adopted September 11, 1998, "The Pennsylvania Order," i.e., absence of industry consensus and a relief plan decision.

apply. In this notification, NANPA will provide the number of codes available in the NPA and a new projected NPA exhaust date.

#### 9.4 Jeopardy Meeting

9.4.1 No later than 30 days after jeopardy has been declared, NANPA must notify and convene the industry to develop local industry jeopardy procedure options. At this meeting, NANPA will facilitate discussion of jeopardy code allocations and pursue consensus in a timely manner. NANPA will produce and distribute the meeting record within 15 business days. Local industry options are the determination of:

- Number of codes allocated per month, including those to meet PA's forecasted needs
- Allocation method (e.g. lottery)
- Disposition of Unfilled Request:
  - Code requests that do not receive a code allocation in that current month allocation will be denied and the SP/PA<sup>61</sup> must submit a new application request for future month's allocation.
  - Code requests that do not receive a code allocation in that current month allocation will be held over to the next month's allocation and the SP/PA does not need to submit a new application. NANPA will advance the choice level (see section 9.5.2) of these requests in the next lottery to the next highest choice, unless notified to the contrary by the SP/PA.
- Use of priority numbers as indicated below:
  - Priority numbers are assigned but an SP/PA<sup>62</sup> must resubmit every month to maintain priority status. Failure to resubmit can result in the loss of the priority number. In this scenario, SPs/PA are not added to the priority list until everyone on the current priority list receives a code; OR
  - Priority numbers are assigned. The SP/PA does not need to resubmit. First choice requests not receiving a code will be added to the priority list and a code will be assigned at a future date.

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<sup>61</sup> In pool areas, the SP is responsible for resubmitting the new application to the PA.

<sup>62</sup> In pooling areas, the SP is responsible for resubmitting the application to the PA every month to maintain the priority status.

SPs/PA<sup>63</sup> are required to submit a current MTE at the time their priority number is assigned an NXX.

9.4.2 If industry consensus cannot be reached on jeopardy code allocations, and a relief plan has not been approved by the appropriate regulators, NANPA will establish a base allocation of three codes and follow the jeopardy procedures in these guidelines until relief can be implemented. If, however, industry consensus cannot be reached, yet a relief plan has been approved by regulators, NANPA will seek regulatory resolution of jeopardy allocations as soon as possible.

9.4.3 When jeopardy code allocations are determined for that NPA, NANPA will issue a Planning Letter (PL) which will include the NPA relief date if known. The NANPA web site will also be updated with the approved jeopardy procedures.

#### 9.5 Overview of Jeopardy Procedures

These procedures should remain in effect only until NPA relief has been implemented.

9.5.1 A base allocation of 'X' CO Codes will be assigned per month. The value of 'X' will be determined at the jeopardy meeting. Any part of the base allocation not assigned in a month will be available for assignment the following month. Until the local industry determines otherwise, the base allocation will be three codes per month.

9.5.2 Applicants may each submit requests up to the maximum of the codes allocated per month. Requests are to be specified as the 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>, et cetera choice per OCN. This maximum applies even if the applicant is requesting resources in pooled and non-pooled rate centers in an NPA and accounts for requests that are currently suspended and held over to the next lottery. Additional requests submitted above the monthly allocation will automatically be denied.

9.5.3 Applications will be submitted to the CO Code Administrator upon dates determined by the CO Code Administrator or at the industry jeopardy meeting. However, in a pooling area, due date for applications may need to be established: one date for code requests to be submitted to the PA, and a second date for the PA to submit code requests to the Code Administrator.

9.5.4 Codes will be allocated as follows under the following situations:

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<sup>63</sup> In pooling areas, the SP is responsible for submitting a current MTE to the PA at the time the priority number is assigned an NXX.

9.5.4.1 If eligible requests received by the Code Administrator prior to the submission deadline are less than or equal to the number of codes available for assignment that month, then each request receives one NXX.

9.5.4.2 If eligible 1<sup>st</sup> choice requests received by the Code Administrator prior to the submission deadline are equal to the number of codes available for assignment that month, then each 1<sup>st</sup> choice request receives one NXX code. All remaining requests will be handled per the local industry decision(s) specified in section 9.4.1.

9.5.4.3 If eligible 1<sup>st</sup> choice requests received by the Code Administrator prior to the submission deadline are less than the number of codes available for assignment that month, then each 1<sup>st</sup> choice request will be granted. Remaining codes will be assigned via a lottery based on the next highest choice level if the number of requests is greater than the number of remaining codes. All remaining requests will be handled per the local industry decision(s) specified in section 9.4.1.

