



ATIS-0300051

**Central Office Code (NXX) Assignment
Guidelines (COCAG)**

Reissued with the resolution of Issue 870.

January 30, 2019

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For ordering information, please contact:

ATIS
1200 G Street N.W., Suite 500
Washington, DC 20005
(202) 628-6380
inc@atis.org

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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,¹ 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.²

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.³ 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.” 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 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.

- 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 Countries⁴ that are participants in the North American

¹ 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 the FCC’s Numbering Resource Optimization orders under Dockets 99-200, 96-98 and 95-116.

² 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.

³ 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.

⁴ The term Country(ies) is used herein to mean a sovereign state or its geopolitical subdivision (e.g., Territory, Commonwealth or Possession). A listing of sovereign states can be found at the United Nations and/or the International Telecommunications Union websites.

Numbering Plan (NANP).⁵ The NANP and the NANP resources are developed in conformance with the International Telecommunication Union Telecommunications Standardization Sector (ITU-T) recommendations including E.164 “The international public telecommunication numbering plan.”⁶ 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.⁷ Unused numbers may also be subject to reclamation for reassignment to other carriers.⁸

The NANP Resources assigned in this guideline are expected to be used in conformance with this guideline and the related ITU-T recommendations. Misuse of a resource either as defined in this guideline or as defined in ITU-T E.156 “Guidelines for ITU-T action on reported misuse of E.164 number resources” should be reported to the NANPA.⁹ See Section 10 for contact information.

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 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 iconectiv® 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 iconectiv® LERG™ Routing Guide, the iconectiv® NPA/NXX Activity Guide (NNAG), the iconectiv® TPM™ Data Source, and the iconectiv® NPA/NXX Vertical and Horizontal Coordinates Data (VHCD), and LASS outputs such as the iconectiv® LIDB Access Routing

⁵ See NANP in the Glossary for a current list of participants.

⁶ <http://www.itu.int/rec/T-REC-E.164/en>

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

⁸ FCC 00-104, ¶ 5. See also 47 CFR § 52.15 (i) (1).

⁹ <http://www.itu.int/rec/T-REC-E.156/en>

Guide (LARG). Implementation of these assignments is beyond the scope of these guidelines¹⁰.

- 2.4 The applicant must be able to demonstrate that regulatory authorization has been obtained for the area where the code is to be utilized (See section 4.2.1 below).
- 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).¹¹
- 2.8 These administration guidelines were prepared by the industry to be followed on a voluntary basis. However, the FCC has implemented a number of orders and rules referenced by footnote to the appropriate order associated with central office code administration. Should the rules change, the associated text in the guidelines and references would change accordingly. The FCC orders and rules incorporated in these guidelines are included in section 14.0.
- 2.9 Administrative assignment of the CO code (NXX) public resource to a code holder does not imply ownership of the resource by Code Administrator, nor does it imply ownership by the code holder to which it is assigned.
- 2.10 Service Providers (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 47 CFR § 52.15 (k), FCC 00-104 ¶ 62, FCC 00-429 ¶ 81-99, and FCC 01-362 ¶ 95-111.
- 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 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

¹⁰ TPM Data Source is a trademark of Telcordia Technologies, Inc. dba iconectiv®.

¹¹ A list of the current Code Administrators is available at <http://www.nanpa.com>. A list of current Pooling Administrators is available at www.nationalpooling.com.

disconnects for non-pooled NXXs in a pooling rate center 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, including the supporting documentation that service providers submit via e-mail to the NANPA or the PA to accompany those applications for numbering resources. State commissions may review copies of such applications in NAS and PAS, or may request copies of such applications (including supporting documentation accompanying applications) from the service providers operating within their states. Service providers shall comply with state commission requests for copies of numbering resource applications (including supporting documentation accompanying applications) within one business day of receiving the request. Carriers that fail to comply with a state commission request for copies of numbering resource application materials shall be denied numbering resources¹² when the state commission demonstrates (e.g. by email or facsimile) to the NANPA or the PA that the carrier failed to comply with the request.¹³
- 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 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. 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 by selecting the pool indicator of "no" in Section 1.5 of the CO Code Part 1.

If this option is selected, but the SP did not follow the guideline direction for requesting the pooling indicator be marked as non-pooled on the Part 1 form, the SP must e-mail the PA and NANPA prior to the original Part 3 effective date in order for the NXX code dedicated for a single customer's use be classified as a non-pooled code. The SP is reminded that a portability indicator may be required. Further, the SP is reminded that the LERG™ effective date reflecting the NXX code as non-pooled may be different than the original effective date.

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 returned to the pool. A CO Code Part 4 shall be on file prior to an SP returning any thousands-block from an NXX code dedicated for a single customer's use. The SP also shall include in the remarks field of the Part 1A disconnect that the NXX code has been activated in the PSTN, loaded in the NPAC, and all other Code Holder of a pooled NXX responsibilities have been fulfilled. If the NXX code was marked as non-

¹² 47 CFR § 52.15 (g) (6).

¹³ FCC 00-429, ¶ 122

pooled in BIRRDS, the PA shall change the NXX code to a pooled status and create the BCDs in BIRRDS for the thousands-blocks still assigned to the SP. The SP then shall create the NXD-X records in BIRRDS for its assigned thousands-blocks.

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 Administration Guidelines, Appendix 4]. The applicant should retain a copy in the event of an audit or regulatory initiative (See Sections 2.10 and 2.11).
- 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. Switch CLLI information shall not be placed on the NANPA website but shall be retained by the PA/NANPA. The Switch CLLI information will continue to be available to those Service Providers and appropriate state and governmental regulatory authorities who have registered for access to the PA/NANPA secured systems. If an appropriate state and governmental regulatory authority has not registered for access to the PA/NANPA secured systems, this information shall be made available upon request. Information required by iconectiv® Business Integrated Rating and Routing Database System (BIRRDS), iconectiv® TPM™ Data Source¹⁴, and information available in the LERG™ Routing Guide may be subject to licensing agreements with iconectiv®.
- 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 When a service provider’s jurisdictional certification, license, or authorization to operate has been revoked, the appropriate regulatory authority should provide written direction and supporting documentation to the NANPA and PA to deny applications for the company name associated with the revoked jurisdictional certification, license, or authorization.¹⁵ NANPA will remove any current NRUF Form 502 forecasts associated with the SP’s OCN(s) and the Pooling Administrator will remove any current Thousands-Block forecasts (TBPAG Appendix 1) associated with the SP’s OCN(s).

¹⁴ TPM Data Source is a trademark of Telcordia Technologies, Inc. dba iconectiv®.

¹⁵ See FCC 00-429 ¶ 122 and FCC 15-70 ¶ 53.

- 3.7 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.
- 3.8 Affected parties¹⁶ 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.
- 3.9 Resource conservation, in and of itself, should not inhibit or otherwise impede, the ability to obtain NXXs.
- 3.10 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.
- 3.11 If an SP has chosen to participate in thousands-block number pooling in a voluntary rate center outside of the top 100 MSAs, the SP cannot withdraw from pooling in a voluntary rate center once the SP has submitted a forecast, a donation, or has been assigned a thousands-block. Once an SP chooses to participate in thousands-block number pooling in a voluntary rate center, all numbering requests must be submitted directly to the PA.

4.0 Criteria for the Assignment of Central Office Codes

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. If the Switching Entity/POI populated in Section 1.2 of the Part 1 form is not under the ownership or control of the applicant, the applicant must provide documentation (e.g., letter of authorization) allowing this use, otherwise NANPA shall deny the application. NANPA shall retain this documentation on file and the applicant may reference it in the comments field of the Part 1 on future applications utilizing the same Switching Entity/POI instead of providing the documentation again. NANPA shall retain the documentation until the authorizing service provider indicates that the authorization has been revoked.

Applicants shall confirm the validity of their Switching Entity/POI prior to submitting the Part 1 form. The following are current valid entity codes for population of the Switching Entity/POI (Section 1.2 of the Part 1 form) and appropriate for NPA-NXX assignments in BIRRDs:

¹⁶ Affected parties are those SPs that a) have applied for and/or received central office code (NXX) assignments or reservations within the NPA per Section 4.0 of these Guidelines and/or thousands-block (NXX-X) assignments or reservations within the NPA per Section 4.3 of the Thousands-Block Number Pooling Administration Guidelines; and/or b) are materially affected by decisions made via the consensus process during NPA relief planning activities for the affected NPA.

Digital Switch
Cellular Mobile Switch

Remote Switch
Call Agent Virtual Switch (grandfathered only for call agents having NPA-NXXs already assigned)
Appropriate POIs (message trunk interface)
Next Generation Network Entities as appropriate for assignment of numbering resources

The entry in the Switching Entity/POI field must be an active Common Language® Location Code (CLLI™ Code)¹⁷, one of the valid network entity types appropriate for NXX assignment listed above, and built in BIRRDs, otherwise NANPA will deny the application.

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 center¹⁸ 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.¹⁹ These requirements apply equally to carriers requesting an initial NXX code and those requesting an initial thousand-block from the PA.²⁰ 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.²¹ 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.

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

¹⁷ Common Language is a registered trademark and CLLI is a trademark of Telcordia Technologies Inc.

¹⁸ 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 6.2.2).

¹⁹ 47 CFR § 52.15 (g) (2) and 47 CFR § 52.15 (g) (3).

²⁰ FCC 00-104, ¶ 97.

²¹ 47 CFR § 52.15 (f) (4) and (5)

(OCN), which uniquely identifies the applicant. The NANPA will not issue numbering resources to a carrier without an OCN.²² The OCN cannot be shared with another service provider. The OCN must be associated with a NECA Company Code (OCN) Category Type that has been determined to be appropriate for the direct assignment of numbering resources. The following is the list of permitted Company Code Category Types for numbering resources:

| | |
|------------------------------------|---------------------------------|
| Incumbent Local Exchange Carrier | ILEC |
| Regional Bell Operating Company | RBOC |
| Competitive Local Exchange Carrier | CLEC |
| Personal Communications Service | PCS |
| Unbundled Local Exchange Carrier | ULEC |
| Wireless Carriers | WIRE |
| Internet Provider Enabled Services | IPES (only interconnected VoIP) |

NANPA will deny all numbering applications from SPs with an OCN category that is not permissible for numbering assignments.

If NANPA determines from the report provided by the PA that an applicant is participating in pooling in that rate center, NANPA will deny the application. Once an applicant chooses to participate in thousands-block number pooling in a voluntary rate center, all numbering requests must be submitted directly to the PA.

- 4.1.2 All applications for numbering resources shall include the company name, company headquarters address, OCN, parent company OCN, and the primary type of business in which the numbering resources will be used.²³
- 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 forward applications for CO Codes on behalf of the SP. The PA shall request a Code Holder for codes to be added to the pool, in accordance with steps outlined in the Thousands-Block (NXX-X) Pooling Administration Guidelines. The Code Holder shall fill out the CO Code Request and submit it to the PA who shall then forward the request to the Code Administrator. The OCN of the Code Holder shall be entered on the NXX request form. The Code Holder 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 Code Holder on the application (Code Applicant section) for the CO Code Administrator response purposes.

