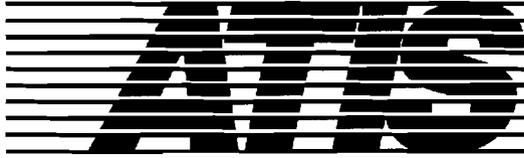


***Thousands-Block Number (NXX-X) Pooling
Administration Guidelines, issued
January 21, 2005***



Alliance for Telecommunications
Industry Solutions

INDUSTRY NUMBERING COMMITTEE (INC)

Sponsor of



Industry Numbering
Committee

THOUSANDS-BLOCK NUMBER (NXX-X)
POOLING ADMINISTRATION GUIDELINES

1200 G Street, NW
Suite 500
Washington, DC 20005
www.atis.org
(202) 628-6380

**These guidelines are reissued in accordance
with the resolution of Issue 450.**

Copyright © 2005 by the Alliance for Telecommunications Industry Solutions, Inc.
All rights reserved.

The INC "Thousands-Block Number (NXX-X) Pooling Administration Guidelines" dated January 21, 2005, is copyrighted, published and distributed by ATIS on behalf of the Industry Numbering Committee (INC). Except as expressly permitted, no part of this publication may be reproduced or distributed in any form, including electronic media or otherwise, without the prior express written permission of ATIS.

Participants in the INC and other parties are hereby authorized to reproduce this document and distribute it within their own business organizations for business purposes, provided that this notice continues to appear in the reproduced documentation. Resale is prohibited.

For ordering information, please contact:

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

A complete listing of INC Documents is available on the ATIS Web Site at:

<http://www.atis.org/inc/docs.asp>

Preface

The Industry Numbering Committee (INC) provides a forum for customers and providers in the telecommunications industry to identify, discuss, and resolve national issues that affect numbering. The INC is responsible for identifying and incorporating the necessary changes into this document. All changes to this document shall be made through the INC issue resolution process and adopted by the INC as set forth in the ATIS Operating Procedures (12/20/04), version 3.

This document is maintained under the direction of ATIS and the INC. It is distributed exclusively by ATIS.

Disclaimer and Limitation of Liability

The information provided in this document is directed solely to professionals who have the appropriate degree of experience to understand and interpret its contents in accordance with generally accepted engineering or other professional standards and applicable regulations. No recommendation as to products or vendors is made or should be implied.

NO REPRESENTATION OR WARRANTY IS MADE THAT THE INFORMATION IS TECHNICALLY ACCURATE OR SUFFICIENT OR CONFORMS TO ANY STATUTE, GOVERNMENTAL RULE OR REGULATION, AND FURTHER NO REPRESENTATION OR WARRANTY IS MADE OF MERCHANTABILITY OR FITNESS FOR ANY PARTICULAR PURPOSE OR AGAINST INFRINGEMENT OF INTELLECTUAL PROPERTY RIGHTS. ATIS SHALL NOT BE LIABLE, BEYOND THE AMOUNT OF ANY SUM RECEIVED IN PAYMENT BY ATIS FOR THIS DOCUMENT, WITH RESPECT TO ANY CLAIM, AND IN NO EVENT SHALL ATIS BE LIABLE FOR LOST PROFITS OR OTHER INCIDENTAL OR CONSEQUENTIAL DAMAGES. ATIS EXPRESSLY ADVISES THAT ANY AND ALL USE OF OR RELIANCE UPON THE INFORMATION PROVIDED IN THIS DOCUMENT IS AT THE RISK OF THE USER.

TABLE OF CONTENTS

1.0	Purpose and Scope	5
2.0	Assumptions and Constraints	6
3.0	Thousands-Block Assignment Principles	9
4.0	Service Provider Responsibilities.....	11
5.0	Pooling Administrator Responsibilities.....	18
6.0	Forecast & Utilization Reporting Process	21
7.0	Industry Inventory Pool	24
8.0	Allocation of Thousands-Blocks.....	36
9.0	Reclamation and Return of Thousands-Blocks.....	45
10.0	Jeopardy Situations	48
11.0	Appeals and Safety Valve Process	49
12.0	Intra Service Provider Block Porting	50
13.0	Maintenance of These Guidelines	51
14.0	Glossary.....	52
15.0	Reference	66

Thousands-Block Application Forms:

Attachment 1	Part 1A	General Application Information
Attachment 2	Part 1B	NPAC Block Holder Data
Attachment 3	Part 3	Pooling Administrator's Response/Confirmation
Attachment 4	Part 4	Confirmation of NXX-X Block In Service
Attachment 5	Part 5	Thousands-Block Reclamation Form
Appendix 1		Thousands-Block Forecast Report
Appendix 2		Thousands-Block Donation Form
Appendix 3		Thousands-Block Months to Exhaust and Utilization Certification Worksheet - TN Level
Appendix 4		Thousands-Block Months to Exhaust Certification Worksheet - 1000 Block Level
Appendix 5		User Profile Application
Appendix 6		Example of Pre-Planning Checklist With Required Fields Identified for Demonstration of Facilities Readiness for an Initial Block Request
Appendix 7		Procedures for Code Holder/LERG Assignee Exit

1.0 Purpose and Scope

This document specifies guidelines for the administration and assignment of thousands-blocks (NXX-Xs) to Local Number Portability (LNP)-capable service providers (SPs) in rate areas where thousands-block number pooling has been ordered or implemented.¹ All thousands-block requests and necessary forms will be submitted by SPs to the Pooling Administrator (PA) by filling out the appropriate request and/or form provided on the PA Web Site.² No requests and/or form submissions will be accepted via fax, paper, voice, or email, except in extraordinary circumstances, semi-annual Appendix 1, and/or if previously agreed to by the PA. An industry database (see 5.1.1) will verify the password and access level of the user. All electronic submissions from an authorized user will be considered as an electronic signature and will be verified for authenticity utilizing criteria maintained in the PA database. In addition, these guidelines outline the processes used between the PA and:

- Code Holders
- Telcordia™ LERG™ Routing Guide³ Assignees
- Block Holders
- The CO Code Administrator
- Number Portability Administration Centers (NPAC)
- North American Numbering Plan Administrator (NANPA)
- Regulatory Agencies

Thousands-block number pooling, in the context of these guidelines, allows for sharing of Central Office (CO) Codes (NXX Codes) among multiple SPs serving the same rate area. All ten thousand telephone numbers (TNs) within each NXX Code continue to be associated with the same rate area designation (i.e., V&H coordinates), but can be distributed among multiple SPs at the thousands-block (NXX-X) level. Examples of uses for thousands-blocks for which these guidelines apply include plain old telephone service (POTS), Centrex, Direct Inward Dialing (DID), wireless service, facsimile, and coin phones.

Carriers required to participate in pooling must request and receive numbering resources from the national Pooling Administrator (PA).⁴

Where thousands-block number pooling has not been implemented, or is not in use by an SP, the SP shall continue to apply directly to the CO Code Administrator for numbering resources. Guidelines addressing the assignment of Central Office

1 FCC 03-126 ¶11

2 A profile for each authorized user will be contained in the industry database, as documented in Section 5.1.1. Only those users with a valid profile will be permitted to submit applications or changes on behalf of a SP. (See Appendix 5)

3 Telcordia and LERG Routing Guide are trademarks of Telcordia Technologies, Inc.

4 FCC 03-126, ¶14

Codes (NXXs) are covered under the Central Office Code (NXX) Assignment Guidelines (INC 95-0407-008). Six to nine months (see Section 6.0 below) prior to thousands-block number pooling participation, SPs that do not currently participate in thousands-block number pooling, will be required to utilize these guidelines. In addition, non-pooling SPs are obliged to provide forecast and other data pursuant to regulatory request.

These guidelines do not supersede appropriate North American Numbering Plan (NANP) area governmental or regulatory principles, procedures, and requirements.

2.0 Assumptions and Constraints

The development of these thousands-block number pooling administration guidelines is based on the following assumptions and constraints:

- 2.1 NANP resources, including those covered in these guidelines, are collectively managed by the telecommunications industry with oversight by the regulatory authorities in areas served by the NANP. The decision to establish an industry inventory pool in any given location is a regulatory responsibility.
- 2.2 The PA will obtain the necessary SP documentation to establish and administer the industry inventory pool.
- 2.3 The NANP resources are considered a public resource and are not owned by the assignees or the PA. Consequently, the resources cannot be sold, brokered, bartered, or leased by the assignee for a fee or other consideration. If a resource is sold, brokered, bartered, or leased for a fee, the resource is subject to reclamation by the PA or by the PA under direction of the applicable regulatory authority.
- 2.4 These administration guidelines apply only to the assignment of thousands-blocks to Block Applicants providing service within specific rate areas:
 - a) where SP Location Routing Number (LRN) Local Number Portability (LNP) has been implemented;
 - b) where thousands-block number pooling has been mandated by the appropriate regulatory body; and
 - c) where SPs have chosen to participate in thousands-block number pooling in a voluntary rate center outside of the top 100 MSAs. SPs only can withdraw their participation prior to the "PA Assessment of Industry Inventory Pool Surplus/Deficiency" date.
- 2.5 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 thousands-block number pooling administration. Should the rules change, the associated text in the guidelines and references would change accordingly. In these guidelines INC changed the term "NANPA" to "PA", as appropriate. The FCC orders and rules incorporated in these Guidelines are included in 15.0.

2.6 NANP numbering resources shall be assigned to facilitate the most effective and efficient use of a finite numbering resource in order to prevent premature exhaust of an NPA and delay the need to develop and implement costly new numbering plans. Efficient resource management and code conservation are necessary to stay the industry impacts of expanding the numbering resource (e.g., expansion from 10 to 11 or 12 digits). Impacts of NANP expansion include:

- a) customer impacts (e.g., dialing, telephone number (TN) changes to advertising and stationery, security systems, etc.);
- b) Customer Premise Equipment (CPE) modifications;
- c) domestic and international switching hardware and software modifications;
- d) operational support systems (OSS) modifications and/or upgrades; and
- e) reprogramming of non-telecommunications databases that contain TNs.

2.7 Block Applicants requesting resources from the industry inventory pool:

- a) service providers must provide, as part of their applications for initial numbering resources, evidence (e.g., state commission order or state certificate to operate as a carrier) demonstrating that they are licensed and/or certified to provide service in the area in which they seek numbering resource;⁵
- b) are required to provide appropriate evidence (e.g., contracts for unbundled network elements, network information showing that equipment has been purchased and is operational or will be operational, business plans, or interconnection agreements) to the PA that demonstrates they have or will have facilities in place to provide service within 60 calendar days of the numbering resources activation date for initial numbering resources.⁶ Self-certification will not be acceptable.
- c) shall donate⁷ numbering resources to the industry inventory pool, in accordance with these guidelines and any regulatory directives;

⁵ FCC 00 104 ¶ 97, FCC 00 104, §52.15; (g), (2), (i)

⁶ FCC 00 104 ¶ 97, §52.15; (g), (2), (ii)

⁷ An SP can avoid the donation of blocks containing administrative numbers, e.g., TLDNs, Mobile Station Roaming Numbers (MSRN), by consolidating these numbers within blocks it intends to retain in compliance with FCC rules. The porting of TLDNs/MSRNs can cause call delivery to roaming

- d) shall establish internal policies and practices that provide for the efficient use and assignment of TNs to end users. These policies and practices shall balance product specifications, market strategies and customer needs with conservation principles to ensure “best practices” in TN utilization;
 - e) shall use available numbers from a contaminated block before assigning TNs from an uncontaminated thousands-block, unless the available numbers in the opened thousands-block are not sufficient to meet a specific customer request⁸. This requirement shall apply to a service provider’s existing numbering resources as well as any new numbering resources it obtains in the future.⁹ The exceptions to the sequential numbering requirement are intended to address a customer’s specific need for TNs that cannot be filled from the service provider’s opened thousands-blocks, rather than requests for specific individual numbers (such as vanity numbers);
 - f) shall minimize the use of TNs within thousands-blocks for purposes other than subscriber assignments (e.g., Administrative Numbers); and
 - g) will have a choice to initiate pooled block activation through Service Order Activation (SOA) interface to NPAC Service Management System (SMS) or through NPAC personnel.
- 2.8 The schedule of holidays recognized by the PA will affect the administration of these guidelines. Holidays will not be considered a “calendar day” as a part of any timing of thousands-block allocations in association with these guidelines.
- 2.9 SPs and numbering resource administrators are responsible for managing numbering resources in accordance with these guidelines and the orders of applicable regulatory authorities. Both SPs and numbering resource administrators are subject to audits. Further information may be found in FCC 00-104 ¶¶62, FCC 00-429 ¶¶81-99, FCC 01-362 ¶¶95-111 and 47CFR§52.15(k).
- 2.10 Audits of the PA and Block Applicants/holders will be performed by the Audits Branch of the Accounting Safeguards Division in the FCC Common Carrier Bureau or other designated agents to:
- a) ensure uniformity in application of these guidelines by the PA to all thousands-block requests received by the PA;
 - b) ensure compliance with these guidelines by Block Applicants and the PA; and
 - c) ensure the efficient and effective use of numbering resources by Block

subscribers to fail.

⁸ FCC 00 104, §52.15; (j), (1)

⁹ FCC 00 104, §52.15; (j), (1)

Applicants/ Holders and efficient and effective management of numbering resources by the PA.