If eligible 1<sup>st</sup> choice requests received by the Code Administrator prior to the submission deadline are greater than the number of codes available for assignment that month, then a lottery will be used to determine which 1<sup>st</sup> choice requests receive a code assignment. All remaining requests will be handled per the local industry decision(s) specified in section 9.4.1.

## 9.6 Applying for Numbering Resources during Jeopardy

9.6.1.1 Code applicants, whether pool participants or the PA, must meet all assignment criteria set forth in Section 4.

9.6.1.2 SPs not participating in pooling shall submit applications to the Code Administrator.

9.6.1.3 The PA will forward any CO Code applications for SPs participating in pooling that have numbering needs that cannot be met by the existing pooled resources.

9.6.1.4 If the MTE worksheet is missing, incomplete or does not meet the established criteria, the code request will be denied.

9.6.1.5 For codes reserved per Section 4.5: jeopardy cancels all code reservations. Code Administration will send a Part 3 response noting "code request denied per Section 9.6.1.5".



- 9.6.2 If a substantial number of codes are returned to NANPA, NANPA sends a notice to the industry indicating the number of CO codes returned and the impact to the NPA exhaust date. NANPA will schedule a conference call for the local industry to discuss possible changes such as the monthly allocation, replenishment of the pool, or a new exhaust date.

## **10.0 Maintenance of These Guidelines**

These guidelines are periodically updated to reflect changes in industry practices or national regulatory directives. Questions regarding these guidelines may be directed to:

NANPA Director  
46000 Center Oak Plaza, Building 10  
Sterling, VA 20166  
Tel: 571-434-5770  
Fax: 571-434-5502  
email: [john.manning@neustar.biz](mailto:john.manning@neustar.biz)  
<http://www.nanpa.com>

Requests for changes to these guidelines should be directed to the appropriate industry forum, currently the INC.

## **11.0 Responsibilities for Code Relief Planning**

This section identifies required code relief planning functions that are related to the CO code (NXX) assignment functions as specified in these guidelines. These functions are identified because they are currently performed in conjunction with code assignment. An objective of this function is to promote effective and efficient code utilization and thereby helps ensure the adequate supply of CO codes (NXX).

The CO Code Administrator(s), with the assistance of the PA where thousands-block number pooling has been implemented, shall be required to participate in the code relief planning process when and if necessary. The output of the planning process shall be made available to code holders, applicants and the industry by whatever means is appropriate.

Relief planning functions included in this section are as follows:

- 11.1 Tracks CO code (NXX) assignments within NPAs to ensure effective and efficient utilization of numbering resources.
- 11.2 Works with the CO Code Administrator(s) with input from the PA to prepare the semi-annual North American Numbering Plan Numbering Resource Utilization/Forecast (NRUF) Report input as described in these guidelines and the Thousands-Block Number (NXX-X) Pooling Administration Guidelines and forwards the information to the NANPA. This function includes the following activities:<sup>64</sup>
  - 11.2.1 Issues requests for, collects and compiles available information related to CO code (NXX) utilization and relief planning forecasts. Requests for semi-annual reported data should be made available, upon request, to local state regulatory authorities subject to appropriate confidentiality protections. Requests for carrier specific data shall be made available, upon request, to the PA who must protect proprietary and competitively sensitive information from public disclosure.<sup>65</sup>
  - 11.2.2 Investigates and resolves, wherever possible, any discrepancies in the information provided. The PA may assist when necessary.
  - 11.2.3 Any information released to the public would be released only on an aggregated or summary basis (See Section 9.1).
  - 11.2.4 State commissions shall have access to the disaggregated data submitted to the NANPA, provided that the state commission has appropriate protections in place (which may include confidentiality agreements or designation of information as proprietary under state law) that would preclude disclosure to any entity other than the NANPA or the Commission.<sup>66</sup>
- 11.3 Projects CO code (NXX) exhaust within NPAs in order to prepare for NPA relief activity. Monitors usage to declare jeopardy, if necessary.
- 11.4 Develops plans for NPA relief and initiates implementation efforts, in both normal and jeopardy situations (Refer to Section 9.3). Facilitates NPA-specific final jeopardy procedures as needed. When the need for code relief is identified and relief activity is

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<sup>64</sup> The NRUF Report is required semi-annually per FCC 00-104, § 52.15 (6) (I).

<sup>65</sup> FCC 00-104, ¶ 75; ¶ 81; § 52.15 (f) (7).