²² 47 CFR § 52.15 (g) (5)

²³ 47 CFR § 52.15 (g) (1).

4.1.4.1 The PA shall forward applications 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 month²⁴ inventory at the rate center level.
- 2) 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 code for its own internal use, not for the purpose of providing telecommunications service²⁵ to its "end users" or "customers"²⁶. SPs have the option whether or not to indicate such a code as pooled or non-pooled. When an SP requests a dedicated code for a single customer and MTE and utilization are met or it is the SP's initial request in the rate center, a customer letter is required as supporting documentation to accompany a dedicated code request. The letter shall be on the customer's letterhead documenting the need for 10,000 consecutive telephone numbers, indicating the state and rate center where the numbers are needed, and signed by a party within the customer's organization with the authority to make such a request (e.g., officer of the company). The SP shall e-mail this supporting documentation to the PA, along with the PAS tracking number, immediately after submitting the dedicated code request. When an SP requests dedicated code for a single customer and MTE and utilization are not met, a safety valve waiver is required.
- 3) 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.

4.1.5 The FCC's "Red Light Rule" mandates that any organization delinquent in debts owed to the FCC is barred from receiving numbering resources from the NANPA until the delinquency has been resolved.²⁷ If the applicant's FCC Registration Number (FRN), associated with its OCN(s), is appearing in the FCC's Red Light Display System (<http://www.fcc.gov/redlight>) at the time the NANPA is processing the application, the application shall be denied.

4.2 Code Assignment Criteria for Initial Codes

Application to the NANPA for an initial code assignment shall include: (1) evidence that the applicant is authorized to provide service in the area for which the code is being requested; and (2) that the applicant is or will be capable of providing service within sixty (60) days of the numbering resources activation date requested.²⁸

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:

²⁴ 47 CFR § 52.20 (d) (2).

²⁵ 47 CFR § 52.5 (j).

²⁶ See also FCC 15-70, ¶32.

²⁷ See FCC Order 04-72 released April 13, 2004 and FCC Public Notice DA 12-1192 released July 25, 2012.

²⁸ 47 CFR § 52.15 (g) (2) and 47 CFR § 52.15 (g) (3).

4.2.1 License, Certification, and/or FCC Authorization

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.

- An SP categorized as an ILEC, RBOC, ULEC, or CLEC shall provide evidence that demonstrates the SP has a Certificate of Public Convenience and Necessity (CPCN) issued by a State Regulatory Body to provide service in the area the CO code is being requested.
- An SP categorized as WIRE or PCS shall provide evidence that demonstrates the SP has a license issued by the FCC to provide service in the area the CO code is being requested.
 - If a wireless service provider provides a non-exclusive 3650-3700 MHz Radio Service nationwide license, it shall also provide a 3650-3700 MHz Service Registration Acceptance Letter from the FCC to establish both that it has registered fixed sites and base stations, and the location of those sites.
- An SP categorized as IPES shall provide evidence that demonstrates the SP has a national authorization issued by the FCC. In addition, the SP shall provide the 30-day State Notification as well as a date stamped filing or email receipt showing the 30-day notice was sent to the state.²⁹ See Appendix G: Template for 30-day State Notification for Interconnected VoIP Providers. The 30-day notice shall contain the following information:
 - Applicant's IPES OCN (NECA company code classification must be IPES).
 - NPA and Rate Center(s) where the request(s) will be made.
 - Whether the requests will be initial or growth thousands-blocks/CO codes.
 - Quantity of thousands-blocks and CO codes that are being requested.
 - Accurate regulatory and numbering contact information.

In the case that the name on the license or authority issued by the FCC or CPCN does not match the SP's name on the application, or 30-day State Notification in the case of an interconnected VoIP application, the applicant shall provide verifiable merger/acquisition or name change documentation (e.g., state regulatory body or FCC approval, a copy of the NECA response to the SP confirming merger/acquisition or name change, letter of certification from an officer of the company) linking the name on the application with the name on the license or authority issued by the FCC or CPCN.

4.2.2 Facilities Readiness

²⁹ See 47 CFR § 52.15 (g) (3) and FCC 15-70, ¶ 14 and 34. Some states have specific 30-day notice requirements. State specific 30-day notice contacts can be found at <https://www.nationalpooling.com/contact/voip/STATE30-DAYNOTIFICATION.xlsx>.

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) is required. Evidence shall be provided to the NANPA with the Part 1 application. Evidence may be provided by emailing or faxing to the NANPA.

An ILEC, RBOC, ULEC, CLEC, WIRE or PCS OCN may send a copy of any one of the following document(s) the SP selects:

1. A current executed interconnection agreement between a Local Exchange Carrier and the service provider requesting numbering resources. The relevant pages are the cover page, area covered, the expiration date and the signature page from the interconnection agreement. The SP shall provide only the relevant pages or indicate in the email the page numbers for the relevant pages if providing the entire interconnection agreement. NANPA shall deny any application when the relevant pages are not provided or the SP does not indicate the page numbers of the relevant pages when providing the entire interconnection agreement via email. In the case that the name on the interconnection agreement does not match the SP's name on the application, the applicant shall provide verifiable merger/acquisition or name change documentation (e.g., state regulatory body or FCC approval, a copy of the NECA response to the SP confirming merger/acquisition or name change, letter of certification from an officer of the company) linking the name on the application with the name on the interconnection agreement.
2. Documentation of the state commission approval of the current interconnection agreement. In the case that the name on the state commission documentation does not match the SP's name on the application, the applicant shall provide verifiable merger/acquisition or name change documentation (e.g., state regulatory body or FCC approval, a copy of the NECA response to the SP confirming merger/acquisition or name change, letter of certification from an officer of the company) linking the name on the application with the name on the state commission documentation.
3. The Service Provider business plan/pre-planning checklist (see Appendix A) 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 in order to provide service within 60 calendar days of the numbering resources activation date (LERG™ Routing Guide effective date). If the CLLI of the applicant's switch or POI has not been built in BIRRDS, including originating and terminating tandems (switch homing arrangements), the applicant cannot utilize this type of proof of facility readiness and must provide one of the other four types of proof of facility readiness. NANPA will deny an application if the applicant's switching entity/POI with switch homing arrangements has not been built in BIRRDS at the time the application is processed.
4. A confirmation letter or letter of intent provided by the LEC with which the requesting SP will interconnect. Interconnecting LECs are encouraged, but not required, to provide such letters. In the case that the name on the confirmation letter does not match the SP's name on the application, the applicant shall provide verifiable merger/acquisition or name change documentation (e.g., state regulatory body or FCC approval, a copy of the NECA response to the SP confirming merger/acquisition or name change, letter of

certification from an officer of the company) linking the name on the application with the name on the confirmation letter.

5. A letter from the requesting SP identifying a block/code in service in another rate center that already uses the same facilities and CLLI code that will be used to serve the new rate center where the initial code is being requested and reflected on the application. In the case that the OCN name associated with the switch CLLI serving the existing block/code does not match the SP's name on the application, the applicant shall provide verifiable merger/acquisition or name change documentation (e.g., state regulatory body or FCC approval, a copy of the NECA response to the SP confirming merger/acquisition or name change, letter of certification from an officer of the company) linking the name on the application with the OCN name associated with the switch CLLI.

An IPES OCN may send a copy of either of the following³⁰:

- 1) A combination of an agreement between the interconnected VoIP provider and its carrier partner and an interconnection agreement between that carrier and the relevant local exchange carrier (LEC), or
- 2) Proof that the interconnected VoIP provider obtains interconnection with the PSTN pursuant to a tariffed offering or a commercial arrangement (such as a TDM-to-IP or a VoIP interconnection agreement) that provides access to the PSTN.

When providing such documentation, the applicant shall provide only the relevant pages or indicate in the email to the code administrator the page numbers for the relevant pages if providing entire agreements or documents. For agreements between the interconnected VoIP provider and its carrier partner, and for interconnection agreements, the relevant pages are the cover page, area covered, the expiration date, and the signature page from the interconnection agreements. For tariffed offering or commercial arrangement documents, the relevant pages are the cover page, page that identifies area covered, pages that describe how traffic will be exchanged, term of the contract or expiration date, and the signature page. If the document does not identify the area covered, the applicant shall provide a carrier partner's written statement indicating the area covered. The code administrator shall deny any application when the relevant pages are not provided or the applicant does not indicate the page numbers of the relevant pages when providing entire documents via email.

In the case that the name on an agreement does not match the applicant's name on the application, the applicant shall provide verifiable merger/acquisition or name change documentation (e.g., state regulatory body or FCC approval, a copy of the NECA response to the SP confirming merger/acquisition or name change, letter of certification from an officer of the company) linking the name on the application with the name on the documents.

³⁰ FCC 15-70, ¶37

In the case that the carrier partner name on the carrier partner agreement does not match the carrier partner company name on the applicable interconnection agreement, the applicant shall provide documentation (e.g., state regulatory body or FCC approval, a copy of the NECA response to the SP confirming merger/acquisition or name change, letter of certification from an officer of the company) linking the name on the carrier partner agreement with the name on the interconnection agreement.

All documentation submitted will be held confidential pursuant to FCC confidentiality rules.³¹

4.3 Code Assignment Criteria for Growth Codes

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.³² An exception occurs in cases where a rate center is split among multiple NPAs due to a regulatory order by a state commission.³³ 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.

An interconnected VoIP service provider shall also provide the 30-day State Notification as well as a date stamped filing or email receipt showing the 30-day notice was sent to the state (see Section 4.2.1).

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:³⁴

- 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.³⁵

All applicants for growth numbering resources shall achieve a 75% utilization threshold for the rate center in which they are requesting growth numbering resources³⁶.

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.

³¹ 47 CFR § 52.13 (c) (7)

³² State commissions may have certain requirements as to the treatment of different types of grandfathered codes.

³³ For example, certain rate centers in AZ, CA, MN, OH, NY and WA. More information can be found on NANPA’s website at www.nationalnanpa.com.

³⁴ 47 CFR § 52.15 (g) (4) (i) (A)

³⁵ 47 CFR § 52.15 (g) (4) (B)(iii)

³⁶ 47 CFR § 52.15 (g) (6) (h)

Numbering resources activated in the LERG™ Routing Guide within the preceding 90 days of reporting utilization levels may be excluded from the utilization calculation³⁷.

4.3.2 To replenish the inventory pool, the PA shall complete and send the “Thousands-Block Number Pooling Months to Exhaust Certification Worksheet – 1000-Block Level [Thousands-Block Number (NXX-X) Pooling Administration Guidelines, Appendix 4] to the Co Code Administrator. The PA will demonstrate that existing thousands-blocks for the rate center will exhaust within 6 months³⁸ and will have documented and be prepared to supply supporting data to the CO Code Administrator in the form of:

- 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 months³⁹.