- 2.11 These guidelines were developed assuming pre-porting with Efficient Data Representation (EDR) as the preferred method of implementation.¹⁰
- 2.12 It is assumed from a wireline perspective that CO Codes/blocks allocated to a wireline Service Provider are to be utilized to provide service to a customer's premise physically located in the same rate center that the CO Codes/blocks are assigned. Exceptions exist, for example tariffed services such as foreign exchange service.
- 2.13 For the purposes of these guidelines, it is assumed that blocks donated to a pool from wireless grandfathered NXXs¹¹ cannot be assigned to SPs until regulatory authorities direct how to handle these unique numbering resources. Additionally, because these blocks of grandfathered numbers have been donated to the pool, they are excluded from months to exhaust and utilization calculations on the Thousands-Block Months to Exhaust and Utilization Certification Worksheet – TN level (Appendix 3) when a service provider requests additional thousands-blocks for growth.
- 2.14 At any time during or after pool establishment, a Code Holder has the option to donate all 10 thousands-blocks to the industry inventory pool if it is still able to maintain the LERG assignee responsibilities outlined in section 4.2.

3.0 Thousands-Block Assignment Principles

The following assignment principles apply to all aspects of these guidelines:

- 3.1 Where thousands-block number pooling has been implemented, the PA will assign numbering resources in thousands-block increments. Resources will be available for assignment from both contaminated and uncontaminated thousands-blocks contained in the industry inventory pool. 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. For purposes of this provision, a telephone number is "not available for assignment," if it is classified as:¹²
 - a) Administrative
 - b) Aging
 - c) Assigned
 - d) Intermediate

¹⁰ Refer to NANC Meeting Record, August 1998.

¹¹ "Grandfathered" wireless NXXs exist in states where the regulatory agency has allowed wireless carriers to maintain their existing (old) NPA-NXXs in geographic areas (and rate centers) that were assigned a new NPA. Equivalent circumstances occur in some states where the term "grandfathered" is not used, e.g., CO codes not in a correct geographic NPA.

¹² FCC 00-104, §52.7; (h)

e) Reserved

as defined in the Glossary.

3.2 A pooling SP's requirement for an entire NXX Code (i.e., 10,000 TNs) to satisfy the numbering needs for a single customer¹³ shall be obtained from the PA, not the CO Code Administrator (see Section 7.5.3). An entire NXX code dedicated for a single customer's use may be classified as a non-pooled code at the discretion of the SP. The SP will be considered the CO Code Holder by leaving the pooling indicator field blank in Section 1.5 of the CO Code Part 1. In addition, the SP should write "Non-pooled code for dedicated customer" in Section 1.7 of the Part 1.

If this option is selected, the SP is reminded that a portability indicator may be required. The NXX code dedicated for a single customer's use will become a pooled code if and when thousands-blocks from the NXX code are donated to the pool.

- 3.3 Numbering resources in the industry inventory pool shall be available and allocated to SPs in a fair and non-discriminatory manner (i.e., on a first come, first served basis).
- 3.4 Information that is submitted by applicants in support of thousands-block assignment shall be kept to a minimum, be uniform for all applicants, and be treated as proprietary and adequately safeguarded by the PA/NANPA. Information required by Telcordia™ Business Integrated Rating and Routing Database System (BIRRDS), Telcordia™ TPM™ Data Source,¹⁴ and information available in the LERG Routing Guide may be subject to licensing agreements with Telcordia.
- 3.5 The PA will allocate a thousands-block to an SP's single switch. The SP will be allowed to use intra-service provider ports to share that thousands-block across their multiple switches in a rate area. The actual distribution of TNs from a shared thousands-block will not be captured in the LERG Routing Guide.
- 3.6 Thousands-block assignments will be made from NXX codes assigned and utilized within a single rate area. All SP switch rate area boundaries, which cover the same geographic area, will participate in a single industry inventory pool. If a single SP has a rate area with boundaries that cover a unique geographic area different than any other SP, that SP will participate in a separate industry inventory pool.
- 3.7 Any SP that is denied the assignment of one or more thousands-blocks under these guidelines has the right to appeal that decision, per Section 11.0.
- 3.8 The PA should accept and fulfill requests for specific thousands-blocks of TNs if they are currently available for assignment from the industry inventory pool, subject to the criteria identified in Section 8.3.4, Item d).

¹³ Single customer is defined as one customer requiring 10,000 consecutive TNs from one NXX.

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

- 3.9 SPs may not trade thousands-blocks between themselves.
- 3.10 Thousands-block assignment may be transferred between SPs if the block is in use with active customers and one or more of the following conditions are met:
- a) TNs are assigned and/or reserved for a single customer;
 - b) the customer has ported TNs to another SP that is not the Block Holder;
 - c) merger or acquisition;
 - d) Type 1 to Type 2 migration;
 - e) both SPs involved mutually agree to the transfer of the thousands-block assignment (see Section 8.4).
- 3.11 A block with more than 10 percent contamination that is donated/returned in error to the PA is retrievable by the SP, provided the block is still in the industry inventory pool. This is accomplished via e-mail between the SP and the PA in order to establish an audit trail.

4.0 Service Provider Responsibilities

SPs have many responsibilities in a thousands-block number pooling environment. These responsibilities vary depending on whether the SP is acting as a Code Holder, a LERG Assignee¹⁵, a Block Applicant, or a Block Holder. These responsibilities are outlined below:

4.1 Code Holder Responsibilities

A Central Office (CO) Code Holder is an assignee of a full NXX code. CO Code Holders can either be thousands-block pool participants or not. CO Code Holders who are thousands-block pool participants shall:

- a) identify eligible thousands-blocks for donation to the industry inventory pool upon initial establishment of the industry inventory pool pursuant to Section 7.2.5;
- b) make required updates to BIRRDS with the switch information as appropriate (i.e., ongoing switching entity/POI changes) after creation of the Block Code record (BCD), for their assigned thousands-blocks within pooled NXX codes (See Section 8.5.2) and;

¹⁵ LERG in the phrase LERG Assignee refers to the Telcordia™ LERG™ Routing Guide.

- c) submit changes or disconnects for pooled NXXs to the PA. Changes or disconnects for non-pooled NXXs in a pooling rate area should be sent to NANPA, unless the PA received the original request for the non-pooled NXX.
- d) confirm, prior to donating the thousands-block to the industry inventory pool, that:
 - 1) all unavailable TNs within contaminated thousands-blocks have been intra-service provider ported;
 - 2) the associated NPA/NXX is currently available for call routing, is flagged as LNP capable in the LERG Routing Guide and the NPAC, and the NPA-NXX query triggers are applied in all switches and reflected in the appropriate network databases (e.g., STP routing tables);
 - 3) the NXX-assigned switch is currently LNP-capable and will process terminating traffic appropriately; and
 - 4) interconnection facilities have been established between the NXX-assigned switch and other interconnecting networks.
- e) become a LERG Assignee at the Block Donation Date (see Section 7.1).

An entire NXX code dedicated for a single customer's use may be classified as a non-pooled code at the discretion of the SP. The SP will be considered the CO Code Holder by leaving the pooling indicator field blank in Section 1.5 of the CO Code Part 1. In addition, the SP should write "Non-pooled code for dedicated customer" in Section 1.7 of the Part 1.

4.2 LERG Assignee Responsibilities

- 4.2.1 A LERG Assignee is the SP listed as the entity associated at the NXX code level with a pooled NXX Code in the LERG Routing Guide and is responsible for default routing functions associated with the pooled NXX Code. A LERG Assignee may be designated by the PA as outlined in Section 7.4.4, Step 2 The LERG Assignee shall:
 - a) submit the appropriate CO Code request forms to the PA filled out as if the LERG assignee were requesting the CO code from the CO Code Administrator, with the appropriate information populated (e.g., Tandem Homing CLLI™, Switching Entity/POI, etc.);
 - b) submit the Part 1B-NPAC Block Holder Data form to the PA if the SP is retaining multiple blocks and the routing information is different for those blocks. The PA then forwards the Part 1B to the NPAC;

- c) verify and test that the NXX Code is activated in the Public Switch Telephone Network (PSTN) prior to the NXX Code's LERG Effective Date¹⁶;
- d) provide blank and vacant code announcements for unallocated thousands-blocks;
- e) maintain sufficient and auditable data to demonstrate compliance with these guidelines; and
- f) notify the PA if the LERG Assignee is no longer able to perform default LERG Assignee functions (e.g., the SP is no longer providing service in the area served by that NXX Code).
- g) ensure the following prior to the LERG Effective Date to enable all blocks in the NXX to be viable for other SPs:
 - 1) assigned NPA/NXX(s) is currently available for call routing, is flagged as LNP capable in the LERG Routing Guide and the NPAC, and the NPA-NXX query triggers are applied in all switches and reflected in the appropriate network databases (e.g., STP routing tables);
 - 2) the NXX-assigned switch is currently LNP-capable and will process terminating traffic appropriately; and
 - 3) interconnection facilities have been established between the NXX-assigned switch and other interconnecting networks.
- h) be responsible for providing to the PA the CO Code Part 4 that confirms a full NXX that was obtained to meet an SP's single customer request has been placed in service.

4.2.2 LERG Assignees cannot abdicate their responsibilities unless they can demonstrate to the PA that a technical or other inability to perform this function exists.

4.3 Block Applicant Responsibilities

Block Applicants, requesting resources from the industry inventory pool, shall:

- a) be licensed or certified to operate in the rate area. Applications for initial numbering resources will include documented proof that (1) the 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 calendar days of the numbering resources activation date.¹⁷

¹⁶ See ATIS/NIIF-5001, Network Interconnection Interoperability Forum Reference Document, Part 10.

¹⁷ FCC 00-104, ¶ 96

Specifically, carriers must provide, as part of their applications for initial numbering resources, evidence (e.g., state commission order or state certificate to operate as a carrier) demonstrating that they are licensed and/or certified to provide service in the area in which they seek numbering resources. Carriers requesting initial numbering resources must also provide the PA appropriate evidence (e.g., contracts for unbundled network elements, network information showing that equipment has been purchased and is operational or will be operational, business plans, or interconnection agreements) that its facilities are in place or will be in place to provide service within 60 calendar days of the numbering resources activation date,¹⁸ and

- b) complete the Thousands-Block Application Forms per these guidelines;
- c) provide evidence that, given their current utilization and recent historical growth, they need additional numbering resources.¹⁹

SPs disputing the PA's decision to withhold initial numbering resources upon a finding of noncompliance may appeal the PA's decision to the appropriate state commission for resolution.²⁰ The state commission may affirm or overturn the PA's decision to withhold numbering resources from the carrier based on its determination of compliance with the reporting and numbering resource application requirements.²¹

All applicants for growth numbering resources shall achieve a 60% utilization threshold for the rate center in which they are requesting growth numbering resources. This 60% utilization threshold shall increase by 5% on June 30, 2002, and annually thereafter until the utilization threshold reaches 75%.²²

4.3.1 Block Assignment Criteria for Initial Blocks

Block Applicants, requesting initial resources from the industry inventory pool, shall be licensed or certified to operate in the rate area. Applications for initial numbering resources will include documented proof that (1) the 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 calendar days of the numbering resources activation date.²³ Specifically, carriers must provide, as part of their applications for initial numbering resources, evidence (e.g., state commission order or state certificate to operate as a carrier) demonstrating that they are licensed and/or certified to provide service in the area in which they seek numbering resources. Carriers requesting initial numbering resources must also provide the PA

¹⁸ FCC 00-104, ¶ 97

¹⁹ FCC 00-104, ¶ 103

²⁰ FCC 00-104, ¶ 98

²¹ FCC 01-362, ¶ 52.15 (g)(4)

²² FCC 00-429, ¶ 10

²³ FCC 00-104, ¶ 96

appropriate evidence (e.g., contracts for unbundled network elements, network information showing that equipment has been purchased and is operational or will be operational, business plans, or interconnection agreements) that its facilities are in place or will be in place to provide service within 60 calendar days of the numbering resources activation date,²⁴

For an initial block request, a block applicant must provide one form of documentation from both Sections 4.3.1.1 and 4.3.1.2 below:

4.3.1.1 License and/or Certification

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

4.3.1.2 Facilities Readiness

Appropriate evidence that facilities are in place or will be in place to provide service within 60 days of the numbering resources activation date (LERG Routing Guide effective date). Evidence may be provided via a copy of any one of the following document(s)²⁵ the SP selects:

1. An executed interconnection agreement between a Local Exchange Carrier and the service provider requesting numbering resources. The relevant pages are the cover page, area covered and the signature page from the interconnection agreement.
2. Service Provider developed business plans to provide service in this area. Relevant excerpts from the Business Plan to include planned coverage area and in service dates.²⁶
3. A letter from the SP indicating the scheduled switch installation complete date (month/day/year), including the address location, as well as Point of Interconnection or CLLI.
4. The service order request, pre-planning checklist, or the equivalent to show that facilities for origination or termination for calls being used specifically for the requested block(s)/code(s) have been requested and are anticipated to be completed prior to the effective date of the block/block/code (See Appendix 6 for an

²⁴ FCC 00-104, ¶ 97

²⁵ There may be additional or different criteria requested by state regulators. See FCC 00-104 ¶ 98.

²⁶ Provision of business plans may not be sufficient proof of facilities readiness in some serving areas.

example of a pre-planning checklist showing the identified fields which must be completed).

5. A confirmation letter or letter of intent provided by the entity with which the requesting SP will interconnect. Interconnecting carriers are encouraged, but not required, to provide such letters.

6. The construction schedule including the following information: site identifier, latitude and longitude of the cell site, and its construction start or complete date. The numbers assigned to the facilities identified must serve subscribers in the geographic area corresponding with the rate center requested.