<sup>66</sup> FCC 00-104, ¶ 81; § 52.15 (f) (7).

initiated, advises all parties affected by NPA relief activities and includes them in the planning effort.<sup>67</sup>

- 11.5 Collects, compiles and forwards the necessary information to NANPA for the purpose of obtaining an NPA assignment when it is determined that a new NPA code is required to accommodate relief.
- 11.6 Obtains endorsement of NPA relief plan from appropriate regulatory authority(ies), where necessary.
- 11.7 Develops dialing plan alternatives within local jurisdictions.
- 11.8 Provides assistance to users of numbering resources and suggests alternatives, when possible, that will optimize numbering resource utilization.
- 11.9 Prepares and issues information related to reports for special information requests and scheduled periodic reports that relate to utilization of numbering resources.

## **12.0 Appeals and Safety Valve Process**

### **12.1 Appeals Process**

Disagreements may arise between the CO Code Administrator(s) and code holders/applicants/PA in the context of the administration of these guidelines. In all cases, the CO Code Administrator(s) and code holders/applicants will make reasonable, good faith efforts to resolve such disagreements among themselves consistent with the guidelines prior to pursuing any appeal. Appeals may include but are not limited to one or more of the following options:

- A. The code holder/applicant will have the opportunity to resubmit the matter to the administrator(s) for reconsideration with or without additional input.
- B. Guidelines interpretation/clarification questions may be referred to the body responsible for maintenance of the guidelines. Unless otherwise mutually agreed to by the parties, these questions will be submitted in a generic manner protecting the identity of the appellant.

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<sup>67</sup> A document, "NPA Code Relief Planning and Notification Guidelines" (INC 97-0404-016), addresses the notification process after it has been decided that NPA relief is needed and when that relief must take place.

- C. The CO Code Administrator(s) and code holders/applicant may pursue the disagreement with the appropriate governmental/regulatory body.
- D. Concerning NRUF Reporting, if the NANPA identifies any significant inconsistencies or anomalies in a carrier's data, the NANPA shall inform the submitting carrier of its findings, after which the carrier shall have five days to explain the inconsistencies or anomalies (to be defined by NANC), or to resubmit the data. If, after the discussions with a carrier, the NANPA preliminarily concludes that the carrier's data are insufficient, then the NANPA shall report that preliminary conclusion to the commission in the state where the carrier is providing service, and to the FCC's Common Carrier Bureau. The states have the authority to make a determination on the validity of the data and to instruct the carrier on how any deficiencies should be remedied. The NANPA shall assign no additional resources to that carrier until the appropriate state commission has resolved all questions regarding the inconsistency or anomaly.<sup>68</sup> Resolution by the state commission is expected in an expeditious manner.
- E. In cases where the NANPA has withheld numbering resources from any U.S. carrier that fails to provide its utilization and forecast information, NANPA shall notify the carrier in writing and allow ten days for the carrier to either provide the report or show that it has already done so.<sup>69</sup>
- F. In cases where the NANPA has withheld numbering resources from a carrier that does not demonstrate that it is both authorized and prepared to provide service before receiving initial numbering resources, the NANPA must notify the carrier of its decision within ten days of receiving the request. Carriers disputing the NANPA's decision to withhold initial numbering resources upon a finding of noncompliance may appeal the NANPA's decision to the appropriate state commission for resolution.<sup>70</sup>

Requests for modification of the guidelines can be pursued as described in Section 10 of the guidelines.

Reports on any resolution resulting from the above options, the content of which will be mutually agreed upon by the involved parties, will be forwarded to the body

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<sup>68</sup> FCC 00-104, ¶ 54.

<sup>69</sup> FCC 00-104, ¶ 84.

<sup>70</sup> FCC 01-362 § 52.15 (g) (4).

responsible for the maintenance of the guidelines. At a minimum the report will contain the final disposition of the appeal, e.g., whether or not a code was assigned.

## 12.2 Safety Valve Process

SPs disputing the NANPA/PA's decision to withhold initial numbering resources upon a finding of noncompliance may appeal the NANPA/PA's decision to the appropriate state commission for resolution.

The state commission may affirm, or may overturn, the NANPA/PA's decision to withhold numbering resources from the SP based on its determination that the SP has complied with the reporting and numbering resource application requirements.

The state commission also may overturn the NANPA/PA's decision to withhold numbering resources from the SP based on its determination that the SP has demonstrated a verifiable need for numbering resources and has exhausted all other available remedies.<sup>71</sup>

If a state does not reach a decision on a safety valve request within a reasonable timeframe, SPs may submit such requests to the FCC for resolution. In addition, SPs may appeal to the FCC safety valve decisions made by states.