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

The PA when forwarding an application 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 months⁴⁰; and
- 4) Utilization threshold level for the rate center in which growth numbering resources are being requested.

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).⁴¹ Applicant must provide the CO Code Assignment Months To Exhaust Certification Worksheet – TN Level and utilization data by rate center as stated in Section 4.3.1.⁴²

³⁷ 47 CFR § 52.15 (g) (4) (B) (ii)

³⁸ FCC 00-104, ¶ 189

³⁹ 47 CFR § 52.15 (g) (4) (A)

⁴⁰ 47 CFR § 52.15 (g) (4) (A)

⁴¹ Any additional information that can be provided by the code applicant may facilitate the processing of that application.

⁴² 47 CFR § 52.15 (g) (4) (A)

- 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 4.3.1.⁴³
- 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.⁴⁴

- 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 (see Section 9.6.1.5). An SP may request to reserve a code when a safety valve waiver request⁴⁵ has been submitted to the appropriate regulatory authority. A code reservation request cannot be input directly into NAS. The Part 1 shall be downloaded, populated, and then emailed or faxed to the CO Code Administrator. The SP shall provide a statement of certification, including the date the safety valve waiver was submitted, via the “Comments” field on the Part 1. A reserved code shall remain in a reserved status for three (3) months from the date the Part 3 for the code reservation request is approved, unless the code is assigned to the SP that made the reservation request, or the reservation is canceled or extended prior to the code reservation expiration date.

If a reserved code is not assigned by the code reservation expiration date indicated on the Part 3, the code will be released from reservation unless a reservation extension request is submitted to the CO Code Administrator. Upon written request to the CO Code Administrator(s), one reservation extension of three months will be granted if the appropriate regulatory authority has not acted upon the SP’s waiver request by the original code reservation expiration date. If the SP determines that it no longer needs the code or the appropriate regulatory authority denies the SP’s waiver request, the SP shall cancel its code reservation immediately by submitting a written request to the CO Code Administrator.

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.

⁴³47 CFR § 52.15 (g) (4) (A)

⁴⁴ In certain situations there are technical, billing, service delivery, roaming, and/or tariff reasons that require partial and/or different NXX assignments.

⁴⁵ See Section 12.2.

The N11 codes are not to be assigned by NANPA to any service provider as central office (NXX) codes⁴⁶.

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 – Pipeline and Utility Safety
- 911 – Emergency

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 the 555-1212 line number is used for Directory Assistance purposes, and the 555-0100 through 0199 line numbers are reserved for entertainment/advertising purposes.
- 4.7.2 The 700 code is not to be assigned by NANPA as a central office (NXX) code⁴⁷ because it is used by customers to verify their intraLATA PIC, and by SPs in troubleshooting intraLATA PIC selection. In 1996, line number 700-4141 was established in each NPA as access for verification of a customer's intraLATA carrier. This is consistent with FCC rules for carrier selection⁴⁸.
- 4.7.3 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.
- 4.7.4 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.
- 4.7.5 In a single NPA environment, the NPA code should not be assigned as a central office (NXX) code but should be kept as an unassignable central office code by NANPA CO Code Administration to avoid unnecessary code conflict in some central office switches during the 7-digit and 10-digit permissive dialing periods of area code relief. The resulting

⁴⁶ INC supports industry use of non-dialable, ten-digit numbers in the format NPA-211-XXXX and NPA-511-XXXX for use as Pseudo-Automatic Number Identification (p-ANI) numbers. Any other use of these numbers would potentially cause conflicts in properly routing calls to emergency services systems.

⁴⁷ Existing 700 NXX assignments made within the United States are grandfathered for the purpose for which the codes originally were assigned.

⁴⁸ See Section 258 of the Telecommunications Act of 1996 and FCC Order 98-334.

conflict causes the need for time-delay translations impacting customer service. This restriction does not apply in an existing overlay NPA and is lifted when an overlay is implemented.

4.8 Assignable, Special Use CO Codes

The 976 code shall only be used for Information Delivery Services, is not associated with a rate center, and is 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. The 976 codes shall not be marked as portable and shall not be pooled as the codes' numbers are not assigned to end-user customers.

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).⁴⁹ The test code shall not be an unassignable CO code or an assignable Special Use CO code.

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 reclamation requirement because there will be no customers associated with the test code. . The test code shall not be entered in the NPAC, and there will be no requirement to report this kind of test code on the NRUF.

⁴⁹ See "Network Interconnection Interoperability Forum (NIIF) Reference Document" for test code requirements for implementation of a new NPA. [Note: the NIIF is now known as Next Generation Interconnection Interoperability Forum (NGIIF).].

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.

Once an SP chooses to participate in thousands-block number pooling in a voluntary rate center, all numbering requests must be submitted directly to the PA. NANPA will not assign a CO code (NXX) to an SP for a voluntary pooled rate center in which that SP has either submitted a forecast to the PA, submitted a donation to the PA, or has been assigned a thousands-block in that rate center.

- 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. The entry in the Switching Entity/POI field must be an active Common Language® Location Code (CLLI™ Code), one of the valid network entity types appropriate for NXX assignment, and built in BIRRDS, otherwise NANPA will deny the application. If the Switching Entity/POI populated in Section 1.2 of the Part 1 form is not under the ownership or control of the applicant, the applicant must provide documentation (e.g. letter of authorization) allowing this use, otherwise NANPA will deny the application. NANPA shall retain this documentation on file and the applicant may reference it in the comments field of the Part 1 on future applications utilizing the same Switching Entity/POI instead of providing the documentation again. NANPA shall retain the documentation until the authorizing service provider indicates that the authorization has been revoked.

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.⁵⁰

- 5.2.2 Respond within 7 calendar 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 Code Holder whose OCN appears on the request form.

The NANPA must notify the carrier in writing of its decision to withhold numbering resources within 7 calendar days of receiving a request for numbering resources.⁵¹ 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.⁵²

- 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 shall ensure that SPs satisfy the MTE requirement and the utilization threshold before obtaining additional numbering resources. 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 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. If the Code Administrator is unable to assign an NXX according to the applicant's preference(s) listed in Section 1.4 c) or 1.4 d) of the Central Office Code (NXX) Assignment Request - Part 1, the Code Administrator will email the applicant and request the applicant to either provide a different preference, direction for the Code Administrator to assign any available NXX, or provide direction to withdraw the request. Upon email notification, the application is suspended and the applicant has up to two business days to respond with direction to the Code Administrator. If there is no response within two business days, NANPA will deny the request.

⁵⁰ 47 CFR § 52.15 (g) (4) (B) (iv)

⁵¹ 47 CFR § 52.15 (g) (iv)

⁵² 47 CFR § 52.15 (g) (5)

- 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 Deny the application if the NANPA has received written direction and supporting documentation from the appropriate regulatory authority to do so, due to jurisdictional certification or licensing revocation.
- 5.2.10 Ensure, concurrent with assignment or disconnect of an NXX to a code applicant, the NPA, NXX, effective date and OCN of the code applicant are input into BIRRDs to indicate that a specific NXX has been assigned by NANPA to an applicant or that a disconnect has been approved by NANPA. 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 (See Code Activation and In Service Timeline in Appendix D, II). Initiate code reclamation if assigned code is not activated and in service within 60 days of expiration of the service provider's applicable activation deadline.⁵³ 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.⁵⁴
- 5.2.11 Respond to the code applicant or the PA in writing via the appropriate "Administrator's Response--Receipt of the Part 4" form within 7 calendar 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
- 5.2.12 Use the following criteria in reviewing a CO code reservation request from an SP that has submitted a safety valve waiver to the appropriate regulatory authority:
- a) The applicant shall provide a statement of certification including the date the waiver was submitted to the appropriate regulatory authority via the "Comments" field on the Part 1.
 - b) The CO Code Administrator shall process requests for code reservations within seven calendar days of receiving the request.

⁵³ 47 CFR § 52.15 (i) 6.

⁵⁴ 47 CFR § 52.15 (i) 5.

- c) Codes shall remain in a reserved status for three (3) months from the date the Part 3 is approved for the code reservation request, unless the code is subsequently assigned to the SP that made the reservation request, or the reservation is canceled or extended prior to the code reservation expiration date.
- d) The CO Code Administrator shall send an e-mail reminder to the SP seven calendar days prior to the code reservation expiration date, advising the SP that the reserved code will be released from reservation one (1) calendar day after the code reservation expiration date if the reserved code has not been assigned to the SP or the reservation has not been canceled or extended.

- 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. Additional information can be found at the iconectiv® Telecom Routing Administration (TRA) web site (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.
- 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 service⁵⁵ within the time frame specified in Sections 6.3.3 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

⁵⁵ See definition of “In Service” in the Glossary.

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.

- 5.6 The CO Code Administrator shall ensure that any emails associated with a tracking number sent to applicants or assignees clearly identify the rate center, the state, the specific NPA-NXX, the type of response or request, and the tracking number in the subject line so that recipients can easily determine to which particular application or assignment the email pertains. The contents of the email should include sufficient other information (e.g., OCN, effective date, switching ID/POI) so that recipients can determine disposition of the email without logging into NAS to get the necessary information to make such a decision.
- 5.7 The CO Code Administrator shall ensure that any emails (e.g. solicitation for new code holder) sent to applicants or assignees clearly identify the rate center, the state, the specific NPA-NXX, and the type of response or request in the subject line so that recipients can easily determine to what the email pertains. The contents of the email should include sufficient other information (e.g., OCN or SPID, quantity of recipient's ports and overall ports) so that recipients can determine disposition of the email without logging into NAS to get the necessary information to make such a decision.

6.0 Responsibilities of Code Applicants and Holders

Code Applicants and Code Holders shall comply with the responsibilities listed in this section. 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) 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 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 Code Holders submitting paper Part 1 and Part 4 forms directly to the PA.

6.1 The Application Process

- 6.1.1 Code applicants, including applications submitted through 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, shall be provided. The OCN cannot be shared with another service provider. In addition, the applicant's parent company OCN shall be provided and shall be of a type permitted numbering resource assignments.⁵⁶ 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 from NPAs already effective cannot be made more than 6 months prior to the requested effective date. Requests for code assignments from NPAs not yet effective cannot be made more than 66 days prior to the effective date of the new NPA, unless there are no NXXs available for assignment in the existing NPA. Any subsequent modifications to the effective date shall not extend the effective date to more than six months beyond the original application date. Applicants must request an effective date at least 66 calendar days after the request is submitted to the PA via PAS or an effective date at least 59 calendar days after the request is submitted to the NANPA via NAS. The 66-calendar day interval is derived by adding the 21 days⁵⁷ allotted to code request processing (by the PA and the NANPA) 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.

The 59-calendar day interval is derived by adding the 14 days⁵⁸ allotted to code request processing by the NANPA 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.

- 6.1.2.1 Requests to open, modify, or disconnect a code in fewer than 66 or 59 calendar days (see above) increase 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.