7. A letter from the requesting carrier identifying a block/code in service in another rate center that already uses the same facilities that will be used to serve the new rate center where the initial block/code is being requested.

a) All documentation submitted will be held confidential pursuant to FCC confidentiality rules.²⁷

b) complete the Thousands-Block Application Forms per these guidelines;

4.4 Block Holder Responsibilities

A Block Holder (or selected designee) shall:

a) within five (5) calendar days of the issuance of the Part 3, enter the thousands-block routing and rating information into BIRRDS;

b) notify the PA via Part 1A of any changes (e.g. switch, CLLI) made to blocks retained or assigned;

c) make required updates to BIRRDS with the switch information as appropriate (i.e., ongoing switching entity/POI changes) after creation of the BCD for assigned thousands-blocks within pooled NXX codes (see Section 8.5.2);

d) arrange for the entry of any information to the Line Information Data Base (LIDB) or other carrier-specific databases due to receipt of a new thousands-block;

e) remove records from the LIDB, or other carrier-specific databases, for thousands-blocks returned/donated to the industry inventory pool upon relinquishment of the thousands-block (SPs that do not currently subscribe to LIDB need not add interfaces to or arrange for access to such databases);

²⁷ 47 CFR, § 52.13 (c) (7)

- f) abide by the thousands-block allocation and reclamation procedures outlined in Sections 8.0 and 9.0;
- g) provide forecasted and utilization data at the thousands-block per rate center level for pooling carriers for projecting rate area exhaust and for input to the NPA code relief planning process;²⁸

Any carrier whose forecast data and utilization have not changed from the previous reporting period and the submission form has not been updated may simply re-file the prior submission and indicate that there has been no change since the last reporting, or to report "no change."²⁹

- h) maintain sufficient and auditable data to demonstrate compliance with these guidelines;
- i) verify in the NPAC which TNs are assigned in any contaminated thousands-block received from the PA to avoid duplicate TN assignments. The preferred method of contaminated TN verification relies on NPAC, but use of one's own LSMS (Local Service Management System) is also acceptable.
- j) complete and return the Part 4 (Confirmation of NXX-X Block In Service) to the PA.
- k) concerning NRUF (formerly known as COCUS), for *intermediate numbers* controlled by non-carriers (such as retailers or unified messaging service providers), the carrier that provides *intermediate numbers* to such entities must report utilization and forecast data to the NANPA for these numbers.³⁰
- l) concerning sequential number assignment, please refer to the TN Administration Guidelines.
- m) submit the Thousands-Block Months to Exhaust and Utilization Certification Worksheet – TN level (Appendix 3) when requesting additional thousands-blocks for growth.

4.5 User Profile Application Responsibilities

Each SP participating in pooling is responsible for submitting individual applications for authorized user(s) to access the industry database. SPs determine the level of access for each user (e.g., view data only, submit applications, make changes). Users will have a unique password for access to the database. Appendix 5 is the User Profile Application. This completed application should be submitted to the PA. The PA has up to five business days to assign a password and notify the applicant.

28 FCC 00-104, ¶ 73

29 FCC 00-104, ¶ 42

30 FCC 00-104, ¶ 40

5.0 Pooling Administrator Responsibilities

The following describes the high level responsibilities of the PA in:

- 1) General Administration Duties
- 2) Forecasting and Planning Processes
- 3) Assignment Processes
- 4) Reporting Processes
- 5) Block Reclamation Processes
- 6) Audits

Detailed PA responsibilities are described in the appropriate process sections of these guidelines.

5.1 General Administration Duties

- 5.1.1 The PA, upon request, shall provide information and answer questions for clarification regarding thousands-block number pooling administration processes, procedures, interfaces, and services. Additionally, the PA shall provide, upon request of the thousands-block number pooling participant, information on how to obtain documents related to thousands-block number pooling administration. This can be accomplished by either referring the SP to web sites where it will be possible to download electronic copies, or by providing electronic copies via e-mail.

The PA shall:

- a) be responsible for activities associated with industry inventory pool establishment;
- b) assure the availability, based upon industry established criteria, of numbering resources within the industry inventory pool for a given rate area;
- c) add to the resources in the industry inventory pool when necessary by requesting additional CO Codes from the CO Code Administrator using Months to Exhaust Certifications Worksheet-1000 Block Level (Appendix 4);
- d) work with the CO Code Administrator in the planning and implementation of NPA code relief (e.g., update the PA's industry database to reflect any changes resulting from NPA relief activity). For specific details, see NPA Code Relief Planning & Notification Guidelines (INC 97-0404-016);
- e) provide copies of the Thousands-Block Number (NXX-X) Pooling Administration Guidelines (INC 99-0127-023) when requested by Block Applicants, including timely notification of changes;

- f) assist the CO Code Administrator in analyzing and helping to resolve problems related to misrouted calls and calls that cannot be completed;
- g) track reported switch cut-overs and thousands-block reassignments and perform other operational functions (e.g., thousands-block reclamation);
- h) make available on their web site the PA-recognized holidays and distribute as necessary;
- i) log and track all thousands-block applications using a tracking mechanism which will enable the PA and Block Applicant to identify a specific thousands-block request; and
- j) build and maintain an industry data base which includes appropriate security for confidential data. The database will be accessible through an appropriate mechanism and, at a minimum, include the following information:
 - 1) all pooled thousands-blocks in the industry inventory pool (i.e., NPA-NXX-X level information displayed),
 - 2) status of the thousands-blocks, i.e., allocated/assigned, available,
 - 3) identification of the SP to which the thousands-block has been allocated whether or not a thousands-block is contaminated,
 - 4) user profile(s) that contain the SP contact information, OCN, and level of access permitted. An SP may need multiple individual profiles and passwords (See Appendix 5 - User Profile Application).
- k) set the "Pool Indicator" on the CO Code ACD screen in BIRRDs for those NXX codes from which thousands-blocks have been donated to the pool after Block Donation Date.

5.2 Forecasting and Planning Processes

The PA shall:

- a) compile demand forecasts of all SPs participating in thousands-block number pooling and generate a total forecast for the industry inventory pool;
- b) perform statistical analysis of the SP's forecasts to assure adequate numbering resources are available for the industry's use through timely replenishment of the industry inventory pool; and
- c) work cooperatively with the CO Code Administrator in determining when the numbering resources appear to be nearing exhaust.

5.3 Assignment Processes

The PA shall:

- a) Using the Pooling Administration System (PAS), receive all applications for thousands-blocks from SPs and validate each field as data is entered to ensure each applicant meets the criteria to be a Block Holder;
- b) Verify that the applicant has completed the appropriate forms containing all of the pertinent information such as OCN (Operating Company Number), parent company OCN, switch ID, Block Effective Date and Tandem Homing ID;
- c) If a paper Part 1a submission has one or more errors identified, the PA will notify the applicant with a list of all errors on the application. Upon notification, the application is suspended and the applicant has up to two business days to respond with the corrections back to the PA. If the application is returned within the two business days with all errors corrected, the PA will lift the suspension and proceed with the assignment process. If the errors identified by the PA are not corrected by the applicant within two business days, the PA will issue a Part 3 denial;
- d) assist industry inventory pool participants, as necessary, with the completion of all thousands-block number pooling forms;
- e) attempt to satisfy all SP requests for specific thousands-block(s) whenever possible, subject to the criteria identified in Section 8.3.4, item c); if block(s) assigned has any special status or treatment, e.g., restricted use, chatline, etc. (as indicated on the Appendix 2), the recipient SP is to be notified via the Part 3 Remarks field regarding ability to use block(s);
- f) select the specific thousands-block(s) for assignment, or provide the reason to the SP why the assignment cannot be made;
- g) be responsible for inputting necessary thousands-block assignment information into BIRRDS;
- h) respond to the applicant's request(s) for blocks within 7 calendar days following receipt of the request by issuing the Part 3 - Pooling Administrator's Response/Confirmation form to the applicant. If a full CO Code is needed to fulfill the applicant's request, see Section 7.4.4.
- i) request new NXX Codes from the CO Code Administrator by completing the Months to Exhaust Certifications Worksheet-1000 Block Level (Appendix 4) to replenish the industry inventory pool in order to meet an SP's request. This includes processing of expedited requests when needed.

- j) complete and return one CO Code Part 4-PA Form (See CO Code Guidelines) to the CO Code Administrator to confirm that the NXX obtained to replenish the industry inventory pool has been placed in service upon receipt of a Thousands-Block Part 4 Form from any Block Holder.

5.4 Reporting Processes

The PA shall:

- a) prepare and publish reports as required by the industry, the North American Numbering Plan Administrator (NANPA), and regulatory authorities using forecast reports for projected future number resource usage;
- b) provide state commissions with disaggregated forecast and utilization data in a single report, if requested 30 days following the submission deadline up to the next deadline;³¹
- c) treat SP specific data submitted to them as confidential;
- d) aggregate Block Holder forecast data and submit the aggregated data to the CO Code Administrator(s) and to the NANPA for use in applicable forecast studies; and only publish data that has been aggregated.

5.5 Block Reclamation Processes

The PA is responsible for ensuring that thousands-blocks are reclaimed when necessary (see Section 9.0).

5.6 Audits

In the performance of its duties and in meeting its responsibilities, the PA may encounter situations that may alert them to a possible noncompliance with the industry guidelines which warrants the need for a for cause audit. In these situations, the PA will inform and forward relevant information which contains the details of the possible infraction to the designated auditor or appropriate regulatory agency for disposition.

In addition, the PA may be required to provide SP specific data to an auditor in order to facilitate the audit process.

6.0 Forecast & Utilization Reporting Process

SPs are required to submit their NRUF to the NANPA on a semi-annual basis on or before February 1 for the period ending December 31 and on or before August 1 for

³¹ FCC 00-429 ¶ 118

the period ending on June 30 of each year.³² Additionally, under these same semi-annual reporting deadlines, SPs shall submit to the PA the Thousands-Block Forecast Report (Appendix 1). All individual SP data will be treated by the PA in a confidential manner. The data provided in these reports will allow the PA to aggregate the data at the rate area level and will be used by the PA to provide a rate area NRUF to NANPA and to determine if a critical industry inventory insufficiency (see Section 10.2) exists within a rate area. The PA will forward its aggregated NRUF forecast data to the NANPA within 21 calendar days of the February 1st date or within 21 calendar days of the August 1st date.

All SPs are expected to provide these Appendix 1 reports for each pooling area to the PA in a reasonable amount of time (e.g., 6 to 9 months) prior to when they are required to participate in thousands-block number pooling in a rate area.

6.1 Forecast Process

6.1.1 NRUF forecast data needs to be supplemented in areas where thousands-block pooling has been implemented, and all thousands-block number pooling SPs shall provide a Thousands-Block Forecast Report (Appendix 1), on a semi-annual basis, by rate area to the PA in addition to the NRUF. The Thousands-Block Forecast Report is based on a 12-month interval. A Thousands-Block Forecast Report will be sent by SPs to the PA for all number resource requirements in thousands-block number pooling rate areas, including full NXX Codes as well as thousands-blocks. The forecast submitted is incremental above the quantity of thousands-blocks already allocated in the SP inventory. The SP inventory consists of all geographic NANP TNs allocated by the CO Code Administrator/PA to the Code/Block Holder. The PA will size each industry inventory pool as necessary based on forecasts received. The PA shall maintain no more than a six-month inventory of TNs in each rate center.³³ The exception to the six-month inventory maximum is when thousands-block donations exceed the six month supply and there are no full NXX Codes for the PA to return to NANPA.

6.1.2 If SPs identify a significant change in their thousands-block forecast for a rate area, they should provide an updated Thousands-Block Forecast Report (Appendix 1) for that rate area as soon as possible to the PA. The updated forecast should also identify an SP's need for an entire NXX code(s) (identified in thousands-blocks) to satisfy the need of a single customer. This updated forecast will completely replace the previous thousands-block forecast for a given rate area.

6.1.3 A separate Thousands-Block Forecast Report (Appendix 1) will be required to establish an industry inventory pool. At the pool implementation meeting, the PA will notify all SPs participating in the thousands-block number pooling area of the

³² FCC 00-104, §52.15 (f)(6)

³³ FCC 00-104, ¶ 189, §52.20

request and provide a reasonable length of time for SP responses (i.e., one month or more).

- 6.1.4 If an SP submits a Thousand Block Application Form Part 1A for additional thousands-blocks greater than that which had been previously forecasted, the SP could be temporarily restricted to their original forecasted amount to allow the PA sufficient time to replenish the industry inventory pool, when necessary, before the SP's application can be fulfilled. If satisfying these particular requests would result in a critical industry inventory insufficiency (see Section 10.2) in the industry inventory pool for a rate area, the PA may not be able to meet the entire request.
- 6.1.5 An SP that has not submitted an NRUF and Thousands-Block Forecast Report (Appendix 1) will be denied thousands-blocks from the industry inventory pool until the SP submits both reports. In the event that the industry inventory pool has more than sufficient resources to meet the forecasts of other SPs, the PA may assign thousands-blocks to an SP who has just submitted the required forecast and utilization reports. In the event that the industry inventory pool does not have more than sufficient resources to meet the forecasts of other SPs, the SP just now submitting the forecast and utilization reports will not be provided thousands-blocks for a period of up to sixty-six (66) calendar days from the time the SP submitted their reports.. This 66 calendar day interval will allow the PA sufficient time to replenish the industry inventory pool when necessary. This process for addressing an SP that has not submitted forecast and utilization reports is different in NPA jeopardy situations (see Section 10.0).

When an industry inventory pool is not adequate to meet participating SPs' forecasted thousands-block demands, the PA will request additional NXX codes from the CO Code Administrator as outlined in Section 7.4.

6.2. Service Provider Forecast and Utilization Reporting Requirements

The following are the SP reporting requirements for thousands-block number pooling:

- a) provide Thousands-Block Forecast data as specified in the form in Appendix 1 when applicable;³⁴
- b) provide NRUF data in accordance with NRUF guidelines (INC 00-0619-026) by the Feb 1ST and August 1st dates; and
- c) SPs providing service in multiple rate areas must submit an NRUF and Thousands-Block Forecast Report (Appendix 1) incorporating each rate area.
- d) when requesting additional blocks for growth.