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<sup>71</sup> FCC 00 429, § 52.15 (g) (5).

### 13.0 Glossary

Activation Deadline	Six months from the original effective date returned on the Part 3 and entered on the ACD screen in BIRRDS. A Part 4 should be returned to NANPA by this date.
Active Code	A code assigned by the CO Code Administrator and implemented in the PSTN for specific routing and rating requirements as of the LERG Routing Guide effective date.
Additional NXX Code Assignment for Growth	A code assigned to a rate center subsequent to the assignment of the first code (See Initial Code), for the same purpose as a code that was previously assigned to the same rate center. A "Growth Code" is requested when the line numbers available for assignment in a previously assigned NXX code will not meet expected demand.
Affected Parties	Affected parties are a) those entities that have applied for and/or received central office code (NXX) assignments or reservations within the NPA per Section 4.0 of these Guidelines; b) all interested members of the industry within the affected NPA.
Administrative Numbers	Administrative numbers are numbers used by telecommunications carriers to perform internal administrative or operational functions necessary to maintain reasonable quality of service standards. Examples of administrative numbers are: Test numbers, employee/official numbers, Location Routing Numbers, Temporary Local Directory Numbers, soft dial tone numbers and wireless E911 (ESRD/ESRK) numbers. (FCC 00-104, § 52.15 (f) (1) (i))
Administrative Operating Company Number	A four character numeric or alphanumeric that identifies the administrator of one (or more) data record contained

(AOCN)	in BIRRDs. Numeric/alphanumeric AOCNs are determined by Operating Company Number (OCN) assignment. The AOCN further identifies the entity authorized by the code holder to input and maintain data into BIRRDs.
Aging Numbers	<p>Aging numbers are disconnected numbers that are not available for assignment to another end user or customer for a specified period of time. Numbers previously assigned to residential customers may be aged for no more than 90 calendar days. Numbers previously assigned to business customers may be aged for no more than 365 days. (FCC 00-104 §52.15 (f)(1) (ii). See Erratum in CC Docket 99-200, released July 11, 2000).</p> <p>An aging interval includes any announcement treatment period as well as the vacant telephone number intercept period. A number is disconnected when it is no longer used to route calls to equipment owned or leased by the disconnecting subscriber of record.</p>
Applicant/Code Applicant	Service providers who submit a Central Office Code Request to the CO Code Administrator for the purpose of being assigned a CO Code for their use. In thousands-block telephone number pooling, the Pooling Administrator is authorized to apply for the assignment of CO Codes as outlined in section 4.1.2.2 of these guidelines.
Assigned Numbers	Assigned numbers are numbers working in the PSTN under an agreement such as a contract or tariff at the request of specific end users or customers for their use, or numbers not yet working but having a customer service order pending. Numbers that are not yet working and have a service order pending for more than five calendar days shall not be classified as assigned numbers (FCC 00-104, § 52.15 (f) (1) (iii)).
Available Numbers	Available numbers are numbers that are available for assignment to subscriber access lines, or their

Exhibit No. \_\_\_\_\_  
Issues: Out of Exchange & Numbering  
Witness: Hoke R. Knox  
Type of Exhibit: Direct Testimony  
Party: Sprint Communications, L.P.  
Case No. TO-2005-0336

	<p>equivalents, within a switching entity or point of interconnection and are not classified as assigned, intermediate, administrative, aging, or reserved. Available numbers is a residual category that can be calculated by subtracting a sum of numbers in the assigned, reserved, intermediate, aged, and administrative primary categories from the total of numbers in the inventory of a code or block holder (FCC 00-104, § 52.15 (f) (1) (iv))</p>
Audit	<p>The accumulation and evaluation of evidence about documented information of an auditee to determine and report on the degree of compliance with INC industry guidelines.</p>
Auditee	<p>The SP/NANPA/PA that is the subject of an audit.</p>
Auditor	<p>The FCC Common Carrier Bureau's Audits Branch of the Accounting Safeguards Division or its other designated agents perform audits of US numbering resources. (FCC 00-429 ¶ 90). State Commissions also may conduct audits. (FCC 01-362 ¶101).</p>
Authorized Representative of an Applicant	<p>The person from the applicant's organization or its agent that has the legal authority to take action on behalf of the applicant.</p>
BIRRDS	<p>The Telcordia™ Business Integrated Routing and Rating Database System contains data in the routing and rating of calls. Contains a complete description of all Local Exchange Companies' networks in the NANP Area and pertinent information relating to the networks of other code holders. This provides information for, (1) message routing, (2) common channel signaling call setup routing, and (3) operator service access routing. Data supports all CO Codes assigned through these Guidelines, as well as all CO Codes in place prior to the existence of these Guidelines, and covers all Numbering Plan Areas (NPAs) administered under the North American Numbering Plan (NANP).</p>