⁵⁶ 47 CFR § 52.15 (g) (1)

⁵⁷ The 21-day interval is the combination of 7 calendar days for the PA, 7 calendar days for the NANPA, and 7 calendar days for the AOCN.

⁵⁸ The 14-day interval is the combination of 7 calendar days for the NANPA and 7 calendar days for the AOCN.

If an SP must request an expedite, the expedite request and the necessary expedite documentation must accompany the Part 1 request to open, modify, or disconnect a code in fewer than the standard industry interval of 66 or 59 days.

a) The expedited 21-day or 14-day Interval activities:

- In addition to submitting the Part 1 form to the PA or 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 the PA or 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 through the PA or NANPA with the attached confirmation from the AOCN if applicable. When the SP requests to receive the “earliest effective date” on the Part 1 form, NANPA will reduce the effective date to the earliest date without compromising the 45-day code activation interval from the date NANPA processes the request.

b) The expedited 45-day Interval activities:

- The SP must follow the Next Generation Interconnection and Interoperability Forum (NGIIF) procedures to expedite the 45-day code activation process.⁵⁹
- 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 BIRRDs ACD screen. For disconnects, NANPA has the direct role of entering the effective date of the disconnect on the ACD screen. If an expedite is approved, the expedite information will be entered in the BIRRDs ACD screen as well. When 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 current numbering utilization level for the rate center in which it is seeking growth numbering resources.⁶⁰

⁵⁹ For more information, refer to the latest issue of ATIS-0300046 Next Generation Interconnection Interoperability Forum (NGIIF) “Recommended Notification Procedures to Industry for Changes in Access Network Architecture.”

⁶⁰ 47 CFR § 52.15 (g) (4) (i)

6.1.4 For initial codes in a rate center, the code applicant shall provide documented proof⁶¹ 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.⁶²

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).

6.2.4 A code applicant or holder assigned a pooled code through the PA for pool replenishment or LRN purposes shall load the NPA-NXX into the NPAC database within 10 calendar days of the code being assigned by the NANPA.

6.3 Code Holder Responsibilities / Ongoing Administration

A Code Holder is an assignee of an NXX code that was allocated by the CO Code Administrator.⁶³ Code Holders assigned a non-pooled NXX code shall:

- a) Ensure AOCN input of Part 2 data entries into BIRRDS within seven calendar days of the code assignment (See Section 6.2.1);
- b) Ensure that interconnection facilities have been established between the code's assigned switch and other interconnecting networks;

⁶¹ See section 4.2 for more information on providing "documented proof" for initial codes.

⁶² 47 CFR § 52.15 (g) (2) and (3)

⁶³ When an NXX Code becomes pooled, there are additional Code Holder responsibilities. These additional responsibilities are documented in ATIS-0300066, Thousands-Block Number (NXX-X) Pooling Administration Guidelines, in Section 4.2.1.

- c) Ensure the code, if portable, is flagged as LNP-capable in the LERG™ Routing Guide and the NPAC at least five business days prior to the LERG™ effective date;
- d) Ensure the code, if portable, is opened under the old NPA before or during permissive dialing⁶⁴ for a geographic split in the NPAC, if the code will move to the new NPA at the end of permissive dialing;
- e) Ensure that if the code is portable that the code's assigned switch is LNP-capable and will process terminating traffic appropriately;
- f) Ensure that if the code is portable that code query triggers are applied in all their switches and reflected in the appropriate network databases (e.g., STP routing tables);
- g) Validate that all translations work is complete five calendar days prior to the code's LERG™ effective date;
- h) Verify and test that the code is activated in the PSTN by performing successful call-through tests⁶⁵ starting **five calendar days prior** to the code's LERG™ Effective Date⁶⁶;
- i) Provide Vacant Code Announcement (VCA) or Reorder Announcement (ROA)⁶⁷ for vacant numbers within the code; and
- j) Maintain sufficient and auditable data to demonstrate compliance with these guidelines.

6.3.1 Information Changes

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. If the applicant is requesting multiple changes, the applicant should indicate all requested changes in Section 1.4 of the Part 1 form. In the case of an intra-company OCN change request for any reason other than merger/acquisition, the applicant must certify on Section 1.8 of the Part 1 that there are assigned numbers in the code. NANPA or the PA will deny the change request if the applicant does not provide the certification.

If there are 50 or more codes that need modifications on intra-company OCN changes, switching entity/POI changes, or tandem modifications, a mass modification spreadsheet can be sent to NANPA. Contact NANPA for the most recent spreadsheet. In the case of intra-company OCN changes for any reason other than merger/acquisition, the applicant must certify in the email transmission of the spreadsheet that there are assigned numbers in each of

⁶⁴ Opening the NXX code in the old NPA during permissive dialing ensures the NXX code's inclusion in the NPAC's automated processes to update the NXX code to the new NPA at the end of permissive dialing (See ATIS-0300061, NPA Code Relief Planning & Notification Guidelines, Section 12 for additional information).

⁶⁵ See ATIS-0300032, Network Interconnection Interoperability Forum (NIIF) Reference Document, Part X. [Note: the NIIF is now known as Next Generation Interconnection Interoperability Forum (NGIIF).]

⁶⁶ See ATIS-0300032, Network Interconnection Interoperability Forum (NIIF) Reference Document, Part X. [Note: the NIIF is now known as Next Generation Interconnection Interoperability Forum (NGIIF).]

⁶⁷ See ATIS-1000004, "Thousands-block Number Pooling Using Number Portability"; ATIS-0300011, "ATIS-Network Interconnection Interoperability Forum (NIIF) Reference Document Part III – Installation and Maintenance Responsibilities for SS7 Links"; and ATIS-0300019, "Trunks Attachment H – SS7 Cause Codes and Tones and Announcements", at www.atis.org. Note that there may be a fee associated with the acquisition of these documents. [Note: the NIIF is now known as Next Generation Interconnection Interoperability Forum (NGIIF).]

the codes. If the applicant does not provide this certification, NANPA will not upload the mass change.

Note: Mass modifications only update data in NAS. SPs are responsible for all updates to BIRRDs, NPAC and any other affected systems or databases.

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 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' 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 code holder. If an SP submits a rate center change request for an NXX with block assignments to an SP other than the code holder, the PA will forward to NANPA, and NANPA will deny the request.

SPs that wish to move CO codes from one rate center to another must submit a Part 1 to the CO Code Administrator. Upon receipt of the Part 1 for an NXX that has been activated, the CO Code Administrator will request that the NPAC produce an ad hoc report, generated during off-peak hours, that identifies the SPs and associated quantities of ported TNs or pending ports within the code(s). The CO Code Administrator will not request an ad hoc report if the SP is requesting a rate center change for a code that has not reached its LERG™ Routing Guide effective date.

If the report shows that there are ported TNs or pending ports, then the CO Code Administrator will issue a Part 3 Denial to the applicant. If the report shows that there are no ported TNs or pending ports, then the CO Code Administrator will issue a Part 3 Acceptance to the applicant with instructions to the Applicant to immediately remove the NXX from the NPAC to ensure that no porting occurs between the time the ad hoc report was produced and the effective date of the rate center change. On the effective date of the rate center change, the Applicant must immediately add the NXX to the NPAC to ensure that porting can resume.

6.3.2 Code Holder Responsibilities / Code Maintenance

When evaluating OCN use after a merger/acquisition occurs, the Code Holder may consider the following options:

- a) If an SP decides to change an NXX and OCN association due to a merger or acquisition, the surviving or acquiring company/ Code Holder must request an OCN change for a non-pooled code through the NAS. If the NXX is a pooled code, the surviving or acquiring company/ Code Holder must submit a Central Office Code (NXX) Assignment request - Part 1 to the Pooling Administrator, through the Pooling Administration System (PAS). For non-pooled requests submitted via NAS and pooled request submitted through PAS, the applicant must pick the "INTRA-COMPANY OCN CHANGE" as the type of change, and identify "Merger/Acquisition" as the reason in the drop down list. The applicant must ensure that the surviving or acquiring company's OCN has been added to the applicant's PAS and NAS profiles prior to requesting the OCN change. The surviving or acquiring OCN company may need to revise and provide a new, consolidated thousands block forecast in PAS for numbering resources.

If a merger and/or acquisition occurred after the most recent Form 502 submission, the surviving or acquiring OCN company must submit a new Form 502 forecast if the surviving or acquiring OCN company does not have a forecast on file for the current cycle and plans to request blocks or codes prior to the next Form 502 submission deadline. Form 502 must contain the surviving or acquiring company's OCN in the company information and must complete the appropriate forecast form. The carrier must submit the new forecast prior to submitting a thousands-block (Part 1A) or central office code (Part 1) application using the surviving or acquiring company's OCN;

- b) If an SP decides in a merger/acquisition to change the name of the company on an OCN, the SP should contact NECA.⁶⁸

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 information on 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.⁶⁹

If the Code Holder no longer provides service in the rate center associated with the NXX code, the SP must notify the CO Code Administrator. SPs cannot enter NXX code disconnect information in appropriate industry databases until NANPA has processed the code disconnect Part 1 request, responded with a Part 3, and updated the BIRRDS ACD screen with the appropriate effective date. Where there are LNP ports associated with the

⁶⁸ See *ATIS Codes for Identification of Service Providers for Information Exchange (ATIS-0300251.2007)* and *ATIS Next Generation Interconnection Interoperability Forum (NGIIF), Mergers and Acquisitions (ATIS-0300099)*.

⁶⁹ Prior to CMRS SPs acquiring their own Company Codes/OCNs, the ILEC permitted the CMRS SPs to use the ILEC's OCN in BIRRDS. CMRS SPs now are required to obtain their own Company Codes/OCNs.

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. Code Holders shall verify and test that a new NXX Code is activated⁷⁰ in the PSTN starting five calendar days prior to the NXX Code's LERG™ Effective Date. Further, if the new NXX Code is portable, Code Holders shall verify that the NXX Code has been added to the NPAC within ten calendar days of assignment by the NANPA.

A code assigned either directly by the Code Administrator or through transfer from another Code Holder should be placed in service⁷¹ 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" is mandatory (see Central Office Code (NXX) Assignment Request and Confirmation Form - Part 4 and Part 4-PA). If the assignee no longer has a 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 commenced⁷² (see Section 8.0).

6.3.4 Rate Center Consolidation/Changes

SPs that file tariffs for a rate center consolidation/split must notify NANPA and the PA when the tariff is approved by the appropriate regulatory authority. NANPA will verify the rate center consolidation/split with the regulatory authority. SPs that file tariffs for a rate center change are advised to adhere to the minimum timeframe of ninety (90) days when planning this type of change.⁷³ NANPA will issue a NANP notification to the industry as soon as NANPA has verified the rate center change and the timeframe with the regulatory authority, and made appropriate change(s) in the NAS on the effective date of the change(s). SPs are not required to submit Part 1 forms to NANPA for these types of changes.