³⁴ FCC 00-104, ¶73, §52.15 (4)(i)

7.0 Industry Inventory Pool

The objective of an industry inventory pool is to maintain sufficient thousands-blocks for a 6-month inventory.³⁵ The quantity of these thousands-blocks should be determined by the PA based upon:

- a) the number of SPs participating in a given rate area;
- b) the individual forecasts provided by each of the thousands-block number pooling participants; and
- c) the anticipated rate of assignment of the thousands-blocks within the industry inventory pool.

7.1 Outline of the Milestones in Establishing Thousands-block Number Pooling (Table 1).

Upon regulatory direction, based on the pooling rollout schedule, the PA will obtain a list of SPs that have LNP capable switches in the geographic area where thousands-block number pooling is to be implemented.³⁶ The PA will then schedule a First Implementation Meeting and assure that the SPs are aware of their requirement to participate in thousands-block number pooling and encourage their attendance and participation.

The PA will present a template of the Milestones in Establishing Thousands-Block Pooling (Table 1) which identifies the milestones that SPs will be required to meet in order to implement thousands-block number pooling by the Mandated Implementation Date.

The PA and participating SPs determine the dates of the milestones on Table 1. These dates should be based on the directives provided by the regulatory body and input from participating SPs. The milestones should include the following:

- a) Regulatory Mandate - The date that thousands-block number pooling was ordered.
- b) First Implementation Meeting - The meeting held by the PA for all participating SPs to develop the specific dates for the milestones.
- c) Forecast Report Date – The deadline for SPs to report their forecasted thousands-block demand using the Thousands-Block Forecast Report (Appendix 1) to the PA.

³⁵ FCC 00-104, ¶ 189

³⁶ FCC 00-104, ¶161

- d) Block Protection Date - The deadline for SPs to “protect” specified thousands-blocks (those with up to and including 10% contamination) from further contamination.
- e) Block Donation Identification Date - The deadline for SPs to report their surplus of thousands-blocks to the PA. This is also the date when SPs may begin to port all TNs in contaminated thousand blocks that they are donating to the pool. All blocks to be donated must be portable in the NPAC and LERG Routing Guide.
- f) PA Assessment of Industry Inventory Pool Surplus/Deficiency - The deadline for the PA to aggregate and evaluate SP thousands-block donation information and determine, on a rate area basis, whether there is a surplus of thousands-blocks or whether an additional NXX code(s) is required to establish the 6-month inventory. The time interval for this activity should be established at the First Implementation Meeting. This is also the date when the assessment will be posted to the PA website.
- g) Block Donation Date – The deadline for SPs to donate their thousands-blocks. This is also the date by which all providers participating in thousands-block number pooling in the NPA must have all their Intra Service provider ports completed. Five business days later, Telcordia will update the LERG Routing Guide with thousands-blocks SPs are retaining.
- h) 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.
- i) Mandated Implementation Date - The date identified by the appropriate regulatory body by which thousands-block number pooling is to be implemented.

Table 1

MILESTONES IN ESTABLISHING THOUSANDS-BLOCK NUMBER POOLING

#	MILESTONES	DATE
1	Regulatory Mandate	
2	First Implementation Meeting - Discuss any restrictions on CO Code applications	
3	Forecast Report Date (based on Mandated Implementation Date)	
4	Block Protection Date	

5	Block Donation Identification Date to Pool Administrator (based on Pool Start/Allocation date) - NXX's must be portable in LERG Routing Guide and NPAC - Begin Intra-Service Provider Porting	
6	PA Assessment of Industry Inventory Surplus/Deficiency - Posted on PA website	
7	Block Donation Date - Confirmation letter by SPs to PA - End Intra- Service Provider Porting Note: 5 business days later – LERG Routing Guide update completed by Telcordia with blocks SP's are retaining	
8	Pool Start/Allocation Date - 1 st Day to Request Thousands-Blocks	
9	Mandated Implementation Date	

7.2 Details of Thousands-block number pooling Milestones

7.2.1 Regulatory Mandate

The date that thousands-block number pooling was ordered.

7.2.2. First Implementation Meeting

The PA is required to hold one public meeting with all SPs expected to participate in thousands-block number pooling. Additional meetings may be scheduled if necessary. The purpose of this meeting is to develop, by industry consensus, the intervals between the milestones in order to finalize the Milestones in Establishing Thousands-Block Pooling (Table 1). SPs will be informed of the requirements for thousands-block number pooling (including both initial and subsequent forecast reports, thousands-block protection, thousands-block donation, etc.) and will have the opportunity to ask clarification questions regarding this process.

First Implementation Meetings are to be scheduled by the PA with the understanding that the dates should be consistent with the yet to be established national thousands-block number pooling implementation roll out process. First Implementation Meetings could be scheduled, for example, on the following basis:

- multiple NPAs/multiple industry inventory pools with the same rollout schedule,
- multiple NPAs/single industry inventory pool,
- single NPA/multiple industry inventory pools with the same rollout schedule,

- single NPA/single industry inventory pool.

The PA will arrange for the First Implementation Meeting location and date, and notify potential attendees of the arrangements. This notification will also include the required meeting fee, if necessary, to cover meeting costs. If an SP in the designated area wishes to host the meeting, they should contact the PA and meeting costs may be optional. The PA will be exempt from paying meeting fees to attend First Implementation Meetings, but will be responsible for meeting notification, arrangements, facilitation, and documenting and distribution of meeting summaries.

7.2.3 Forecast Report Date

The Forecast Report Date is the deadline for SPs to report their forecasted thousands-block demand to the PA using the Thousands-Block Forecast Report (Appendix 1). The Thousands-Block Forecast Report will be used by the PA to establish the industry inventory pool.

7.2.4 Block Protection Date

SPs are required to protect thousands-blocks with 0% up to and including 10% contamination from further contamination after the Block Protection Date, unless the SP does not have adequate supply in their inventory to fill customer requests (this does not include a request by a customer for a vanity number). The time interval from when SPs protect thousands-blocks (Block Protection Date) to when they identify thousands-blocks for donation to the PA (Block Donation Identification Date) requires considerable verification work by SPs so that all available TNs are identified (see Section 7.2.6). The length of this interval should depend upon the quantity of contaminated thousands-blocks to be donated.

7.2.5 Block Donation Identification Date

SPs will use the Appendix 2 form to identify all thousands-blocks that will be donated to the industry inventory pool. An SP should use the Other Information section if block(s) donated have any special status or treatment, e.g., restricted use, chatline, etc.

SPs may retain a thousands-block if they can demonstrate that:

- a) the thousands-blocks are required to meet the SP's 6-month projected forecast beyond the Pool Start /Allocation Date, or
- b) there are technical reasons which justify retaining the thousand-blocks such as TNs that are assigned to non-portable services, e.g. packet switched service.

- c) this is their initial block or “footprint” block even if the thousands-block is less than ten percent contaminated³⁷.

Subsequent to the Block Donation Identification date but prior to the Block Donation date, the SP may discover an error on Appendix 2 that was submitted to the PA. If so, the SP should contact the PA and indicate the necessary correction.

Retention of these thousands-blocks is subject to an audit(s) by the designated auditor and to appropriate appeal procedures (see Section 11.0).

7.2.6 PA Assessment of Industry Inventory Surplus/Deficiency

For each thousands-block number pooling area, the PA will evaluate whether there will be enough thousands-blocks donated to create an industry inventory pool with enough supply to meet the aggregate forecasted demand for TNs for 6 months beyond the Pool Start/Allocation Date. If the PA believes there will be insufficient supply to meet this demand, the PA will request additional NXX codes from the CO Code Administrator in an expedited manner to assure adequate supply exists prior to the Pool Start/Allocation Date (see Section 7.4.4, Step 2 for the process to select a LERG Assignee). If the PA determines there is an excess supply beyond the 6-month inventory level, any full NXX Codes in excess will be returned to the CO Code Administrator. Any excess individual thousands-blocks will be kept in the industry inventory pool.

The PA will post the assessment of the pool to the PA website for SP's to view the results of the surplus/deficiency determination.

SPs are required to verify available TNs in thousands-blocks which they intend to donate to assure they are not assigned in switches, billing systems, etc. The SP will complete intra-service provider ports on unavailable TNs in contaminated blocks which they are donating, including TNs assigned to resellers, Type 1 providers, etc., by the Block Donation Date. The porting of unavailable TNs in contaminated blocks in advance of the Pool Start/Allocation Date will allow the recipient Block Holder the ability to determine which TNs are unavailable upon allocation of the thousands-block.

In addition, SPs will ensure that all donated thousands-blocks are within NXXs that have been flagged as LNP capable in the LERG Routing Guide and the NPAC, and that the associated (donor) switch(es) are LNP-capable and ready to process terminating traffic. The donated thousands-blocks shall be ready for allocation and use on the Pool Start/Allocation Date.

The normal interval between the PA Assessment of Industry Inventory Surplus/Deficiency Date and the Block Donation Date is 66 calendar days which allows for CO Code activation to populate the industry inventory pool if needed.

³⁷ FCC 00-104 ¶191

7.2.7 Block Donation Date

SPs are required to donate protected thousands-blocks (see Section 7.2.4) at the Block Donation Date. Intra-SP porting of all unavailable TNs within all thousands-blocks that are being donated to the industry inventory pool by SPs is to be completed by the Block Donation Date. SPs should notify the PA in writing if the activities required in the thousands-block donation phase have not occurred by the Block Donation date. SPs should not donate any thousands-blocks that will be required to maintain their inventory for 6 months beyond the Pool Start/Allocation Date. Thousands-blocks donated by SPs to the PA to initialize the industry inventory pool will be summarized by the PA, per NPA. The PA will provide this summarized data³⁸ to Telcordia™ Routing Administration (TRA), in a format agreed upon between the PA and TRA after the Block Donation Date and prior to Pool Start/Allocation Date that takes into consideration a time frame requirement for the PA to compile the data. This data should be provided within 2 business days.

After the Block Donation Date:

- If block donations are submitted using Appendix 2 via PAS, the PA shall process the donation within 7 calendar days. If donations are submitted by any other method, the PA has an additional two business days for processing.
- For any donations from a non-pooled NXX, the AOCN is responsible for entering its specified routing and rating information for those retained thousands-blocks. The retained thousands-block will not appear in the LERG Routing Guide until the AOCN has performed this task.
- For any subsequent donations of previously retained blocks from a pooled NXX, the block(s) to be donated must be disconnected by the AOCN in BIRRDS before donation. An SP should use the Other Information section in Appendix 2 if block(s) donated have any special status or treatment, e.g., restricted use, chatline, etc.

Prior to donating the thousands-block(s)/NXX code(s) to the industry inventory pool, SPs must confirm that:

- a) all unavailable TNs within contaminated thousands-block(s)/NXX(s) have been intra-service provider ported;
- b) the associated NPA/NXX is currently available for call routing and is flagged as LNP capable in the LERG Routing Guide and the NPAC, and the NPA-NXX

³⁸ From this data, the identification of thousands-blocks that have been retained by the Code Holders can be determined. TRA will then initialize the data for the retained thousands-blocks in BIRRDS resulting in creation of the BCD/NXD records. Within this process, the LERG Assignee is the CO Code Holder donating the thousands-blocks. All appropriate data associated with the CO Code Holder will be used to build the BCD/NXD records for those thousands-blocks retained by the SP. The Effective Date for all thousands-block(s) retained by the LERG Assignee will be the same as the Block Donation Date.

query triggers are applied in all switches and reflected in the appropriate network databases (e.g., STP routing tables);

- c) the NXX-assigned switch is currently LNP-capable and will process terminating traffic appropriately;
- d) interconnection facilities have been established between the NXX-assigned switch and other interconnecting networks;
- e) a Part 4 is returned to the same administrator (NANPA or PA) with whom the SP initiated the Part 1 request; and
- f) an SP should use the Other Information section if block(s) donated have any special status or treatment, e.g., restricted use, chatline, etc.

The interval between the Block Donation Identification Date and the Block Donation Date will be determined by industry consensus. However in no case will the interval be less than 30 calendar days.

Subsequent to the Block Donation date, the SP may have a need to retrieve a block they had previously donated to the pool. Likely reasons could be errors in reported block contamination levels, assignments made after block protection, customer request, etc. Via email with the PA, the SP may exchange its own blocks. If this cannot be accommodated, then the SP must apply for the block via a Part 1A. In the case where the SP needs one of its own blocks back but cannot meet the MTE/utilization, the PA may agree to hold the block until requirements are met or the SP may seek appropriate regulatory intervention.

If a pending LNP port exists for an unavailable TN(s) within a contaminated thousands-block that is being donated, the two SPs involved in the LNP port must work cooperatively to resolve the pending port. This process could be accomplished by having the recipient SP of the LNP port, cancel the pending LNP port so that the donating SP can perform the intra-SP port for thousands-block donation purposes. Afterwards, the recipient SP of the LNP port, would then re-establish the pending LNP port. Another alternative would be to have the SPs involved attempt to advance the pending LNP port through contact with the NPAC.

The quantity of pending LNP ports (not intra-SP ports) that must be addressed should be considered by the industry when establishing the overall schedule for thousands-block donation. A large quantity of pending LNP ports may require a longer interval between the Block Donation Identification Date and Block Donation Date. This information may not be available at the First Implementation Meeting.

Failure to address all pending ports at the time of thousands-block donation will result in a rejection of the NPAC activation when that thousands-block is

subsequently allocated to an SP following industry inventory pool establishment.
See Section 8.3.8

7.2.8 Pool Start/Allocation Date

The Pool Start/Allocation Date is the date that 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. The Pool Start/Allocation Date may be as few as 5 business days following the Block Donation Date: two days are necessary to allow the NPAC download of intra-SP ports to occur and to allow the PA to compile the necessary data; the additional three days are for the initialization of the data in BIRRDs. The Pool Start/Allocation Date may also be established beyond 5 business days following the Block Donation Date, depending on local circumstances.