Central Office (CO) Code	The sub-NPA code in a TN, i.e., digits D-E-F of a 10-digit NANP Area address. Central office codes are in the form "NXX," where N is a number from 2 to 9 and X is a number from 0 to 9. Central office codes may also be referred to as "NXX codes." (47 C.F.R. § 52.7(c))
CLLI™	A CLLI™ <i>Location Identification Code</i> is an eleven-character alphanumeric descriptor used to identify switches, points of interconnection, and other categories of telephony network elements and their locations. Companies that are licensees of Telcordia™ COMMON LANGUAGE® Products can refer questions to their company's COMMON LANGUAGE Coordinator. If you do not know if you are a licensee, do not know your Coordinator, or are a licensee with questions regarding CLLI, call the COMMON LANGUAGE Hotline, 877-699-5577. Alternatively, or if you are <i>not</i> a licensee, you may obtain further information at <a href="http://www.commonlanguage.com">www.commonlanguage.com</a> . (COMMON LANGUAGE is a registered trademark and CLLI is a trademark of Telcordia Technologies, Inc.)
CO Code (NXX) Exhaust	A point in time at which the quantity of TNs within existing CO codes (NXX) which are "Available for Assignment" equals zero within a switching entity/POI or, conversely, when the quantities of "TNs Unavailable for Assignment" equal 10,000 times the quantity of existing CO codes (NXX) assigned to a switching entity/POI. Where CO code sharing occurs or partial CO codes are assigned to a switching entity/POI, the latter number should be adjusted accordingly.
Certify/Certification	The authorization of a carrier by a regulator to provide a telecommunications service in the relevant geographic area. FCC § 52.15 (g) requires that applications for initial numbering resources include evidence that the applicant is authorized to provide service in the area for which numbering resources are being requested.
CO Code Administrator	Entity(ies) responsible for the administration of the NXXs within an NPA.

Exhibit No. \_\_\_\_\_  
Issues: Out of Exchange & Numbering  
Witness: Hoke R. Knox  
Type of Exhibit: Direct Testimony  
Party: Sprint Communications, L.P.  
Case No. TO-2005-0336

Code Activation	See Active Code.
Code Holder	An assignee of a full NXX code which was allocated by the CO Code Administrator. Where the Code Holder is participating in thousands-block number pooling, the Code Holder becomes a LERG Assignee at the Block Donation Date.
Code Protection	Code protection is an arrangement where a central office code assigned in one NPA is not assigned in an adjacent NPA, thereby becoming protected to allow 7-digit dialing across the common boundary.
Conservation	Consideration given to the efficient and effective use of a finite numbering resource in order to minimize the cost and need to expand its availability in the introduction of new services, capabilities and features.
Contamination	Contamination occurs when at least one telephone number within a thousands-block of telephone numbers is not available for assignment to end users or customers. Blocks contaminated up to and including 10 percent are eligible for donation. For purposes of this provision, a telephone number is "not available for assignment" if it is classified as administrative, aging, assigned, intermediate, or reserved as defined in FCC rules (FCC 00-104, §52.7 (h)).
Dealer Numbering Pools	Numbers allocated by a service provider to a retail dealer for use in the sale and establishment of service on behalf of that service provider. See the definition of "Intermediate Numbers" below (FCC 00-104, ¶ 20).
Effective Date	The date by which routing and rating changes within the PSTN must be complete for the assigned thousands-block or the assigned CO Code. Also, the date by which the thousands-block becomes an active block. (Also referred to as "the LERG Routing Guide effective date.")