SPs doing a rate center consolidation/change in deregulated states (which do not require tariffs or other regulatory filings) must notify NANPA and the PA, indicating that the state is deregulated. NANPA will verify the rate center consolidation/change information in their systems and for the notification to other SPs. SPs in states that are deregulated that are doing a rate center change are advised to adhere to the minimum timeframe of ninety (90) days

⁷⁰ See Glossary term for "Active Code". An activated code may or may not yet be placed in service (See Glossary term "In Service").

⁷¹ See definition of "In Service" in the Glossary.

⁷² 47 CFR § 52.15 (i) 2

⁷³ See the Next Generation Interconnection Interoperability Forum's "Recommended Notification Procedures to the Industry for Changes in Access Network Architecture (ATIS-0300046), Attachment B."

when planning this type of change. NANPA will issue a NANP notification to the industry as soon as NANPA has verified the rate center change information and made appropriate change(s) in NAS on the effective date of the change(s). SPs are not required to submit Part 1 forms to NANPA for these types of changes.

When it becomes apparent that an existing tariff was not properly implemented, and is not part of a current consolidation or mandated state order, the SP that filed the tariff must provide NANPA with a copy of the previously approved tariff, the code(s) affected, and the effective date the change(s)⁷⁴ are to be implemented. NANPA will verify the changes with the appropriate regulatory authority and make necessary updates in NAS. NANPA will issue a notification when the updates have been made, identifying the codes in the affected rate centers. SP(s) are not required to submit Part 1 forms to reflect this change. Any SP disputing the change must contact NANPA, the PA, the SP initiating the change(s), and the appropriate regulatory authority with the code(s) involved in the dispute. NANPA will reverse the changes to the disputed code(s) until the regulatory authority has resolved the dispute.

In those cases where pooling has been implemented, the PA will make appropriate changes in the PAS on the effective date of the changes.

In a rate center consolidation an SP must update its NRUF forecast and Appendix 1 in the new rate center(s) in order to receive resources in that rate center. Forecasts in the old rate center(s) will be deleted on the effective date of the consolidation. In the case of a rate center consolidation with a consolidation effective date that falls between June 30 and August 1 or December 31 and February 1, SPs should submit their NRUF and Appendix 1 forecasts for the rate center that is in effect at the time of the SP's NRUF and Appendix 1 submissions to avoid submission errors.

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 31.⁷⁵

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.

⁷⁴ See the Next Generation Interconnection Interoperability Forum (NGIIF) "Recommended Notification Procedures to the Industry for Changes in Access Network Architecture (ATIS-0300046), Attachment B."

⁷⁵ 47 CFR § 52.15 (f) (6) (i)

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 47 CFR 52.15.⁷⁶

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 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.

6.6 Codes Returned in Error

6.6.1 For any **non-pooled** Central Office Codes returned to NANPA in error, one of the following scenarios and steps applies and should be taken:

- Scenario 1: The Part 3 has not yet been issued.
 - o The SP should cancel the return in NAS.

- Scenario 2: The Part 3 has been issued and the code return was approved and the effective date has not yet been reached.
 - o The SP must notify the NANPA Code Administrator to cancel the return in NAS in order to cancel the disconnect view on the ACD in BIRRDS.
 - o The SP must take the appropriate steps to cancel the disconnect view on the NXD in BIRRDS.
 - o It is recommended that the SP contact the TRA to negotiate the issuance of an Emergency Notification.

- Scenario 3: The Part 3 has been issued and the code return was approved and the effective date of the return has passed.
 - o The SP must re-request the code through NAS.
 - o The SP must initiate contact with NANPA and the appropriate regulatory authority to get the disconnected code reassigned in any manner outside of standard procedures.
 - o The SP must take the appropriate steps to reestablish the code in BIRRDS.
 - o The TRA will issue an Emergency Notification if the effective date is fewer than 45 days from when the code is reestablished in BIRRDS.

- Scenario 4: A Part 3 suspension has been issued and the code return was suspended due to ported TNs.

⁷⁶ 47 CFR § 52.15 (g) (4)

- The SP must notify NANPA to cancel the return in NAS.
- Scenario 5: The Part 3 code return denial has been issued to the disconnecting SP because a Part 3 transfer approval has been issued to a new code holder.
 - The disconnecting SP must contact NANPA and the new code holder to obtain their approvals to cancel both the return and the new assignment in NAS. NANPA must cancel the scheduled transfer on the ACD in BIRRDS if the effective date has not passed or modify the ACD in BIRRDS assigning the NXX back to the disconnecting SP if the effective date for the transfer has passed.
 - The disconnecting SP must contact TRA to change the AOCN on the NXX record in BIRRDS and ensure that the code is provisioned in BIRRDS with the appropriate information.
 - The disconnecting SP and the new code holder must ensure the transfer has been reversed with regard to NPAC changes.

6.6.2 For any **pooled** Central Office Codes returned to the PA in error, if one of the following scenarios applies, the corresponding step(s) should be taken:

- Scenario 1: The Part 3 has not yet been issued by NANPA.
 - The SP must notify the PA and NANPA via email in order to cancel the return.
- Scenario 2: The Part 3 has been issued and the code return was approved and the effective date has not yet been reached.
 - The SP must notify the PA and NANPA to cancel the return in PAS and NAS in order for NANPA to cancel the disconnect view on the ACD in BIRRDS.
 - The SP must take the appropriate steps to cancel the disconnect view in BIRRDS.
 - It is recommended that the SP contact the TRA to negotiate the issuance of an Emergency Notification.
- Scenario 3: The Part 3 has been issued and the code return was approved and the effective date of the return has passed.
 - The SP must initiate contact with the PA, NANPA and the appropriate regulatory authority to get the disconnected code reassigned in any manner outside of standard procedures.
 - The SP must re-request the code through PAS along with submitting a manual Part 1.
 - The SP must take the appropriate steps to reestablish the code in BIRRDS.
 - The TRA will issue an Emergency Notification if the effective date is fewer than 45 days from when the code is reestablished in BIRRDS.
- Scenario 4: A Part 3 suspension has been issued and the code return was suspended due to ported TNs.
 - The SP must notify the PA and NANPA via email in order to cancel the return.
- Scenario 5: The Part 3 code return denial has been issued to the disconnecting SP because a Part 3 transfer approval has been issued to a new Code Holder.
 - The disconnecting SP must contact the PA, NANPA and the new Code Holder to obtain their approvals to cancel both the return and the new assignment. NANPA must cancel the scheduled transfer on the ACD in BIRRDS if the effective date has not passed or modify the ACD in BIRRDS assigning the NXX back to the disconnecting SP if the effective date for the transfer has passed.

- When applicable, the PA will cancel the scheduled transfer on the impacted BCD records in BIRRDs if the effective date has not passed or modify the impacted BCD records in BIRRDs assigning the NXX back to the disconnecting SP if the effective date for the transfer has passed.
- The disconnecting SP must contact TRA to change the AOCN on the NXX and applicable block record in BIRRDs and ensure that the code is provisioned in BIRRDs with the appropriate information.
- The disconnecting SP and the new code holder must ensure the transfer has been reversed with regard to NPAC changes.

6.7 NPA-NXX Exchange

In cases where an assigned NPA-NXX cannot be used by the assignee and if the assignee completes the following steps, the NPA-NXX may be exchanged for a different NPA-NXX in the same rate center. The assignee must request the exchange, by contacting NANPA, prior to the original effective date of the new code. In the case of a pooled NPA-NXX, the assignee must contact both the PA and NANPA prior to the original effective date of the new code.

- If the NXD record in BIRRDs has already been built, the assignee must have the NXD record zapped by TRA before NANPA can zap the ACD.
- If the code is a pooled code, the assignee also will need to request that the NXD-X record(s) be zapped by TRA before the PA can zap the BCR.

Once the above steps are completed, NANPA will assign a new code and will issue a corrected Part 3 Administrator response. Depending on when the requested exchange was made, it is possible that the effective date may need to be changed in order to meet the industry standard interval. If the original request was not an expedited request, the request to exchange will not be expedited unless the appropriate documentation is provided.

The assignee also should ensure that NPAC changes are completed not only for the exchanged NPA-NXX but the new NPA-NXX as well.

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, indicating all requested changes in Section 1.4 of the Part 1 form. The entry in the Switching Entity/POI field must be an active Common Language® Location Code (CLLI™ Code), one of the valid network entity types appropriate for NXX assignment, and built in BIRRDs, otherwise NANPA will deny the application. If the Switching Entity/POI populated in Section 1.2 of the Part 1 form is not under the ownership or control of the applicant, the applicant must provide documentation (e.g. letter of authorization) allowing this use, otherwise NANPA will deny the application. NANPA shall retain this documentation on file and the applicant may reference it in the comments field of the Part 1 on future applications utilizing the same Switching Entity/POI instead of providing the documentation again. NANPA shall retain the documentation until the authorizing service provider indicates that the authorization has been revoked. 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 an SP to transfer an NXX code from the current code holder to the SP making the transfer request, where the full NXX code is not assigned and reserved to a single end-user customer. Before an SP makes such a transfer request, it shall confirm adequate trunking is in place in order to fulfill the default routing responsibilities for all ported TNs or pooled blocks within that code. Should a regulatory authority ask SPs to voluntarily transfer a code for purposes of establishing an LRN and extending the life of an NPA projected to exhaust within the next 36 months, consideration must be given to the technical issues involved and the risk of service interruption to existing customers. Some factors that need to be taken into consideration include:

- availability of a thousands-block from the code in the pool;
- quantity of assigned numbers/contamination levels within the code⁷⁷;
- dependencies on ancillary services;
- whether the current code holder has a technical constraint, or has already established an LRN in the code and there are NPAC records associated with that LRN;
- the projected NPA exhaust;
- the cutover risks of service interruption when introducing a new switch to the network;
- whether the code has assigned numbers (either assigned or ported numbers) in it
- the length of time needed to complete the code transfer.⁷⁸

In addition, the code cannot be transferred from one rate center to another rate center.

An SP needing to establish an LRN that does not meet the criteria for the allocation of a new NXX code or a thousands-block from a new NXX code also may proactively investigate the feasibility of a voluntary transfer of code holder responsibilities of an existing NXX code from the current code holder to avoid opening a new code altogether. An SP is not obligated to perform this investigation if it meets the criteria for the allocation of a new NXX code or a thousands-block from a new NXX code, but may choose to do so to assist in prolonging the life of the NPA. If a voluntary transfer appears feasible, the SP should contact the current code

⁷⁷ It is the recommendation of the NANC's LNPA WG that the current code holder not have numbers assigned in more than three of the thousands-blocks.

⁷⁸ For example, if the SPs agree to use the LNP NANC 323 SPID Migration Process to facilitate the transfer of the code, the SPs should consult the SPID migration calendar (see the Secure Site at: <https://portal.numberportability.com/login>) to determine the length of time expected to complete the transfer.

holder. The current code holder is not obligated to transfer the code, but may choose to do so to assist in prolonging the life of the NPA.