7.2.9 Mandated Implementation Date

The date identified by the appropriate regulatory body by which thousands-block number pooling is to be implemented.

7.3 Ongoing Industry Inventory Pool Administration

Should a rate area be altered (e.g., consolidated, boundary change) after a thousands-block number pooling environment has been established, the PA will select the necessary implementation milestones from those outlined in the Establishment of the Thousands-block number pooling Implementation Timeline (see Section 7.1) to effect the required change to the industry inventory pool.

The size of the industry inventory pool will be a 6-month supply for each rate area. The SP's inventory for each rate area may be up to a 6-month supply.

Examples:

- If an NPA Overlay conforms exactly to the existing NPAs geographic area, the existing industry inventory pools should not require that any additional thousands-block number pooling implementation milestones be identified by the PA, nor should it be treated as a separate industry inventory pool from the existing industry inventory pool.
- Rate Center Consolidation (RCC) may require that some milestones outlined in Section 7.1 be identified to re-size the industry inventory pool. The necessary milestones for the PA to identify will be dependent on the specific characteristics of each thousands-block number pooling area and the requirements needed to modify the existing industry inventory pool.

7.4 Replenishment of the Industry Inventory Pool

7.4.1 The PA shall monitor the supply of available thousands-blocks in the industry inventory pool for each of the rate areas being administered. This includes, but is not limited to, anticipating the demand upon the industry inventory pool, replenishing the supply based on thousands-block forecasts, and meeting SP requests for thousands-blocks that cannot be filled from available thousands-blocks in the industry inventory pool.

SPs are not required to donate thousands-blocks for ongoing replenishment of the industry inventory pool.

7.4.2 New NXX codes will be used to replenish the industry inventory pool after the initial industry inventory pool has been established. Thousands-blocks reclaimed by the PA will also be used to replenish the industry inventory pool. SPs may also voluntarily return any resources to assist in the replenishment of the industry inventory pool, including any resources in SP's inventory within thousands-block number pooling rate areas, from both embedded resources as well as thousands-blocks allocated to an SP by the PA. SPs should first return all uncontaminated thousands-blocks before returning any contaminated thousands-blocks for industry inventory pool replenishment. For reclamation procedures, see Section 9.0.

7.4.3 Prior to requesting a new NXX code(s) from the CO Code Administrator to replenish the industry inventory pool, the PA may send a request via email asking that SPs voluntarily return (using Part 1A) any thousands-blocks or donate (via Appendix 2) any thousands-blocks or non-pooled NXX codes that are no longer needed based on their 6-month inventory forecast.

Prior to donating the thousands-block(s)/NXX code(s) to the industry inventory pool, SPs must confirm that:

- a) all unavailable TNs within contaminated thousands-block(s)/NXX(s) have been intra-service provider ported;
- b) the associated NPA/NXX is currently available for call routing and is flagged as LNP capable in the LERG Routing Guide and the NPAC, and the NPA-NXX query triggers are applied in all switches and reflected in the appropriate network databases (e.g., STP routing tables);
- c) the NXX-assigned switch is currently LNP-capable and will process terminating traffic appropriately;
- d) interconnection facilities have been established between the NXX-assigned switch and other interconnecting networks.; and
- e) an SP should use the Other Information section if block(s) donated have any special status or treatment, e.g., restricted use, chatline, etc.

- 7.4.4 The following steps provide the process flow and activation procedures for the addition of central office codes in order to provide additional thousands-blocks to the industry inventory pool to meet immediate or forecast demand:

Step 1 - The PA utilizes SPs' forecasts to determine that additional thousands-blocks are required to maintain a 6-month supply for the industry inventory pool for a specific rate area. Additionally, the PA may require new NXX Codes to replenish the industry inventory pool to meet an SP's request that cannot be filled from thousands-blocks available in the industry inventory pool.

Step 2 - The PA selects a LERG Assignee for growth codes to be added to the industry inventory pool from a list of SPs that have a forecasted need. The LERG Assignee receives a thousands-block(s) from the NXX assigned to ensure that responsibilities in 4.2.1 are maintained. However, once the responsibilities of the SP outlined in 4.2.1 of the TBPAG are fulfilled and the SP determines that the block is not needed, the SP does have the option of returning the block to the PA. If the LERG Assignee requires the assignment of an LRN, the LERG Assignee shall select the LRN from its assigned thousands-block(s). The PA will follow the order below to select a LERG Assignee:

1. An SP requiring an LRN. A unique LRN is required for each LNP capable switch/POI that serves subscriber lines or otherwise terminates traffic per LATA. LRNs are to be used for routing and not for rating/billing calls.
2. An SP volunteering to be the LERG Assignee who meets the MTE and utilization threshold requirements.
3. Participating SPs with a forecasted need that also meet the MTE and utilization threshold requirements will be selected on a rotational basis. An SP with a forecasted need cannot refuse to become a LERG Assignee, except for technical limitations, or if any SP is a LERG Assignee for greater than 50% of the pooled NXX Codes within that rate area.

Step 3 - The LERG Assignee, designated in Step 2, is responsible for completing the Central Office Code (NXX) Assignment Request - Part 1 form and submitting it to the PA. The PA will then forward that Part 1 to the CO Code Administrator. The LERG Assignee is also responsible for submitting the Thousands-Block Application Forms - Part 1A to the PA for the thousands-block(s) retained. If the SP is retaining multiple blocks and the routing information is different for those blocks, then a Part 1B must be submitted.

Where the LERG Assignee has requested a dedicated NXX Code to meet a specific customer request, the LERG Assignee is responsible for completing the Thousands-Block Months to Exhaust and Utilization Certification Worksheet - TN Level

(Appendix 3) and submitting it to the PA. In this instance, the LERG Assignee should not be required to submit Thousands-Blocks Forms Part 1A or Part 1B.

The LERG Assignee shall also include the names of both the PA and the LERG Assignee on the Central Office Code (NXX) Assignment Request - Part 1 form (Code Applicant section) so that the CO Code Administrator can provide a Part 3 response directly to both the PA and the LERG Assignee. The LERG Assignee, or its designate, is also responsible for inputting the BIRRDS information for the NXX Code assigned.

When the PA is unable to fill an SP thousands-block application, the PA will select a LERG Assignee per Step 2, request the LERG Assignee to fill out a Central Office Code (NXX) Assignment Request - Part 1 form and return it to the PA who will forward it to the CO Code Administrator. The selected LERG assignee must complete the Central Office Code (NXX) Assignment Request - Part 1 form and return it to the PA within two business days. The Central Office Code (NXX) Assignment Request - Part 1 form will include the selected LERG Assignee and a proposed Code Effective Date that should allow for the industry standard activation interval of 66 calendar days.

Step 4 - The CO Code Administrator reviews the Central Office Code (NXX) Assignment Request - Part 1 form and, within 14 calendar days, notifies the PA and the LERG Assignee of the NXX Code(s) assignment.

Step 5 - The CO Code Administrator inputs LERG Assignee information into the ACD record of BIRRDS, using Central Office Code (NXX) Assignment Request - Part 1 form data (NPA, NXX, OCN, and Effective Date.).

- Step 6 - Within seven (7) calendar days upon receipt of the NXX Code assignment from the CO Code Administrator, the PA informs the LERG Assignee of the NXX Code and thousands-block(s) assigned using the Thousands-Block Application Forms, Part 3 – Pooling Administrator's Response/Confirmation. . During this step, the PA will also build the BCD record for thousands-block(s) being allocated to the LERG Assignee. The information entered on the BCD record will include OCN of the Block Holder, AOCN for switch update, the thousands-block range, switch ID and thousands-block Effective Date. The Effective Date for all thousands-block(s) assigned to the LERG Assignee will be the same as the Effective Date of the CO Code. All other thousands-blocks from the CO code used to replenish the industry inventory pool can not become effective until 1 business day after the Effective Date of the CO code.

Step 7 - Within seven (7) calendar days of notification by the CO Code Administrator, the LERG Assignee, or its designee, inputs Part 2 information from the Central Office Code (NXX) Assignment Request into BIRRDS.

7.5 Pooling Administrator's Responsibilities When Requesting CO Codes

7.5.1 The PA, when applying to the CO Code Administrator for additional NXX Codes for industry inventory pool growth, demonstrates that existing thousands-blocks for the rate area will exhaust within 6 months with the Months to Exhaust Certifications Worksheet-1000 Block Level (Appendix 4).³⁹

The PA, when forwarding the LERG Assignee's application to the CO Code Administrator for additional NXX Codes for the industry inventory pool, will complete and attach aggregated industry inventory pool data supporting the application in order to meet the Months to Exhaust Worksheet requirement for a CO Code assignment. This data will be supplied on the Thousand Block Pooling Months To Exhaust Certification Worksheet - 1000 Block Level form (Appendix 4). The aggregated data should include:

- thousands-blocks available for assignment;
- growth history of thousands-blocks, or equivalent information, for the past 6 months; and
- projected demand for thousands-blocks in the next 12 months.

7.5.3 The PA, when applying to the CO Code Administrator for an NXX Code to a) satisfy the needs of an SP's single customer requiring 10,000 consecutive TNs or b) be assigned for LRN purposes, will forward the Thousands-Block Months to Exhaust and Utilization Certification Worksheet - TN Level (Appendix 3) that is supplied to the PA by the requesting SP and covers:

- a) TNs available for assignment;
- b) incremental growth history of new TNs for the past 6 months (does not include ported-in TNs); and
- c) projected incremental demand for TNs in the next 12 months.

The PA must forward this Thousands-Block Months to Exhaust and Utilization Certification Worksheet – TN Level (Appendix 3) information to the CO Code Administrator.

The PA will forward the CO Code Part 4 form to the CO Code Administrator. The SP to whom the NXX has been assigned is responsible for providing the CO Code Part 4 (Assignment Request and Confirmation of Code In Service) to the PA that

³⁹ FCC 00-104, §52.15 (g) (3) (i) (A)

confirms that the NXX obtained to meet an SP's single customer request for a full NXX Code has been placed in service.

7.5.4 Before allocating blocks from a new NXX that was assigned for use in an industry pool, the PA must verify with the LERG Assignee that the code has been activated in the PSTN. This step ensures that blocks allocated to other SPs will be viable.

8.0 Allocation of Thousands-Blocks

8.1 Criteria for Thousands-Block Allocation

The following criteria shall be used by the PA in reviewing a thousands-block request from an SP:

- a) requests for thousands-block assignments shall not be made more than 6 months prior to the requested Effective Date;
- b) the applicant must be licensed or certified to operate in the rate area, if required, and must demonstrate that all applicable regulatory approvals required to provide the service for which the thousands-block is required have been obtained;⁴⁰
- c) the applicant must be able to provide documented proof that they are or will be capable of providing service within 60 calendar days of the numbering resource activation date for initial codes. Self certification will not be acceptable.⁴¹
- d) the applicant must demonstrate a need for a thousands-block(s);⁴²
- e) multiple thousands-blocks may be requested on one Thousands-Block Applications Forms - Part 1A - General Application Information form. The Part 1A application form is structured per switch, per rate area;
- f) a separate Thousands-Block Applications Form - Part 1B - NPAC Block Holder Data form must be submitted for each thousands-block requested;
- g) the applicant should have requested their own contaminated thousands-block from the industry inventory pool;
- h) the SP could have refused the assignment of a thousands-block when it did not meet their technical limitations and/or administrative constraints;
- i) thousands-blocks shall not be allocated to satisfy requests for vanity TNs;

40 FCC 00-104, ¶96

41 FCC 00-104, ¶ 96-97 § 52.15 (g) (2) (ii)

42 FCC 00-104, ¶ 104 & 105 §52.15 (g) (3) (ii)

- j) the applicant has provided the required semi-annual forecast and utilization information to the PA in order to be assigned a thousands-block (see Section 6.0);⁴³
- k) the applicant must record the following categories of telephone numbers for reporting utilization: 1. Administrative; 2. Aging; 3. Assigned; 4. Available; 5. Intermediate; and 6. Reserved, for purposes of the forecast and utilization reporting required above.⁴⁴

8.2 Application Process

An SP requiring an LRN⁴⁵ will not be assigned an NXX for the sole purpose of establishing an LRN (either as an initial or growth NXX in a rate area) unless that service provider's switch or subtending POI does not yet have an LRN for the LATA where the SP intends to provide service. LRNs are to be used for routing and not for rating/billing calls.

For an initial LRN request, the PA must ensure that the applicant satisfies the license and/or certification and facilities readiness requirements. For a growth LRN request, the PA must ensure that the applicant satisfies the MTE (Month to Exhaust) and utilization requirements.

However, if an SP meets the criteria for the allocation of a thousands-block for a particular switch/POI and already has an LRN associated with that switch/POI, the PA may assign an NXX to the SP, if the SP documents one of the following situations in an e-mail or fax to the PA and includes the Part 1A tracking number for reference:

- When there are multiple tandems owned by different SPs in a single LATA, the requesting SP may obtain a new NXX in order to establish an LRN for each subtending POI. E-mail or fax to PA must include the Tandem CLLIs of the subtending POIs involved.
- Regulatory waivers granted to ILECs to carry local calls across a LATA boundary may exist. In such instances, SPs may be justified in establishing an additional LRN to properly route calls. E-mail or fax to PA must include a copy of the regulatory waiver.
- A unique LRN is required for each NPAC region within a single LATA when a single switch serves multiple NPAC regions. E-mail or fax to PA must include applicable NPAC region(s) and/or SP SOA limitations.

⁴³ FCC 00-104, §52.15 (f)(6)(i)

⁴⁴ Section 9.1 (i); FCC 00-014, ¶14, ¶16

⁴⁵ SPs are encouraged to read the INC "Location Routing Number Assignment Practices" (INC 98-0713-021).