Exhibit No. \_\_\_\_\_  
Issues: Out of Exchange & Numbering  
Witness: Hoke R. Knox  
Type of Exhibit: Direct Testimony  
Party: Sprint Communications, L.P.  
Case No. TO-2005-0336

Employee/Official Number	A number assigned by a service provider for its own internal business purposes. See "Administrative Numbers" definition.
INC	Industry Numbering Committee, a standing committee of the Alliance for Telecommunications Industry Solutions (ATIS) that provides an open forum to address and resolve industry-wide issues associated with the planning, administration, allocation, assignment and use of numbering resources and related dialing considerations for public telecommunications within the North American Numbering Plan (NANP) area.
(Industry) Inventory Pool	Used in thousands-block number pooling to describe a reservoir of unassigned thousands-blocks administered by the Pooling Administrator for purposes of assignment to certified service providers participating in thousands-block number pooling.
Initial Code	The first geographic NXX code assigned in a unique rate center.
In Service	A code or block for which local routing information has been input to the LERG Routing Guide <u>and</u> the carrier has begun to activate and assign numbers within the NXX code or NXX-X block to end users (FCC 00-104, ¶240).
Interchangeable NPAs	Refers to an industry plan to expand substantially the supply of Numbering Plan Area codes (NPAs) in January 1995, by removing the restriction that the second digit of the NPA must be a 0 or 1.
Intermediate Numbers	Intermediate numbers are numbers that are made available for use by another telecommunications carrier or non-carrier entity for the purpose of providing telecommunications service to an end user or customer. Numbers ported for the purpose of transferring an established customer's service to another service provider shall not be classified as intermediate numbers (FCC 00-104, § 52.15 (f) (1) (v)).

Inventory	<p>The term “inventory” refers to all telephone numbers distributed, assigned or allocated:</p> <ol style="list-style-type: none"><li>(1) To a service provider, or</li><li>(2) To a pooling administrator for the purpose of establishing or maintaining a thousands-block number pool (FCC 00-104, § 52.7 (j)).</li></ol>
Jeopardy	<p>A jeopardy condition exists when the forecasted and/or actual demand for NXX resources will exceed the known supply during the planning/implementation interval for relief.</p>
LATA (Local Access and Transport Area)	<p>Also referred to as service areas by some BOCs, a LATA serves two basic purposes: to provide a method for delineating the area within which the BOCs may offer services and, to provide a basis for determining how the assets of the former Bell System were to be divided between the BOCs and AT&amp;T at divestiture.</p>
LERG™ Routing Guide	<p>The Telcordia™ LERG™ Routing Guide contains information about the local routing data obtained from the BIRRDs. This information reflects the current network configuration and scheduled network changes for all entities originating or terminating PSTN calls within the NANP.</p>
Location Routing Number (LRN)	<p>The ten-digit (NPA-NXX-XXXX) number assigned to a switch/POI used for routing in a permanent local number portability environment. See “Administrative Numbers” definition.</p>
Major Vertical Coordinate	<p>A five-digit number used with the Vertical Coordinates and Horizontal Coordinates to pinpoint the location of a rate center. The Vertical and Horizontal Coordinates can be used to calculate mileage measurements between two rate centers that is used to determine the appropriate mileage rates in determining the charge for message telephone service calls.</p>
Minor Vertical Coordinate	<p>A five-digit number used with the Vertical Coordinates and</p>

Horizontal Coordinates to pinpoint a more specific location. The Minor Vertical and Horizontal Coordinates can be used to divide rate centers into zones for more specific distance calculations. Most often used to rate interstate messages when straight distance between the calling and called point is less than forty miles.

Months to Exhaust (MTE)

A calculation that is used by SPs to document the need for an additional code or block as follows:

$$\text{TNs Available for Assignment divided by Average Monthly Growth Rate}$$

A calculation used by the PA to document the need for an additional CO Code as follows:

$$\text{Blocks Available for Assignment divided by Average Monthly Growth Rate}$$

NANP (North American Numbering Plan)

A numbering architecture in which every station in the NANP Area is identified by a unique ten-digit address consisting of a three-digit NPA code, a three digit central office code of the form NXX, and a four-digit line number of the form XXXX.

NANPA (North American Numbering Plan Administration)

With divestiture, key responsibilities for coordination and administration of the North American Numbering/Dialing Plans were assigned to NANPA. These central administration functions are exercised in an impartial manner toward all industry segments while balancing the utilization of a limited resource.

NANP Area

Consists of the United States, Canada and the Caribbean countries (American Samoa, Anguilla, Antigua, Bahamas, Barbados, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominica, Dominican Republic, Grenada, Jamaica, Montserrat, St. Kitts & Nevis, St. Lucia, St. Vincent & Grenadines, Turks & Caicos Islands, Trinidad & Tobago, and the United States (including Puerto Rico, the U.S. Virgin Islands, Guam and the

Commonwealth of the Northern Mariana Islands).