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 Coordinated Industry Effort Process (see LNPA Best Practices posted on the NPAC Public Site: www.numberportability.com), the LNP NANC 323 SPID Migration Process (see the Secure Site at: <https://portal.numberportability.com/login>) or the LNP CO Code Reallocation Process (www.nationalpooling.com). See Appendix C of these guidelines for more information about these three processes.

When transferring an NXX code with thousands-blocks available in the pool, the PA shall modify blocks within the transferring pooled NXX to be effective 1 calendar day after the CO Code Part 3 effective date of the transfer. This step shall ensure that the new Code Holder has sufficient time to make the necessary NPAC updates.

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

- The applicant (SP receiving the NXX code to be transferred) shall submit a complete CO code request form, indicating all requested changes in Section 1.4 of the Part 1 form. The entry in the Switching Entity/POI field must be an active Common Language® Location Code (CLLI™ Code), one of the valid network entity types appropriate for NXX assignment, and built in BIRRDS, otherwise NANPA will deny the application. If the Switching Entity/POI populated in Section 1.2 of the Part 1 form is not under the ownership or control of the applicant, the applicant must provide documentation (e.g. letter of authorization) allowing this use, otherwise NANPA will deny the application. NANPA shall retain this documentation on file and the applicant may reference it in the comments field of the Part 1 on future applications utilizing the same Switching Entity/POI instead of providing the documentation again. NANPA shall retain the documentation until the authorizing service provider indicates that the authorization has been revoked.
- The applicant shall attach written confirmation from the current code holder giving its authorization for the transfer and indicating that the NXX code has assigned numbers. If the applicant is requesting a transfer in order to establish an LRN, the code might not yet be in service and therefore the relinquishment letter does not need to indicate there are assigned numbers. The applicant should note this exception in Section 1.8 of the Part 1.
- If the applicant does not have NXX codes or thousands-blocks in the rate center, the applicant also shall submit proof of certification and facilities readiness.
- NANPA shall notify the SP receiving the code when the ACD screen has been successfully modified. It is the responsibility of the SP receiving the code to arrange for the entry of required changes to BIRRDS data.

8.0 Reclamation

Reclamation refers to the process by which service providers are required to return numbering resources to the NANPA.⁷⁹ State commissions have the authority to investigate and determine whether code holders have "activated" NXXs assigned to them within the applicable time frames. A state commission may request proof from all code holders that NXX codes have been activated and assignment of the numbers has commenced.⁸⁰ NANPA will abide by the state commission's determination.⁸¹ If a state commission declines to exercise the authority delegated to it, the NANPA shall notify the FCC to with respect to NXX code reclamation.⁸² Such circumstances are under the direction of a regulatory authority. Service providers shall have an opportunity to explain the circumstances causing the delay in activating and commencing assignment of their numbering resources to the appropriate regulatory authority prior to reclamation of the code(s).⁸³

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,
- the service it was assigned for is disconnected, or
- the CO Code(s) was not placed in service⁸⁴ within six months from the original effective date returned on the Part 3 and entered on the ACD screen in BIRRDS.

The assignee shall apply to the appropriate state commission point of contact for an extension date. The assignee shall apply to the appropriate FCC point of contact if the appropriate state commission has declined to exercise its delegated reclamation authority.⁸⁵ 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 shall be returned for the following reasons:

- Assigned, but no longer in use by the assignee(s),

⁷⁹ 47 CFR § 52.15 (i) (1)

⁸⁰ 47 CFR § 52.15 (i) (2)

⁸¹ 47 CFR § 52.15 (i) (5)

⁸² 47 CFR § 52.15 (i) (7)

⁸³ 47 CFR § 52.15 (i) (4)

⁸⁴ See definition of "In Service" in the Glossary.

⁸⁵ 47 CFR § 52.15 (i) (2)

- 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 prior to the end of the 6th 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 BIRRDs:
- For non-pooled codes, submit the Part 4 to the CO Code Administrator. If the PA received the original request for the dedicated code request for single customer's use and the pool indicator of "NO" was selected in Section 1.5 of the CO Code Part 1 form, then the SP shall submit the Part 4 to the PA.
 - For a code request which was submitted directly to the CO Code Administrator, if that code becomes pooled after it is assigned, the Part 4 shall be submitted to the CO Code Administrator.
 - For pooled codes, 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 a Part 4 has not been received by the Administrator by the Part 4 due date, then the Administrator will send, via facsimile/electronic mail, a notice to the code assignee. The notice will be sent on the first day that the Part 4 will no longer be accepted in NAS, and will direct the assignee to do one of the following immediately:

- If the code is in service, submit a manual Part 4 to the appropriate regulatory authority.
- If the code is no longer needed or not in service, return the code(s) by submitting a Part 1.
- Or request an extension from the appropriate regulatory authority per Section 8.1.

8.2.4 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.⁸⁶
- 9.2 Ongoing code administration practices that foster conservation include the following:
- 9.2.1 All service providers shall maintain no more than a six-month inventory of telephone numbers in each rate center or service area in which it provides telecommunications service.⁸⁷ At a minimum, SPs shall review their inventories at the rate center level for possible code returns semi-annually. SPs shall return any NXX that is no longer needed for the purpose for which it was assigned. (See Section 8.1)
- 9.2.2 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 appropriate regulatory authority directs otherwise at the time of the proposed relief.⁸⁸ The use of protected routes, which also permits 7-digit dialing across NPA boundaries, shall continue unless otherwise directed by the appropriate regulatory authority.⁸⁹ Where it is suspected that protected routes and 7-digit dialing cross-boundary exists, NANPA shall continue the code assignment practices that permit the continued protection of these routes until such time as these routes are eliminated by the service provider(s) or the appropriate regulatory authority.

⁸⁶ NANPA will be responsible for disseminating NRUF Report results to the affected parties.

⁸⁷ 47 CFR §52.15 (g) (4) (iii).

⁸⁸ Policy established per letter dated 10/29/97 from the NANC Chairman to the INC Moderator.

⁸⁹ In the case of an NPA overlay, cross NPA boundary calls originating from the overlay must be dialed on a 10-digit basis.

9.2.3 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. Should NANPA receive a large request for NXX codes that will reduce the supply below the quantity anticipated for the planning/implementation interval for relief, NANPA will only assign the appropriate number of codes before declaring jeopardy.

- If NPA relief planning has not yet begun, NANPA will fulfill code requests until the supply of codes is depleted to a 30-month supply.
- If NPA relief planning has begun but the appropriate regulatory authority has not yet approved an NPA relief plan, NANPA will fulfill codes requests until the supply of codes is depleted to a 24-month supply.

The remaining code requests will be denied, with an explanation on the Part 3 that further code requests may be filled according to jeopardy procedures in Section 9 of the Central Office Code Administration Guidelines (COCAG).

9.3.2 NANPA will notify the appropriate regulatory authority(ies) and the industry that the NPA is in jeopardy.⁹⁰ Pooling code requests will be entered in the lottery along with non-pooled requests until final jeopardy procedures can be established.

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

9.4 Interim Jeopardy Procedures

No later than three weeks after jeopardy has been declared, NANPA shall notify and convene the industry to develop final industry jeopardy procedures. The interim jeopardy procedures will immediately go into effect upon the declaration of jeopardy and will remain in effect until industry can meet to establish final jeopardy procedures.

CO code allocations will initially be set at three per month. Pooling CO code requests will be entered in the lottery along with non-pooled requests until final jeopardy procedures can be established.

⁹⁰ 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.

9.4.1 Part 1 requests shall be submitted (the date populated on Section 1.3, “Date of Application”) no earlier than the 1st business day of the month and no later than the 5th business day of the month. The time period between the 1st and 5th business day of the month is referred to as the “submission timeframe.” Each OCN may submit up to three code requests per month. Requests submitted above the monthly allocation will automatically be denied.

9.4.2 CO Codes will be allocated according to the following lottery process:

If three or less Part 1 requests are submitted within the submission timeframe that month then each request receives a CO code. Any part of the base allocation of three that is not assigned in a rationing month will NOT carryover for assignment in the following month (“monthly assignable”).

If more than three Part 1 requests are submitted within the submission timeframe that month, the codes will be assigned via a lottery to take place no later than the 10th business day of the month. All requests not assigned via the lottery will be denied.

9.5 Jeopardy Meeting

9.5.1 When the industry meets to develop final jeopardy procedures, NANPA will facilitate discussion and pursue consensus of final jeopardy procedures in a timely manner. NANPA will produce and distribute the meeting record within 15 business days. Local industry options are the determination of the continuation of all applications going into the monthly lottery or to set-aside a certain amount of CO codes for pooling CO code requests in order to avoid rationing.

9.5.2 If the decision is made to continue to include pooling CO code requests in the monthly lottery along with non-pooled requests, the monthly base allocation will also need to be set. The monthly base allocation is determined by dividing the number of codes available for assignment at implementation of these procedures by the estimated number of months remaining until the target start of mandatory dialing.

9.5.3 If the decision is made to set aside a certain amount of CO codes to be assigned for all pooling CO code requests, it will mean that only non-pooled requests will continue in the monthly lottery. The decision will still need to be made regarding the monthly base allocation. If the set-asides option is chosen yet all but two of the set aside codes have been assigned, NANPA shall reconvene the industry to either set aside additional codes or to revert back to including both pooling and non-pooling CO code requests in the monthly lottery. In the case for the need for the additional meeting(s) to reset the amount of set-aside CO codes, NANPA shall provide at least two weeks’ notice of the meeting to set aside additional CO codes.

- 9.5.4 In an area in which all rate centers are in mandatory pooling, the lottery process will remain in place in case there are applicants that do not participate in pooling (i.e. applicants with LNP waivers or those exempted from LNP).
- 9.5.5 If industry consensus cannot be reached on final jeopardy procedures, and a relief plan has not been approved by the appropriate regulators, NANPA will continue to follow the interim jeopardy procedures. If, however, industry consensus cannot be reached, yet a relief plan has been approved by regulators, NANPA will seek regulatory resolution of final jeopardy procedures as soon as possible.
- 9.5.6 When the final jeopardy procedures are determined for that NPA, NANPA will update the website with the approved jeopardy procedures, and will notify the industry that the final jeopardy procedures have been posted.
- 9.5.7 For codes reserved per Section 4.5, a jeopardy declaration cancels all code reservations. Code Administration will send a Part 3 response noting “code request denied per the declaration of jeopardy”.
- 9.5.8 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 no longer apply. In this notification, NANPA will provide the number of codes available in the NPA and a new projected NPA exhaust date.

These procedures will remain in effect until such time as NPA relief has been implemented.

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 the North American Numbering Plan Administration at https://www.nationalnanpa.com/contact_us/index.html:

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:⁹¹
 - 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.⁹² 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.⁹³
 - 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.⁹⁴
- 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 initiated, advises all parties affected by NPA relief activities and includes them in the planning effort.⁹⁵

⁹¹ The NRUF Report is required semi-annually per 47 CFR § 52.15 (f) (6) (i).