If the SP does not meet the criteria for obtaining an NXX, but seeks a new NXX to establish an LRN, the SP shall follow the process for obtaining a waiver, as set forth in Section 11.2. Such regulatory authority may be the state commission wherever the state commission has the appropriate jurisdiction.

- 8.2.1 The applicants for thousands-block assignments shall submit their requests to the PA using the electronic Thousands-Block Application Forms found on the PA Web site or via an interface by Electronic File Transfer (EFT) . No requests and/or form submission will be accepted via fax, paper, voice, or e-mail, except in extraordinary circumstances and/or previously agreed to by the PA. Where the applicant requires the assignment of a full NXX code, the applicant should so indicate on the Thousands-Block Application Forms, Part 1A. Electronic transfer or e-mail will be accepted as “official signature.”
- 8.2.2 The applicant should indicate on the Thousands-Block Application Forms – Part 1A – General Application Information form, if any thousands-block (i.e., 0-9) is acceptable or whether for technical limitations and/or administrative reasons, only certain thousands-blocks may be assigned to them. Specific thousands-blocks may be requested on the application. The applicant may also indicate a requirement, or a preference, for sequential numbering resources.
- 8.2.3 The PA receives the thousands-block request (Thousands-Block Application Forms, Parts 1A and 1B) from the SP and the Thousands-Block Months to Exhaust and Utilization Certification Worksheet – TN Level (Appendix 3). Additional information and/or dialogue may be required by the PA with the applicant to facilitate application processing. The PA is required to respond to the applicant within seven (7) calendar days of receipt of the block request. If a full CO Code is needed to fulfill the applicant’s request, see Section 7.4.4.
- 8.2.4 Applicants requiring an Effective Date more than 33 calendar days after the date the PA receives the application should specify their desired Effective Date. An application without an Effective Date will be assigned the standard PA-assigned minimum Effective Date of 24 calendar days after the Allocation Date; this allows the standard 5 days for AOCN entry of data into BIRRDS plus the standard 19-day notification interval. The PA shall always assure a minimum of 24 calendar days between the Allocation Date and the Effective Date, unless requested otherwise through the expedite process (see Section 8.6).

SPs must allow at least two calendar days beyond the Effective Date prior to activating TNs within the assigned thousands-block. For example, if the Effective Date is October 28, XXXX, an SP can start assigning TNs on October 30, XXXX. This is necessary in order to allow for NPAC processing and downloading to occur.

The 21 calendar day notification interval (i.e., from AOCN input of thousands-block data into BIRRDS through completion of NPAC processing) is necessary because of some SP's internal company notification processes (19 days) and the 2-day NPAC update. It should be noted that interconnection arrangements and facilities need to be in place prior to activation of a thousands-block. Such arrangements are outside the scope of these guidelines.

- 8.2.5 An SP may exchange an assigned thousands-block with the PA only if the desired thousands-block and the assigned thousands-block are in the same rate area, are uncontaminated, and the desired thousands-block is available for assignment. The request for the exchange must be made prior to the effective date of the assigned thousands-block being exchanged. The PA will assign a new effective date to the desired block that still must be placed into service within six months of the original effective date provided on the Part 3 of the originally-assigned block.

8.3 Processes for Allocation of Thousands-Blocks

- 8.3.1 One process involves the initial allocation of thousands-block(s) to an SP without numbering resources in a rate area.

An SP entering an established industry inventory pool with no numbering resources within the rate area is required to provide the PA a thousands-block forecast prior to the allocation of a thousands-block(s) as detailed in Section 6.0. The PA will allocate the appropriate quantity of thousands-blocks to the new SP based on its request as detailed in Section 5.2 and Section 5.3. The PA may review any application for reasonableness and request additional information from the applicant as necessary.

- 8.3.2 Another process involves the initial allocation of thousands-blocks from the industry inventory pool to an SP with numbering resources in a rate area.

An SP entering an established industry inventory pool, who has numbering resources within the rate area will, prior to requesting numbering resources from the industry inventory pool:

- a) provide a thousands-block forecast; and
- b) donate thousands-blocks to the industry inventory pool as outlined in Section 7.0.

- 8.3.3 The need for an initial thousands-block assignment occurs only when an SP initiates service in a rate area.

If the applicant is deploying a new switching entity/POI in that rate area which requires the assignment of an LRN, the Block Applicant will indicate on the Thousands-Block Application Forms - Part 1A - General Application Information

form, the need for assignment of a new NXX Code.⁴⁶ In this case, the requesting SP becomes the LERG Assignee. In instances where the applicant does not designate a particular rate area for LRN assignment purposes, the PA should recommend and gain the SP's concurrence regarding which rate area should be used for assignment of an NXX Code and ensure efficient utilization of numbering resources.

8.3.4 For growth thousands-block allocations, the following applicable criteria shall be used by the PA in reviewing a thousands-block request from an SP:

- a) The applicants must demonstrate that existing numbering resources for the rate center will exhaust within 6 months. In the MTE calculation, SPs must include every numbering resource in the rate center, regardless of NPA. An exception occurs in cases where a rate center is split among multiple NPAs due to a regulatory order by a state commission. Should that occur, the MTE calculation shall be based on only those numbering resources in the rate center and particular NPA for which additional resources are being requested.⁴⁷
- b) The applicants must meet the following utilization thresholds⁴⁸
- c) Unless the applicant requests a specific thousands-block, the PA should select the thousands-block for assignment based upon the following order:
 - 1) SP's own donated contaminated thousands-blocks;
 - 2) SP's own donated, uncontaminated thousands-blocks (first attempting to use the 0,1,8 and 9 thousands-blocks);
 - 3) uncontaminated thousands-blocks from other SPs (first attempting to use the 0,1,8 and 9 thousands-blocks); and
 - 4) contaminated blocks from other SPs.
- d) When the applicant requests a specific thousands-block, the PA should assign the block if available in the industry inventory pool. If not, the PA should follow the procedure outlined above.

There is an exception for state commissions that are currently using a utilization threshold pursuant to delegated authority that exceeds 60%. These state commissions may continue to use their alternate utilization threshold in those rate areas as long as it does not exceed the FCC's established ceiling of 75%;⁴⁹

The quantitative information required to meet the utilization threshold and Months To Exhaust (MTE) for a growth thousands-block(s) request is on the Thousands-Blocks Months to Exhaust and Utilization Certification Worksheet - TN Level (Appendix 3).

46 FCC 00 429 ¶ 33

47 FCC 00 429 ¶ 29

48 FCC 00 429 §52.15 (h)

49 FCC 00 429 ¶ 23

The thousands-block applicant should retain a copy in the event of an audit or regulatory initiative. The SP will supply additional supporting information to the PA including:

- 1) TNs available for assignment,
- 2) incremental growth history of new TNs for the past 6 months,
- 3) projected incremental demand for new TNs in the next 12 months; and
- 4) utilization threshold.

8.3.5 The PA is responsible for creating the BCD record in BIRRDS with the required thousands-block assignment information. The BCD record must be created within seven (7) calendar days from receipt of the block application. Required thousands-block information includes the following data elements: OCN of the Block Holder, AOCN for switch update, the thousands-block line range, switch ID and block Effective Date. The BCD record will also display the rate area of the assigned NXX code as shown on the NXX ACD record. The rate area information is for informational purposes only for the PA. The AOCN is responsible for entering its specified routing and rating information for the thousands-block within five (5) calendar days of the issuance of the Part 3. The thousands-block assignment will not appear in the LERG Routing Guide daily updates until the AOCN has performed this task.

As of November 8, 2002, the AOCN is responsible for entering its specified routing and rating information for the thousands-block with the issuance of the Part 3. The thousands-block assignment will not appear in the LERG Routing Guide until the AOCN has performed this task. If the AOCN does not enter the information in sufficient time to allow for a 19-day notification interval prior to the thousands-block effective date, the effective date will be automatically changed in the appropriate TRA databases to ensure a minimum 19-day notification interval.

8.3.6 The PA issues the Part 3 - Pooling Administrator's Response/Confirmation form to the SP and issues the Part 1B, NPAC Block Holder Data form, to the NPAC as confirmation of thousands-block allocation, except when the thousands-block is being allocated back to the LERG Assignee and is going back to the donating switch. The NPAC will create the NPA-NXX-X Holder Information Table within seven (7) calendar days of notification for all thousands-blocks allocated to SPs, except when the thousands-block is being allocated back to the LERG Assignee and it is going back to the donating switch.

8.3.7 When a contaminated thousands-block is allocated, the PA will notify the thousands-block applicant that the allocated thousands-block(s) is contaminated. The thousands-block applicant is responsible for obtaining a list from the LNP data bases

of unavailable TNs within the contaminated thousands-block that are not available for the thousands-block applicant's use.

- 8.3.8 Should the NPAC experience any problem with the initial activation of an allocated thousands-block (e.g., if all pending ports have not been addressed), the NPAC will notify the PA before attempting to perform subsequent thousands-block creation. In the event all pending ports have not been addressed and is the cause for rejection, the PA will contact the LERG Assignee (i.e., the Block Donor) to take steps to resolve any pending ports that were not addressed during thousands-block donation. The LERG Assignee will resolve the issue and provide notification back to the PA within five (5) business days of being contacted by the PA.
- 8.3.9 In instances where a pooled unavailable TN is assigned to more than one customer served by different SPs (i.e., Block Holder and LERG Assignee) due to an error made by the LERG Assignee in the population of unavailable TNs in the LNP data base at the time of donation, the customer of the original SP (i.e., the customer to whom the TN was originally assigned) shall retain assignment of the TN. The Block Holder shall assign their customer a new TN.
- 8.3.10 A thousands-block assigned to an SP should be placed in service by the applicable activation deadline, that is, six months after the original effective date returned on the Part 3 and entered on the BCD/BCR screen in BIRRDs. Confirmation that the block has been placed in service is mandatory. If the PA does not receive the Part 4 – Confirmation of NXX-X Block In Service, the PA will start the reclamation process within 60 calendar days of the expiration of the applicable activation deadline by referring instances of unactivated thousands-blocks to the relevant state commission (see Section 9.1.3)⁵⁰. If the SP identifies that it will not meet the activation deadline, due to circumstances beyond its control, the SP may request an extension from the state commission.

8.4 Thousands-Block Transfer Process

The criteria below will apply when the block is in use with active customers and one or more of the following conditions are met:

1. TNs are assigned and /or reserved for a single customer;
2. the customer has ported TNs to another SP that is not the Block Holder;
3. merger or acquisition;
4. Type 1 to Type 2 migration;
5. both SPs involved mutually agree to the transfer of the thousands-block.

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

- 8.4.1 The following criteria will be used by the PA in reviewing a thousands-block transfer request for a pooled-NXX:
- a) The applicant (SP receiving the thousands-block to be transferred) must submit a complete Thousands-Block Application Forms - Part 1A and Part 1B. In addition, the applicant requesting the thousands-block transfer must also provide written confirmation from the current Block Holder agreeing to the transfer and the reason for the transfer. The PA should ensure that the transfer is mutually acceptable.
 - b) Upon confirmation from both parties, the PA will modify the thousands-block record in BIRRDS for the thousands-block to be transferred to reflect the OCN, Effective Date and AOCN for switch update of the SP to which the thousands-block will be transferred. To the extent necessary, the PA will coordinate the change with TRA.
 - c) The PA will notify the recipient SP when the thousands-block record has been successfully modified in BIRRDS. It is the responsibility of the SP receiving the thousands-block to enter, or arrange for the entry of, any changes to BIRRDS data (e.g., switch ID) associated with transfer of the thousands-block.
- 8.4.2 In cases where an SP is requesting to transfer a thousands-block within a non-pooled NXX to another SP and change the NXX from a non-pooled NXX to a pooled-NXX, the following criteria will be used:
- a) The LERG assignee must send an email to the PA with the NPA-NXX, OCN and switch information of the non-pooled NXX. In addition, the LERG assignee must provide which thousands-block(s) will be transferred to the new block holder and the reason for the transfer.
 - b) The PA will add the non-pooled NXX data into PAS and create the BCD records for all ten thousands-block(s) in BIRRDS within 7 calendar days. The PA will reply back to the email sent by the LERG assignee, confirming that the non-pooled NXX data has been added to PAS and the BCD records have been created.
 - c) It is the responsibility of the LERG assignee to create all ten NXD-X records in BIRRDS in order to allow the new block holder to update its information in BIRRDS.
 - d) It is the responsibility of the SP receiving the thousands-block to enter,

or arrange for the entry of, any changes to BIRRDS data (e.g., switch ID) associated with transfer of the thousands-block.

The process now continues at step 8.4.1 as above.

8.5 Ongoing Administration of Allocated Thousands-Blocks and Notification of LERG Routing Guide Changes

8.5.1 The information associated with a thousands-block assignment or thousands-block(s) being retained may change over time. The PA must be notified of an OCN or Block Effective Date change for thousand-blocks which have already been assigned. Changes should be made as submitted by SPs on the Thousands-Block Application Forms, Part 1A & Part 1B, to indicate the information to be updated. For data integrity reasons, the PA must be informed of these types of changes to ensure that the record of the entity responsible for the thousands-block and the data associated with the thousands-block is accurate.

8.5.2 In addition to the above direction, LERG assignees also must submit any changes or disconnects on the Part 1 for pooled NXXs to the PA, by sending a Part 1 to the PA who will forward it to NANPA. Changes or disconnects on the Part 1 for non-pooled NXXs in a pooling rate area must be sent to NANPA, unless the PA received the original request for the non-pooled NXX.

8.5.3 After the PA has created the thousands-block record on the BCD screen, but prior to the thousands-block Effective Date, the PA, upon notification by the SP, as noted in 8.5.1, is responsible for making changes to any fields on the BCD screen, including Switch ID. If changes are made to the Switch ID field after the thousands-block Effective Date, the Block Holder must update the Switch ID in the BIRRDS.