Newly Acquired Numbers	<p><i>"Newly acquired numbers"</i> are those that have been activated within the LERG Routing Guide, and thus are available for assignment, within the preceding 90 days of reporting utilization. <i>Newly acquired</i> numbering resources may be excluded from the calculation of utilization level (FCC CFR 52.15(g)(3)(ii)).</p>
North American Numbering Plan Numbering Resource Utilization/Forecasting (NRUF) Report	<p>The NANPA gathers forecast and utilization information to monitor and project exhaust in individual NPAs/area codes as well as in the NANP overall. This semi-annual report includes number utilization information as well as a five-year forecast of demand by year. Pooling carriers report at the thousands-block level per rate center. Non-pooling carriers report at the Central Office Code level per rate center. For more detailed information, see the NRUF Reporting Guidelines.</p>
NPA	<p>Numbering Plan Area, also called area code. An NPA is the 3-digit code that occupies the A, B, and C positions in the 10-digit NANP format that applies throughout the NANP Area. NPAs are of the form N0/1X, where N represents the digits 2-9 and X represents any digit 0-9. After 1/1/95, NPAs will be of the form NXX. In the NANP, NPAs are classified as either geographic or non-geographic.</p> <p>a) <u>Geographic NPAs</u> are NPAs which correspond to discrete geographic areas within the NANP Area.</p> <p>a) <u>Non-geographic NPAs</u> are NPAs that do not correspond to discrete geographic areas, but which are instead assigned for services with attributes, functionalities, or requirements that transcend specific geographic boundaries. The common examples are NPAs in the N00 format, e.g., 800.</p>
NPA Code Relief	<p>NPA code relief refers to an activity that must be performed when an NPA nears exhaust of its 792 NXX</p>

capacity. Options for relief are described in Section 6.0 of the NPA Code Relief Planning & Notification Guidelines.

NPA Relief Date	The date by which the NPA is introduced and routing of normal commercial traffic begins.
OCN	An Operating Company Number (OCN) is a four place alphanumeric code that uniquely identifies providers of local telecommunications service. OCN assignments are required of all SPs in their submission of utilization and forecast data (FCC 00-104, ¶ 41 and Public Notice DA 00-1549). Relative to CO Code assignments, NECA assigned Company Codes may be used as OCNs. Companies with no prior CO Code or Company Code assignments contact NECA (800 524-1020) to be assigned a Company Code(s). Since multiple OCNs and/or Company Codes may be associated with a given company, companies with prior assignments should direct questions regarding appropriate OCN usage to the Telcordia™ Routing Administration (TRA) on 732 699-6700.
Point of Interconnection (POI)	The physical location where an SP's connecting circuits interconnect for the purpose of interchanging traffic on the PSTN.
Pooling Administrator (PA)	The term Pooling Administrator refers to the entity or entities responsible for administering a thousands-block number pool (FCC 00-104, § 52.7 (g)).
Pool Start/Allocation Date	The date the PA may start allocating thousands-blocks from the industry inventory pool to SPs. This is also the start date for SPs to send requests for thousands-blocks to the PA.
Premature Exhaust	(When referring to NANP): Premature exhaust means the exhaust of NANP resources (i.e., requires expansion beyond the 10-digit format) much sooner than the best industry projections. The NANP is expected to meet the numbering needs of the telecommunications industry well

into the 21<sup>st</sup> century (i.e., a minimum of 25 years).

(When referring to NPA): Premature exhaust is when a specific date for NPA relief has been established and the NPA is projected to exhaust prior to that date.

Private Networks	Private networks are composed of stations which are not directly accessible from all PSTN stations via the use of NANP E.164 numbers.
Public Switched Telephone Network (PSTN)	The PSTN is composed of all transmission and switching facilities and signal processors supplied and operated by all telecommunications common carriers for use by the public. Every station on the PSTN is capable of being accessed from every other station on the PSTN via the use of NANP E.164 numbers.
Rate Area	Denotes the smallest geographic area used to distinguish rate boundaries.
Reassignment	In a pooling environment, reassignment refers to the process of reestablishing the assignment of a thousands-block, which was previously assigned to another SP or to a new SP. Reassignment may also mean the transfer of a working or assigned NXX from one switching entity/POI to another.
Reclamation	Reclamation refers to the process by which service providers are required to return numbering resources to the NANPA (FCC 00-104, § 52.15 (i) (1)).
Reporting Carrier	Refers to a telecommunications carrier that receives numbering resources from the NANPA, a Pooling Administrator or another telecommunications carrier. (FCC 00-104, § 52.15 (f) (2)).
Reseller	An SP which purchases facilities and/or services from another SP for resale. Also, see "Intermediate Numbers" above.