⁹² 47 CFR § 52.15 (f) (7)

⁹³ FCC 00-104 ¶ 75

⁹⁴ 47 CFR § 52.15 (f) (7)

⁹⁵ A document, "*NPA Code Relief Planning and Notification Guidelines*" (ATIS-0300061), addresses the notification process after it has been decided that NPA relief is needed and when that relief must take place.

- 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.
- 11.10 Code Record Management for NPA Relief

After NANPA has published a Planning Letter announcing a timeline for NPA Relief, NANPA shall provide data to TRA in preparation for the upcoming NPA Relief.

In the case of an NPA Overlay, NANPA shall provide the following data no later than six months prior to the start of permissive dialing. If there is no permissive dialing period, the data shall be provided no later than six months prior to the start of network preparation/customer education:

- A list of Rate Centers to be duplicated in the new NPA and the in-service date for each rate center.
 - The in-service date for at least one rate center will match the effective date for the test code in order to establish a test number to verify routing to the new NPA.
- A list of NPA-NXXs to be duplicated in the new NPA.

In the case of a boundary elimination or realignment, NANPA shall provide the following information no later than six months prior to the start of permissive dialing. If there is no permissive dialing period, the data shall be provided no later than six months prior to the start of network preparation/customer education:

- A list of Rate Centers to be added to each NPA and the in-service date for each rate center.

In the case of an NPA split, NANPA shall provide the following to TRA no later than six months prior to the start of permissive dialing:

- A list of Rate Centers moving to the new NPA and the in-service date for each rate center
 - The in-service date for at least one rate center will match the effective date for the test code in order to establish a test number to verify routing to the new NPA.
- A list of NPA-NXXs moving to the new NPA; and
- A list of NPA-NXXs to be duplicated in the new NPA.

TRA uses this data to initiate a utility that provisions the initial split information in BIRRDs.

NANPA shall notify the industry via the NANP Notification System (NNS) that NANPA has provided the data updates to TRA in preparation for the implementation of an area code split. The NNS notification is intended to assist SPs in updating their Operation Support Systems during the implementation of an area code split.

When NANPA assigns new NPA-NXXs in Rate Centers that are moving to the new NPA and/or approves changes to existing NPA-NXXs moving to the new NPA after the split data has been provisioned in BIRRDs, special instructions apply to these situations where the effective date is between permissive and mandatory dialing:

- 1) In the case in which a new code is assigned, if the Rate Center is in the new NPA and the approved effective date of the assignment is between the 'Permissive Dialing Date' and the 'Mandatory Dialing Date':
 - NANPA establishes the record on the ACD screen in BIRRDs in the "OLD" NPA with the NXX effective date indicated on the Part 3
 - NANPA establishes the record on the ACD screen in BIRRDs in the "NEW" NPA with the NXX effective date indicated on the Part 3
 - NANPA instructs the SP (via the Part 3 Administrator Response) to establish the following three NXD records:
 - a record in the "NEW" NPA with the effective date indicated on the Part 3.
 - a record in the "OLD" NPA with the effective date indicated on the Part 3.
 - a disconnect view in the "OLD" NPA effective on the mandatory dialing date.

- 2) In the case in which a SP requests a modification/disconnect to a code assignment in which the NPA-NXX is moving to the new NPA and the approved effective date of the modification/disconnect is between the 'Permissive Dialing Date' and the 'Mandatory Dialing Date':
 - NANPA creates a modification/disconnect view on the ACD screen in BIRRDs in the "OLD" NPA with the NXX effective date indicated on the Part 3
 - NANPA creates a modification/disconnect view on the ACD screen in BIRRDs in the "NEW" NPA with the NXX effective date indicated on the Part 3
 - NANPA instructs the SP (via the Part 3 Administrator Response) to establish the following two NXD views:
 - a modification/disconnect view in the "OLD" NPA with the effective date indicated on the Part 3
 - a modification/disconnect view in the "NEW" NPA with the effective date indicated on the Part 3.

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.
- 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 Wireline Competition 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.⁹⁶ 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.⁹⁷
- 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.⁹⁸

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

⁹⁶ FCC 00-104 ¶ 54.

⁹⁷ FCC 00-104 ¶ 84.

⁹⁸ 47 CFR § 52.15 (g) (5)

Reports on any resolution resulting from the above options, the content of which shall be mutually agreed upon by the involved parties and shall be kept on file by the NANPA. At a minimum, the report shall contain the names of the involved parties, the issue(s) raised, relevant numbering resource(s), and 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.⁹⁹

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.

⁹⁹ 47 CFR § 52.15 (g) (5)

13.0 Glossary

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| 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 and/or thousands-block (NXX-X) assignments or reservations within the NPA per Section 4.3 of the Thousands-Block Number Pooling Administration Guidelines; and/or b) are materially affected by decisions made via the consensus process during NPA relief planning activities for 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 (47 CFR § 52.15 (f) (1) (i) and FCC 00-104, ¶ 36 and 62). Examples of administrative numbers are: Test numbers, employee/official numbers, Location Routing Numbers, Temporary Local Directory Numbers (TLDN), soft dial tone numbers, and Pseudo-Automatic Number Identification (p-ANI) numbers. |
| Administrative Operating Company Number (AOCN) | A four character numeric or alphanumeric that identifies the administrator of one (or more) data record contained in iconectiv®’s Business Integrated Rating and Routing Database System (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. |

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| 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. (47 CFR § 52.15 (f) (1) (ii))</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 | <p>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.</p> |
| Assigned Numbers | <p>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 (47 CFR § 52.15 (f) (1) (iii)).</p> |
| Available Numbers | <p>Available numbers are numbers that are available for assignment to subscriber access lines, or their 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 (47 CFR § 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> |

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| Auditee | The SP/NANPA/PA that is the subject of an audit. |
| Auditor | The FCC's Enforcement Bureau or its other designated agents perform audits of US numbering resources. (47 CFR § 52.15 (k) (2)). State Commissions also may conduct audits (FCC 01-362 ¶ 101) and may request "for cause" audits under the national auditing program (47 CFR § 52.15 (k) (3)). |
| Authorized Representative of an Applicant | The person from the applicant's organization or its agent that has the legal authority to take action on behalf of the applicant. |
| BIRRDs | The iconectiv® 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). |
| Central Office (CO) Code | The second three digits (NXX) of a ten-digit telephone number in the form NXX-NXX-XXXX, where N represents any one of the numbers 2 through 9 and X represents any one of the numbers 0 through 9. (47 CFR § 52.7 (c)) |
| CLLI™ | A CLLI code is an eleven character, standardized, geographic identifier as defined in ANSI ATIS-0300253, <i>Identification of Location Entities for Information Exchange</i> , which uniquely identifies the geographic location and certain functional categories of equipment. Companies that are licensees of 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 CLLIs, call the COMMON LANGUAGE Customer Support Center, 877-699-5577. Alternatively, or if you are <i>not</i> a licensee, you may obtain further information at www.commonlanguage.com . (COMMON LANGUAGE and Telcordia are registered trademarks and CLLI is a trademark and the Intellectual Property of Telcordia Technologies, Inc. dba iconectiv®.) |

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| 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. 47 CFR § 52.15 (g) (2) 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. In the United States and its territories, this is currently the NANPA. See also 47 CFR 52.15. |
| 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. |
| Code Activation | See Active Code. |
| Code Holder | An assignee of a pooled or non-pooled NXX that is assigned by the CO Code Administrator. The responsibilities of an assignee for a pooled NXX are defined in Section 4.2.1 of the Thousands Block Number (NXX-X) Pooling Administration Guidelines (TBPAG) and for a non-pooled NXX are defined in Section 6.3 of the Central Office Code (NXX) Assignment Guidelines (COCAG). A given Code Holder is identified in the LERG™ Routing Guide as the NPA-NXX-A (Assignee) OCN record holder. |

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| 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 (47 CFR § 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.”) |
| Emergency Service Query Key (ESQK) (VoIP) | The ESQK identifies an E911 call instance processed through a VoIP Positioning Center (VPC). An ESQK is associated with a particular PSAP or area within a PSAP. The ESQK is delivered to the PSAP as the calling number/ANI for the call, and is subsequently used by the PSAP to request ALI information for the call. The ALI database includes the ESQK in location requests sent to the VPC. The ESQK is used by the VPC as a key to look up the location object and other call information associated with an emergency call instance. The ESQK is a non-dialable North American Numbering Plan (NANP) number in the format of NPA-NXX-XXXX. |
| Emergency Services Routing Digit (ESRD) and Emergency Services Routing Key (ESRK) (Wireless) | 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.

Employee/Official Number

A number assigned by a service provider for its own internal business purposes. See "Administrative Numbers" definition.

Exchange or exchange area

A geographic area tariffed by a state utilities commission and served by an incumbent Local Exchange Carrier (LEC). A LEC's franchise territory is comprised of multiple Exchanges and the Basic Local Calling Areas are defined by Exchanges. The Exchanges are generally in the state General Subscriber Services Tariff, Section A3.

The term "Exchange" denotes a geographic area generally smaller than a Local Access Transport Area (LATA) and usually embraces a city, town or village and its environs. Subscribers in a given Exchange area may be served by one or more central offices together with the associated facilities or subscribers in an Exchange area may be served by a central office located in an adjacent Exchange area. (A LATA is usually comprised of multiple Exchanges.)

FCC Registration Number (FRN):

FCC Registration Number (FRN): A ten-digit number assigned by the Federal Communications Commission (FCC) to an entity that does business with the FCC. A filer, licensee, certificate holder, or any entity sending payments to the FCC is considered to be doing business with the FCC. The FCC uses the FRN to determine if all of an entity's fees have been paid. The FRN is the same number used by entities on FCC Form 499-A and FCC Form 502 (NRUF Report). More information about FRNs can be obtained by calling the FRN Help Line (877-480-3201) or from the following website:
<https://fjallfoss.fcc.gov/coresWeb/publicHome.do>.

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.

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| (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 to a Service Provider for each rate center in which it provides service. |
| In Service | A code or block for which local routing information appears in the LERG™ Routing Guide, and one or more telephone numbers within the NXX code or NXX-X block has been Assigned to an end user (FCC 00-104, ¶240). Numbers that are categorized as Administrative, Aging, Intermediate, Reserved, or Available cannot also be Assigned and do not satisfy the In Service requirement. |
| Interconnected Voice over Internet Protocol (VoIP) Service Provider | <p>An entity that provides interconnected VoIP service, as that term is defined in 47 U.S.C. § 153(25) (47 CFR § 52.5 (b)).</p> <p>Interconnected VoIP providers are providers of a service that (1) enables real-time, two way voice communications, (2) requires a broadband connection from the user's location, (3) requires Internet protocol-compatible customer premises equipment, and (4) permits users generally to receive calls that originate on the public switched telephone network and to terminate calls to the public switched telephone network (47 CFR § 9.3).</p> |
| 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 (47 CFR § 52.15 (f) (1) (v)). Numbers such as dealer number pools should be included as a subcategory of intermediate numbers (FCC 00-104 ¶ 36). An "intermediate" number is one that is made available to a carrier or non-carrier |

entity from another carrier, but has not necessarily been assigned to an end-user or customer by the receiving carrier or non-carrier entity (FCC 15-70 ¶30). Numbers provided to carriers, interconnected VoIP providers, or other non-carrier entities by numbering partners should be reported as “intermediate,” and do not qualify as “end users” or “customers” (FCC 15-70, ¶32).