SPs are not able to update thousands-block number pooling data in BIRRDS until the BCD is created for the thousands-block and the Effective Date of the thousands-block has passed. SPs are limited as to the information they can update on the BCD. SPs can only update the Switch ID field; the PA can only update all other fields.

8.5.4 The resulting SP in a merger/acquisition must revise and provide a new, consolidated forecast for numbering resources. The holder of a thousands-block assigned by the PA or acquired by other means such as transfer (e.g., by merger or acquisition), must use the thousands-block consistent with these guidelines. Additionally, the new Block Holder must participate in an audit process as necessary.

8.6 Expedite Process for Thousands-Block Allocation

An SP request for an expedited thousands-block allocation will occur on an exception basis. The following procedures enable an SP to request an expedited

allocation of a thousands-block(s). The expedite procedures below do not eliminate the Block Holder and PA responsibilities described in Section 8.5.

- a) An SP may send a request to the PA requesting an expedited allocation of a thousands-block(s).
- b) The requesting SP will indicate on the Thousands-Block Application Forms – Part 1A that this is an expedited request for an allocation with its desired Effective Date.
- c) The PA will process the application if the request meets the criteria for the allocation of the thousands-block(s) and will make every effort to process the application in fewer than the current maximum 7-calendar days. The PA will expedite such requests when it can do so without failing to meet its 7-calendar day allocation interval for other SPs. The PA will determine the minimum Effective Date for an expedited request based upon the following considerations:
 - 1) If the thousands-block applicant is the LERG Assignee, and no NPAC notification is required, the Effective Date must be at least nine **calendar** days after the Part 3 Allocation Date. This allows for the PA and AOCN to update BIRRDs for LERG Routing Guide daily updates. The AOCN must agree to perform the BIRRDs update in two **calendar** days rather than the standard five **calendar** days.
 - 2) If the thousands-block allocated requires NPAC notification, the Effective Date will be no earlier than eight **business** days after allocation: three **business** days to build the thousand block ownership table and five **business** days for a potential first 'port' notification.
- d) The SP will activate the thousands-block and can begin customer assignments as soon as all NPAC processing and notification has occurred.

NOTE: SPs requesting an expedited assignment of thousands-block(s) should be aware that there are potential impacts to other SPs and customers. This may affect customer service to the extent that an SP is unable to identify the SP to whom a thousands-block has been assigned when responding to a customer trouble report.

9.0 Reclamation and Return of Thousands-Blocks

This section outlines the various responsibilities of the Block Holder and the PA with respect to the reclamation and return of thousands-blocks under a thousands-block number pooling arrangement. In addition, the various circumstances under which reclamation and return of thousands-blocks can be initiated are enumerated in this section.

Reclamation refers to the process by which service providers are required to return numbering resources to the Pooling Administrator under the direction of state regulators.⁵¹

If a state commission declines to exercise the authority delegated to it, the entity designated by the FCC to serve as the PA shall exercise this authority with respect to NXX code reclamation. The PA shall consult with the Common Carrier Bureau prior to exercising the authority delegated to it in this provision and shall provide service providers an opportunity to explain the circumstances causing the delay in activating and commencing assignment of their numbering resources prior to initiating reclamation. This does not imply that the PA has the independent authority to grant block extensions.

9.1 LERG Assignee/Block Holder Responsibility

9.1.1 If the LERG Assignee no longer provides service in the rate area associated with the NXX code, they must notify the PA. SPs should not change routing information in appropriate databases until the PA has processed the application and responded with a Part 3. Appendix 7 outlines the process to be followed.

9.1.2 The Block Holder to which a thousands-block(s) has been assigned from the industry inventory pool shall return the thousands-block(s) to the PA if:

- a) it is no longer needed by the entity for the purpose for which it was originally assigned;
- b) the service it was assigned for is disconnected; or
- c) the thousands-block(s) was not placed in service within six months of the original block effective date returned on the Part 3 and entered onto the BCR/BCD screen in BIRRDS.

9.1.3 If the thousands-block(s) was not placed in service within six months of the original block effective date returned on the Part 3 and entered onto the BCR/BCD screen in BIRRDS, the assignee may apply to the appropriate State Commission point of contact⁵² for an extension date. Such an extension request must include the reason for the delay and a new in service time commitment (i.e. applicable activation deadline).⁵³ The assignee must apply to the appropriate FCC point of contact if the appropriate state commission has declined to exercise its delegated reclamation authority. If an extension is approved, the regulator will notify the assignee and the PA of the new in service deadline and indicate to whom the Part 4 should be sent.

⁵¹ FCC 00-104, § 52.15 (i) (1). If state commissions do not make decisions on NXX-X reclamations the FCC can order the PA to be responsible for reclamation activities. In such instances, the PA should consult with the FCC before conducting this activity: FCC 00-104, ¶ 237.

⁵² FCC 00-104, § 52.15 (i) 2,4,5,& 6

⁵³ FCC 00-104, §52.15 (i) 6

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 the PA website.

9.2 Pooling Administrator Responsibility

9.2.1 The PA as directed by the appropriate state commission point of contact, or by the FCC point of contact, will reclaim resources in the inventory of pool participants from both embedded resources as well as thousands-blocks allocated to an SP by the PA.

9.2.2 The PA will contact any thousands-block assignee identified as not having returned to the administrator for reassignment any thousands-block(s) that were:

- a) allocated, but no longer in use by the assignee(s);
- b) allocated for a service no longer offered;
- c) allocated, but not placed in service within six months of the original block effective date returned on the Part 3 and entered onto the BCR/BCD screen in BIRRDS;
- d) allocated, but not used in conformance with these guidelines.

9.2.3 If the PA has not received a Part 4 during the first five months following the original block effective date returned on the Part 3 and entered onto the BCR/BCD screen in BIRRDS, then the PA will send, via facsimile/electronic mail, a reminder notice to the block assignee. The notice will be sent during the first ten calendar days of the sixth month, and will direct the assignee to do one of the following by the end of the sixth month after the block effective date:

- If the block is in service, submit a Part 4 to the PA.
- If the block is no longer needed or not in service, return the block by submitting a Part 1A.
- Or request an extension per Section 9.1.4.

During the first ten calendar days of each calendar month, the PA will prepare and forward a spreadsheet of all existing and newly identified delinquent blocks to the appropriate state commission. Spreadsheets for those states that have declined to exercise their reclamation authority will be forwarded to the FCC. The PA must await further direction from the FCC or appropriate state commission for further action. If the FCC or appropriate state commission directs the PA to reclaim the block, the PA will notify the block holder advising them of the effective date of the disconnect of the block.

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

- 9.2.4 The PA must also notify and coordinate with the LERG Assignee in advance of the thousands-block return Effective Date to allow sufficient time for the LERG Assignee to update switch translations in order to provide blank number treatment for the returned thousands-block(s). The thousands-block will be made available by the PA for re-assignment after 90 calendar days.
- 9.2.5 Whether a thousands-block is reclaimed or voluntarily returned, the PA is responsible for entering a disconnect in the BIRRDs(BCD record). This information includes the following data elements: OCN of the Block Holder, AOCN for switch update, the thousands-block line range, switch ID and thousands-block reclamation Effective Date.
- 9.2.6 If the reclaimed or returned thousands-blocks have been entered into the NPAC, the PA must also notify the NPAC of those thousands-blocks by completing the NPAC Thousands-Block Reclamation form, Part 5, Sections A and B. Notification should include the thousands-block range and the effective date of the return. Upon completion of reclamation at the NPAC, the NPAC will notify the PA, LERG Assignee and Block Holder that the thousands-block has been removed from the NPAC by completing, Part 5, Section C of the NPAC Thousands-Block Reclamation form.

10.0 Jeopardy Situations

10.1 NPA Jeopardy Situations

When it is determined by the CO Code Administrator(s) based on the NPA Code Relief Planning & Notification Guidelines (INC 97-0404-016) that an NPA is in jeopardy⁵⁴, the PA will participate in the NPA jeopardy activities. The industry inventory pool participants are encouraged to also participate.

The PA and SPs will follow the jeopardy procedures outlined in the CO Code Assignment Guidelines (INC 95-0407-008). It is understood that the PA will continue to assign blocks on a first come, first served basis if pool inventory is available.

10.2 Critical Industry Inventory Insufficiency

A critical industry inventory insufficiency exists for a rate area when the available

⁵⁴ A jeopardy NPA condition exists when the forecasted and/or actual demand for NXX resources will exceed the known supply during the planning/implementation interval for relief.

resources in the industry inventory pool for a particular rate area fall below the actual and/or forecasted demand for the next 66 calendar days. The PA:

- a) will continue to assign thousands-blocks on a first come, first served basis;
- b) should request that SPs voluntarily return thousands-block(s); and
- c) should not reduce SP inventories to replenish the industry inventory pool.

11.0 Appeals and Safety Valve Process

11.1 Appeals Process

Disagreements may arise between the PA and Block Holders/Applicants in the context of the administration of these guidelines. In all cases, the PA and Block Holders/Applicants will make reasonable, good faith efforts to resolve such disagreements amongst themselves, consistent with these guidelines, prior to pursuing any appeal. Appeals may include, but are not limited to, one or more of the following options:

- a) The Block Holder/Applicant will have the opportunity to resubmit the matter to the PA for reconsideration with or without additional input.
- b) Guidelines interpretation/clarification questions may be referred to the body responsible for maintenance of these guidelines, currently the INC. 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 PA and Block Holders/Applicant may pursue the disagreement with the appropriate regulatory authorities or their designate.

11.2 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.⁵⁵

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.

12.0 Intra Service Provider Block Porting

Within the same rate center, Intra SP Porting can be used to port a thousands block of numbers from one switch to another using a port type of "pool". This can be used in an area where pooling has or has not been established. A Service Provider has the option of selecting from two methods: Option 1 dealing with the PA, Option 2 dealing directly with the NPAC.

- Option 1 is described in Section 12.1 below
- Since Option 2 does not have PA involvement, Option 2 is not described in these guidelines. Details on Option 2 can be found in the NPAC Methods and Procedures.⁵⁶

12.1 Option 1-PA

SP initiates intra SP block porting request (port type of "pool") by filling out the Part 1B form and submits request to the Pooling Administrator.

1. PA checks the form to make sure it has been filled out completely. In a pooling area for non-pooled NXXs when the pooling indicator is set to N, the PA will change the indicator to I. In a non-pooling NPA, the PA will not be responsible for making any LERG changes. If requested, the PA updates the BCD screen with the switch ID. The PA checks to see whether the block has been donated to the pool. If the block has been donated to the pool, the PA will deny the request. The PA will update the tracking database if necessary.
2. PA sends the Part 3 form to the SP.
3. PA forwards the completed Part 1B form to the NPAC.
4. NPAC negotiates a different effective date if necessary with the PA. This will be done if the NPAC cannot meet the effective date on the Part 1B.
5. NPAC builds block table for pooled and non-pooled NXXs.
6. On effective date NPAC downloads designated block with a port type of "pool".
7. NPAC completes the Part 1B form reflecting completion.
8. NPAC forwards the completed Part 1B form to the SP and PA.

12.2 Option 2-NPAC

⁵⁵ FCC 01-362 §52.15 (g) (5)

⁵⁶ NPAC M&P is available on the NPAC Secure site (www.npac.com/secure/). SPs should make inquiries directly with NPAC regarding questions on the M&P.

Since Option 2 does not have PA involvement, Option 2 is not described in these guidelines. Details on Option 2 can be found in the NPAC Methods and Procedures.

12.3 Disconnecting an Intra Service Provider Ported Thousands Block

There may be circumstances where an SP requires a previously intra SP ported thousands block of numbers to be disconnected from the NPAC (in order to “snap-back” to the original switch).

- Option 1 PA - In cases where the PA set the pooling indicator to an “I” and created BCD records in BIRRDs, notify the PA via email to set the pooling indicator to an “N” and disconnect the BCD records.
- Option 2 NPAC - Details on how to disconnect a thousands block of numbers can be found in the NPAC Methods and Procedures.
- In both Options, the disconnect intervals may be different depending on the reason for the initial intra Service Provider port, e.g., inventory management or dedicated customer move.

13.0 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 National Pooling Administrator
1800 Sutter Street, Suite 780
Concord, CA 94520
866-638-7665
poolingsupport@neustar.biz
www.nationalpooling.com

14.0 Glossary

Activation Deadline	Six months from the original effective date returned on the Part 3 and entered on the BCR/BCD screen in BIRRDS. A Part 4 should be returned to the Pooling Administrator by this date.
Active Block	A thousands-block assigned by the PA and implemented in the PSTN for specific routing requirements as of the block effective date.
Administrative Constraint/Reason	A limitation of the Point of Interconnection or Switching Entity where an existing block and/or TNs cannot be used for designated network routing and/or rating of PSTN calls. An example of a constraint would be the limitation in the administration of a thousands-block across multiple switches in a rate area and would require a waiver from the FCC Commission.
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. FCC 00-104 §52.15 (f)(1) (i). Subcategories of administrative numbers are: test numbers, employee/official numbers, Location Routing Numbers, Temporary Local Directory Numbers (TLDN), soft dial tone numbers and wireless E911 emergency service routing digit/key (ESRD/ESRK) numbers. (FCC 00-104 ¶ 36).
Administrative Operating Company Number (AOCN)	A four character numeric or alphanumeric that identifies the administrator of one (or more) data record contained in (BIRRDS). 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.
Affected Parties	Affected parties are a) those entities that have applied for and/or received thousands-block (NXX-X) assignments within the NXX code b) administrative entities involved in number administration, number portability or number pooling.