Reserved CO Codes	<p>A reserved code is an NXX code that has been temporarily set aside for an applicant for future use, and is, therefore, not to be immediately activated. Code reservation may be used, for example, by new entrants who need to prepare their switches before they are ready to offer service to subscribers.</p> <p>In addition, a reserved code is an NXX code that has been set aside for potential future use but is not associated with any specific applicant. For example, an NXX code which is identical to the home NPA, although theoretically assignable, is considered “reserved” for use only as a last resort.</p>
Reserved Numbers	<p>Reserved numbers are numbers that are held by service providers at the request of specific end users or customers for their future use. Numbers held for specific end users or customers for more than 180 calendar days shall not be classified as reserved numbers (FCC 00-429, § 52.15 (f) (1) (vi)).</p>
Service Provider	<p>The term “service provider” refers to a telecommunications carrier or other entity that receives numbering resources from the NANPA, a Pooling Administrator or a telecommunications carrier for the purpose of providing or establishing telecommunications service (FCC 00-104, § 52.5 (i)).</p>
Soft Dial Tone Numbers	<p>Numbers that permit restricted dialing, such as calling emergency services and sometimes receive incoming calls (FCC 00-104, ¶ 33). See “Administrative Numbers” definition.</p>
Switching Entity	<p>An electromechanical or electronic system for connecting lines to lines, lines to trunks, or trunks to trunks for the purpose of originating/terminating PSTN calls. A single switching system may handle several Central Office (CO) codes.</p>
Technical Requirement,	<p>A limitation of the Point of Interconnection or Switching</p>

Reason, Limitation or Constraint	Entity where an existing code, a thousands-block, and/or numbers cannot be used for designated network routing and/or rating of PSTN calls. Examples that constitute “technical constraint” include limitations on a switch, network element, or planning constraint, CPE limitations or unique AIN Triggers.
Temporary Local Directory Number (TLDN)	A number dynamically assigned on a per call basis by the serving wireless service provider to a roaming subscriber for the purpose of incoming call setup. See “Administrative Numbers” definition.
Terminating Point Master	The TPM contains all the active NPA and CO code (NXX) combinations in the NANP and for each of these points the following is provided: Major Vertical and Horizontal coordinates, LATA/LATA-like code, LATA sub-zone code, RAO code, place and state, province or country name abbreviation, and time zone indicator.
Test Number	A TN assigned for inter- and intra-network testing purposes. See “Administrative Numbers” definition.
Thousands-block	A range of one thousand TNs within an NPA-NXX beginning with X000 and ending with X999, where X is a value from 0 to 9.
Thousands-block (NXX-X) Number Pooling	Thousands-block number pooling is a process by which the 10,000 numbers in a central office code (NXX) are separated into ten sequential blocks of 1,000 numbers each (thousands-blocks), and allocated separately within a rate center (FCC 00-104, § 52.20 (a)).
Type 1 Interconnection Service Provider	A wireless SP that utilizes Type 1 (trunk side with line treatment) interconnection with another SP’s end office switch.
Unassignable Code	An unassignable code is an NXX code designated by the administrator which will not be made available for assignment to any code applicant. For example, the code “911” will not be assigned as a central office code so as to

avoid potential conflict with emergency services.

Utilization Level

The *utilization* level in a given geographic area (NPA or rate center) is calculated by dividing all *assigned numbers* (numerator) by total numbering resources assigned to that carrier in the appropriate geographic region (denominator), and multiplying the result by 100.

Wireless E911  
ESRD/ESRK Number

A 10-digit number used for the purpose of routing an E911 call to the appropriate Public Service Answering Point (PSAP) when that call is originating from wireless equipment. The Emergency Services Routing Digit (ESRD) identifies the cell site and sector of the call origination in a wireless call scenario. The Emergency Services Routing Key (ESRK) uniquely identifies the call in a given cell site/sector and correlates data that is provided to a PSAP by different paths, such as the voice path and the Automatic Location Identification (ALI) data path. Both the ESRD and ESRK define a route to the proper PSAP. The ESRK alone, or the ESRD and/or Mobile Identification Number (MIN), is signaled to the PSAP where it can be used to retrieve from the ALI database, the mobile caller's call-back number, position and the emergency service agencies (e.g., police, fire, medical, etc.) associated with the caller's location. If a NANP TN is used as an ESRD or ESRK, this number cannot be assigned to a customer. See "Administrative Numbers" definition.