Intra-Service Provider Port (ISP)

An intra-service provider port allows an SP to retain unavailable TNs in contaminated thousands-blocks that are being donated to an industry inventory pool. Specifically, numbers assigned to customers from donated thousands-blocks that are contaminated will be ported back to the donating carrier to enable it to continue to provide service to those customers. An intra-service provider port can also be used to move a TN(s) from one switch serving a rate center to another switch serving the same rate center where LRN-LNP technology is in use.

Inventory

The term “inventory” refers to all telephone numbers distributed, assigned or allocated:

- 1) To a service provider, or
- 2) To a pooling administrator for the purpose of establishing or maintaining a thousands-block number pool (47 CFR § 52.7 (j)).

Jeopardy

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.

LATA (Local Access and Transport Area)

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&T at divestiture.

LERG™ Routing Guide

The iconectiv® 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.

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| Location Routing Number (LRN) | 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. |
| Major Vertical Coordinate | 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. |
| Minor Vertical Coordinate | A five-digit number used with the Vertical Coordinates and 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 if less than forty miles. |
| Months to Exhaust (MTE) | <p>A calculation that is used by SPs to document the need for an additional code or block as follows:</p> $\text{TNs Available for Assignment divided by Average Monthly Growth Rate}$ <p>A calculation used by the PA to document the need for an additional CO Code as follows:</p> $\text{Blocks Available for Assignment divided by Average Monthly Growth Rate}$ |
| NANP (North American Numbering Plan) | <p>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, where N represents the digits 2-9 and X represents the digits 0-9.</p> <p>It is the basic numbering scheme for the telecommunications networks located in Anguilla, Antigua, Bahamas, Barbados, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominica, Dominican Republic, Grenada, Jamaica, Montserrat, Sint Maarten, St. Kitts & Nevis, St. Lucia, St. Vincent, Turks &</p> |

Caicos Islands, Trinidad & Tobago, and the United States (including American Samoa, Puerto Rico, the U.S. Virgin Islands, Guam, and the Commonwealth of the Northern Mariana Islands) [See also 47 CFR § 52.5 (d)].

NANPA (North American Numbering Plan Administration)

The NANPA is responsible for the neutral administration of NANP numbering resources, subject to directives from regulatory authorities in the NANP member countries (see also 47 CFR § 52.7 (e)). The NANPA is an impartial non-governmental entity that is not aligned with any particular telecommunications industry segment.¹⁰⁰ Under contract to the FCC, NANPA's responsibilities include assignment of NANP resources, and, in the U.S. and its territories, coordination of area code relief planning and collection of utilization and forecast data. See also 47 CFR § 52.13.

NECA

NECA or the National Exchange Carrier Association administers the FCC's Access Charge Plan. Administration of the plan includes but is not limited to the filing of access charge tariffs with the FCC, the collection and validation of cost and revenue data and the processing of FCC Regulatory fees. Access charges are the fees long distance companies pay to access the local phone network to complete calls and ensure that telephone service remains available and affordable in all parts of the country.

NECA Tariff FCC No. 4

NECA Tariff FCC No. 4 is an SP's legal billing authority for interstate access service charges. Tariff No. 4 is the database that SPs reference for interconnection information that supports the ordering, billing and provisioning of interstate access services in North America. Tariff No. 4 also contains information that describes the location and technical capabilities of the SPs' wire centers which provide interstate access.

Newly Acquired Numbers

"Newly acquired numbers" 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 (FCC 00-104 ¶ 111). Newly acquired numbering

¹⁰⁰ Administration of the North American Numbering Plan, Report and Order, CC Docket No. 92-237, 11 FCC Rcd 2588, 2608 (1995) (NANP Order).

resources may be excluded from the calculation of utilization level (47 CFR 52.15 (g) (3) (ii)).

North American Numbering Plan Numbering Resource Utilization/Forecasting (NRUF) Report

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.

NPA (Numbering Plan Area)

The term “area code or numbering plan area” refers to the first three digits (NXX) of a ten-digit telephone number in the form NXX-NXXXXXX, where N represents any one of the numbers 2 through 9 and X represents any one of the numbers 0 through 9. (47 CFR 52.7 (a))

In the NANP, NPAs are classified as either geographic or non-geographic.

- A) Geographic NPAs are NPAs which correspond to discrete geographic areas within the NANP area.
- B) Non-geographic NPAs 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.

NPA Code Relief

NPA code relief refers to an activity that must be performed when and NPA nears exhaust of its 792 NXX 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.

NPAC SMS

The Number Portability Administration Center (NPAC) Service Management System (SMS) is a database that contains routing information on ported TNs and pooled blocks and facilitates the updating of the routing databases of all subtending SPs in the portability area.

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| Operating Company Number (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 (www.neca.org ; 800-228-8597) 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 iconectiv® Telecom Routing Administration (TRA) (www.trainfo.com ; 866-672-6997). |
| Parent Company OCN | The OCN of the highest related legal entity located within the state for which the SP is reporting data or requesting resources. See also 47 CFR § 52.15 (f) (3) (ii). |
| 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 (47 CFR § 52.7 (g)). The Pooling Administrator is responsible for the neutral administration of thousands-blocks from Central Office (CO) Codes in areas where thousands-block number pooling has been ordered or implemented. The PA is an impartial non-governmental entity that is not aligned with any particular telecommunications industry segment and is under contract to the FCC. |
| 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 21st 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.

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| 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. |
| Protected Code | A central office code assigned in one NPA that is not available for assignment in an adjacent NPA in order to permit 7-digit dialing across the NPA boundary. |
| Protected Route | A route where the local calling scope from one or more rate centers to other rate centers across NPA boundaries permits either 7- or 7 and 10-digit dialing across the NPA boundary. In the case of a protected route with 7-digit dialing, a central office code assigned in one specific geographic area of an NPA is not available for assignment in a specific geographic area of an adjacent NPA, but the code may be assigned outside the identified geographic area of the adjacent NPA or local calling scope. |
| Pseudo-Automatic Number Identification (p-ANI) | A 10-digit number used for the purpose of routing an E911 call to the appropriate Public Service Answering Point (PSAP). P-ANIs include but are not limited to: ESRD, ESRK, and ESQK numbers. If a NANP TN is used as a p-ANI, this number cannot be assigned to a customer. See “Administrative Numbers” definition. |
| 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 Center | Rate Center is used for numbering resource applications and reports to associate telephone numbers with a geographic area, as defined by the relevant regulatory agency. A Rate Center is also a uniquely defined point (Vertical & Horizontal Coordinates) located within an exchange area from which mileage measurements are determined. These measurements can be used with the tariffs in the message rating processes. |

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| 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 North American Numbering Plan Administration (NANPA) or Pooling Administrator (PA). ((47 CFR § 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. (47 CFR § 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 | A reserved code is an NXX code that has been temporarily set aside for an applicant while the applicant awaits a decision from the appropriate regulatory authority on a safety valve waiver already submitted |
| Reserved Numbers | 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 (47 CFR § 52.15 (f) (1) (vi)). |
| Service Provider | 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. For the purposes of this part, the term “service provider” includes an interconnected VoIP service provider (47 CFR § 52.5 (e)). |
| Soft Dial Tone Numbers | Numbers that permit restricted dialing, such as calling emergency services and sometimes receive incoming calls (FCC 00-104, ¶ 33). See “Administrative Numbers” definition. |

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| Switching Entity | An electromechanical, electronic, or digital 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. |
| Technical Requirement, Reason, Limitation or Constraint | A limitation of the Point of Interconnection or Switching 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 (47 CFR § 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. |

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| 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 or Threshold | <p>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. Numbering resources activated in the LERG™ Routing Guide (within the preceding 90 calendar days of reporting utilization levels may be excluded from the utilization threshold calculation.</p> <p>All applicants for growth numbering resources shall achieve a 75% utilization threshold, calculated in accordance with 47 CFR § 52.15 (h), for the rate center in which they are requesting growth numbering resources.</p> |
| Vacant Code Announcement (VCA) | This announcement is played when a customer mis-dialed or the NPA-NXX or NXX-X is not valid. An example of such a recording is as follows: “We’re sorry, your call cannot be completed as dialed. Please, check the number and try again.” (See “NIIF Reference Document Part 2 – Installation and Maintenance Responsibilities for SS7 Links and Trunks Attachment H – SS7 Cause Codes and Tones and Announcements,” ATIS-0300019.) |

14.0 References

The following Rules and Orders have been incorporated into this document.

- a) Code of Federal Regulations (CFR), 47 CFR 52.
- b) FCC 00-104 - *Report and Order and Further Notice of Proposed Rule Making*, released March 31, 2000 are referenced by footnote in the format “FCC 00-104
- c) FCC DA 00-1549 - *Common Carrier Bureau Responses to Questions in the Numbering Resource Optimization Proceeding*, released July 11, 2000 are referenced in the format “FCC DA 00-1549
- d) FCC 00-280 – *Order*, released July 31, 2000 are referenced by the footnote in the format “FCC 00-280
- e) FCC 204771 – *Erratum*, released August 3, 2000 are referenced by the footnote in the format “FCC 204771

- f) FCC 00-333 – *Order*, released August 31, 2000 are referenced by the footnote in the format “FCC 00-333”
 - g) FCC 00-429 – *Second Report and Order, Order on Reconsideration in CC Docket No. 96-98 and CC Docket No. 99-200, and Second Further Notice of Proposed Rulemaking in Cc Docket No. 99-200*, released December 29, 2000 are referenced by footnote in the format “FCC 00-429.....”
 - h) FCC 209297 – *Errata*, released January 24, 2001 are referenced by footnote in the format “FCC 209297.....”
 - i) FCC 01-362 *Third Report and Order and Second Order on Reconsideration in CC Docket No. 96-98 and CC Docket No. 99-200*, released December 28, 2001, are referenced by footnote in the format “FCC 01-362...”.
 - j) FCC 03-126, *Fourth Report and Order in CC Docket No. 99-200 and CC Docket No. 95-116, and Fourth Further Notice of Proposed Rulemaking in CC Docket No. 99-200*, released June 18, 2003 are referenced by footnote in the format "FCC 03-126....."
 - k) FCC 15-70, *Report and Order In the Matter of Numbering Policies for Modern Communications WC Docket No. 13-97, IP-Enabled Services WC Docket No. 04-36, Telephone Number Requirements for IP-Enabled Service Providers, WC Docket No. 07-243, Telephone Number Portability, CC Docket No. 95-116*, released June 22, 2015 are referenced by the footnote in the format “FCC 15-70...”
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