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 calendar days. (FCC 00-104 §52.15 (f)(1) (ii) See Erratum in CC Docket 99-200, released July 11, 2000).</p> <p>An aging interval includes any announcement treatment period, as well as the vacant telephone number intercept period. A number is disconnected when it is no longer used to route calls to equipment owned or leased by the disconnecting subscriber of record.</p>
Allocated/Assigned Block	<p>A thousands-block is allocated/assigned to an SP when the block information has been entered into BIRRDs by the PA.</p>
Allocation Date	<p>The Allocation Date is the date established by the PA when the PA officially makes the block assignment to an SP.</p>
Applicant	<p>SPs who submit a block request to the PA for the purpose of being assigned a thousands-block for their use.</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. (FCC 00-104 §52.15 (f)(1) (iii)) Ported-out numbers should be included as a subcategory of assigned numbers. (FCC 00-104 ¶ 36).</p>
Audit	<p>The accumulation and evaluation of evidence about documented information of an auditee to determine and report on the degree of compliance with INC industry guidelines.</p>

Auditee	The SP/NANPA/PA that is the subject of an audit.
Auditor	The FCC Common Carrier Bureau's Audits Branch of the Accounting Safeguards Division or its other designated agents perform audits of US numbering resources. (FCC 00-429 ¶ 90). State Commissions also may conduct audits. (FCC 01-362 ¶101).
Authorized Representative of an Applicant	A person from an applicant's organization or its agent that has the legal authority to take action on behalf of the applicant.
Available Numbers	Available numbers are numbers that are available for assignment to subscriber access lines, or their equivalents, within a rate area and are not classified as assigned, intermediate, administrative, aging, or reserved. Available numbers is a residual category that can be calculated by subtracting a sum of numbers in the assigned, reserved, intermediate, aged, and administrative primary categories from the total of numbers in the inventory of a code or block holder (FCC 00-104 §52.15 (f)(1) (iv)).
Block Applicant	See "Applicant."
Blocks Available for Assignment	Thousands-blocks (NXX-X) within the industry inventory pool rate area which are within an NPA/NXX that is flagged as LNP capable in the LERG Routing Guide and the NPAC, and which are available for assignment within the SP's rate area.
Block Donation Date	The deadline for SPs to donate their thousands-block(s).
Block Donation Identification Date	The deadline for SPs to report their surplus of thousands-blocks to the PA. This is also the date when SPs may begin to port all TNs in contaminated thousand blocks that they are donating to the pool. All blocks to be donated must be portable in the NPAC and LERG Routing Guide.

Block Exhaust	<p>a) When used by the Block Holder in applying for additional thousands-blocks, a point in time at which the quantity of TN's within existing thousands-block(s) which have been assigned to the Block Holder equals zero for a rate area.</p> <p>b) When used by the PA in applying for additional NXX codes, block exhaust is defined as a point in time at which the quantity of thousands-blocks within the rate area which are "available for assignment" equals zero.</p>
Block Holder	The entity to which a thousands-block (NXX-X) has been assigned for use.
Block Protection Date	The deadline for SPs to donate their thousands-blocks. This is also the date by which all providers participating in thousands-block number pooling in the NPA must have all their Intra Service provider ports completed. Five business days later, Telcordia will update the LERG Routing Guide with thousands-blocks SPs are retaining.
BIRRRDS	The Telcordia™ Business Integrated Routing and Rating Database System contains data in the routing and rating of calls. Contains a complete description of all Local Exchange Companies' networks in the NANP Area and pertinent information relating to the networks of other code holders. This provides information for, (1) message routing, (2) common channel signaling call setup routing, and (3) operator service access routing. Data supports all CO Codes assigned through these Guidelines, as well as all CO Codes in place prior to the existence of these Guidelines, and covers all Numbering Plan Areas (NPAs) administered under the North American Numbering Plan (NANP).
Central Office (CO) Code	The sub-NPA code in a TN, i.e., digits D-E-F of a 10-digit NANP Area address. Central office codes are in the form "NXX", where N is a number from 2 to 9 and X is a number from 0 to 9. Central office codes may also be referred to as "NXX codes" (47 C.F.R. § 52.7(c)).

Certify	The authorization of a carrier by a regulator to provide a telecommunications service in the relevant geographic area. FCC 00-104 § 52.15 (g) requires that applications for initial numbering resources include evidence that the applicant is authorized to provide service in the area for which numbering resources are being requested.
CLLI™	A <i>CLLI Location Identification Code</i> is an eleven-character alphanumeric descriptor used to identify switches, points of interconnection, and other categories of telephony network elements and their locations. Companies that are licensees of Telcordia™ COMMON LANGUAGE® Products can refer questions to their company's COMMON LANGUAGE Coordinator. If you do not know if you are a licensee, do not know your Coordinator, or are a licensee with questions regarding CLLIs, call the COMMON LANGUAGE Hotline, 877-699-5577. Alternatively, or if you are <i>not</i> a licensee, obtain further information at www.commonlanguage.com . (COMMON LANGUAGE is a registered trademark and CLLI is a trademark of Telcordia Technologies, Inc.)
CO Code Administrator	Entity(ies) responsible for the administration of the NXX codes within an NPA.
Code Holder	An assignee of a full NXX code which was allocated by the CO Code Administrator. Where the Code Holder is participating in thousands-block number pooling, the Code Holder becomes a LERG Assignee at the Block Donation Date.
Company Code	See "OCN" (<i>Operating Company Number</i>).
Conservation	Consideration given to the efficient and effective use of a finite numbering resource in order to minimize the cost and need to expand its availability in the introduction of new services, capabilities and features.

Contamination	Contamination occurs when at least one telephone number within a thousands-block of telephone numbers is not available for assignment to end users or customers. Blocks contaminated up to and including 10 percent are eligible for donation. For purposes of this provision, a telephone number is “not available for assignment” if it is classified as administrative, aging, assigned, intermediate, or reserved as defined in FCC rules (FCC 00-104, §52.7 (h)).
Critical Industry Inventory Insufficiency	Critical industry inventory insufficiency exists for a rate area when the available resources in the industry inventory pool for a particular rate area fall below the actual and/or forecasted demand for the next 66 calendar days.
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)
Donation	The term “donation” refers to the process by which carriers are required to contribute telephone numbers to a thousands-block number pool (FCC 00-104, §52.7(i)).
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.”)
Employee/Official Number	A number assigned by a service provider for its own internal business purposes. See “Administrative Numbers” definition.
Forecast Report Date	The deadline for SPs to report their forecasted thousands-block demand using the Thousands-Block Forecast Report (Appendix 1) to the PA.

INC	Industry Numbering Committee (INC) 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.
Initial Block	An initial block or “footprint” block is the first NXX-X block that a service provider receives in a rate area where the SP has no other assigned resources (FCC 00-104, ¶ 47 and 191, §52.50 (C) (2)).
In Service	A code or block for which local routing information has been input to the LERG Routing Guide <i>and</i> the carrier has begun to activate and assign numbers within the NXX code or NXX-X block to end users (FCC 00-104, ¶240).
Intermediate Numbers	Intermediate numbers are numbers that are made available for use by another telecommunications carrier or non-carrier entity for the purpose of providing telecommunications service to an end user or customer. Numbers ported for the purpose of transferring an established customer’s service to another service provider shall not be classified as intermediate numbers (FCC 00-104, §52.15 (f) (1) (v)). Numbers such as dealer number pools should be included as a subcategory of intermediate numbers. (FCC 00-104 ¶ 36).
Intra-service Provider Port	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 area to another switch serving the same rate area 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 (FCC 00-104, §52.7 (j)).
(Industry) Inventory Pool	Used in thousands-block number pooling to describe a reservoir of unallocated thousands-blocks administered by the PA for purposes of assignment to SPs participating in thousands-block number pooling.
Jeopardy	A jeopardy condition exists when the forecasted and/or actual demand for NXX code 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 Telcordia™ LERG™ Routing Guide contains information about the local routing data obtained from the BIRRDS. This information reflects the current network configuration and scheduled network changes for all entities originating or terminating PSTN calls within the NANP. Contact Information: Telcordia Routing Administration (TRA) 8 Corporate Pl. 3N141 Piscataway, NJ 08854-4156 732-699-6700 tra@telcordia.com
LERG Assignee	The SP responsible for default routing functions associated with a pooled NXX code.
LNP Port	The process of moving a TN from one SP to another SP using LRN-LNP technology. See also “Intra-Service Provider Port” definition.

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.

Mandated Implementation Date The date identified by the appropriate regulatory body by which thousands-block number pooling is to be implemented.

Months to Exhaust When used by SPs to document the need for an additional block:

$$= \frac{\text{TNs Available for Assignment}}{\text{Average Monthly Growth Rate}}$$

When used by the PA to document the need for an additional CO Code:

$$= \frac{\text{Blocks Available for Assignment}}{\text{Average Monthly Growth Rate}}$$

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

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

NANP Area	Consists of the United States, Canada and the Caribbean countries. (Anguilla, Antigua, Bahamas, Barbados, British Virgin Islands, Canada, Cayman Islands, Dominica, Dominican Republic, Grenada, Jamaica, Montserrat, St. Kitts & Nevis, St. Lucia, St. Vincent, Turks & Caicos Islands, Trinidad & Tobago, and the United States (including Puerto Rico, the U.S. Virgin Islands, Guam and the Commonwealth of the Northern Mariana Islands).
North American Numbering Plan, Numbering Resource Utilization/Forecasting Report (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 Report Guidelines.
NPA	<p>Numbering Plan Area, also called area code. An NPA is the 3-digit code that occupies the A, B, and C positions in the 10-digit NANP format that applies throughout the NANP Area. NPAs are of the form NXX, where N represents the digits 2-9 and X represents any digit 0-9. In the NANP, NPAs are classified as either geographic or non-geographic.</p> <ul style="list-style-type: none">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.
NPAC SMS	The NPAC Service Management System is a database which contains all necessary routing information on ported TNs and facilitates the updating of the routing databases of all subtending SPs in the portability area.

NPA Code Relief	NPA code relief refers to an activity that must be performed when an 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.
OCN (Operating Company Number)	An Operating Company Number (OCN) is a four place alphanumeric code that uniquely identifies providers of local telecommunications service. OCN assignments are required of all SPs in their submission of utilization and forecast data (FCC 00-104 ¶ 41 and Public Notice DA 00-1549). Relative to CO Code assignments, NECA-assigned Company Codes may be used as OCNs. Companies with no prior CO Code or Company Code assignments contact NECA (800 524-1020) to be assigned a Company Code(s). Since multiple OCNs and/or Company Codes may be associated with a given company, companies with prior assignments should direct questions regarding appropriate OCN usage to Telcordia™ Routing Administration TRA on 732-699-6700.
Point of Interconnection (POI)	The physical location where an SP's connecting circuits interconnect for the purpose of interchanging traffic on the PSTN.
Pooling Administrator (PA)	The term Pooling Administrator refers to the entity or entities responsible for administering a thousands-block number pool (FCC 00-104, §52.7 (g)).
Pool Start/Allocation Date	The date the PA may start allocating thousands-blocks from the industry inventory pool to SPs. This is also the start date for SPs to send requests for thousands-blocks to the PA.

Premature Exhaust	<p>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).</p> <p>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.</p>
Public Switched Telephone Network (PSTN)	<p>Public Switched Telephone Network. 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.</p>
Rate Area	<p>Denotes the smallest geographic area used to distinguish rate boundaries.</p>
Reassignment	<p>The process of reestablishing the assignment of a thousands-block, which was previously assigned to another SP or to a new SP.</p>
Reporting Carrier	<p>Refers to a telecommunications carrier that receives numbering resources from the NANPA, a Pooling Administrator or another telecommunications carrier.</p>
Reseller	<p>An SP which purchases facilities and/or services from another SP for resale. Also see "Intermediate Numbers" above.</p>
Reserved Numbers	<p>Reserved numbers are numbers that are held by service providers at the request of specific end users or customers for their future use. Numbers held for specific end users or customers for more than 180 calendar days shall not be classified as reserved numbers (FCC 00-104, §52.15 (f) (1) (vi)).</p>

Service Provider (SP)	The term “service provider” refers to a telecommunications carrier or other entity that receives numbering resources from the NANPA, a Pooling Administrator or a telecommunications carrier for the purpose of providing or establishing telecommunications service (FCC 00-104, §52.5 (i)).
Service Provider Inventory	The inventory of all geographic NANP TNs allocated by the CO Code Administrator/PA to a Code/Block Holder.
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.
Switching Entity	An electromechanical or electronic system for connecting lines to lines, lines to trunks, or trunks to trunks for the purpose of originating/terminating PSTN calls. A single switching system may handle several central office codes.
Technical Requirement, Reason, Limitation or Constraint	A limitation of the Point of Interconnection or Switching Entity where an existing thousands-block and/or TNs cannot be used for designated network routing and/or routing of PSTN calls. Examples that constitute “technical constraint” include limitations on a switch, network element or planning constraint, CPE limitations or unique AIN Triggers.
Test Number	A TN(s) assigned for inter- and intra-network testing purposes. See “Administrative Numbers” definition.
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.
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 Number Pooling	Thousands-block number pooling is a process by which the 10,000 numbers in a central office code (NXX) are separated into ten sequential blocks of 1,000 numbers each (thousands-blocks), and allocated separately within a rate center (FCC 00-104, §52.20 (a)).

Type 1
Interconnection
Service Provider

A wireless SP that utilizes Type 1 (trunk side with line treatment) interconnection with another SP's end office switch.

Utilization Threshold

The Service Provider's current numbering resource (Indigenous Telephone Numbers) utilization level for the rate center in which it is seeking growth numbering resources.

The numbering resource utilization level shall be calculated by dividing all assigned numbers by the total numbering resources in the applicant's inventory and multiplying the result by 100. Numbering resources activated in the LERG Routing Guide (within the preceding 90 days of reporting utilization levels may be excluded from the utilization threshold calculation.

All applicants for growth numbering resources shall achieve a 60% utilization threshold, calculated in accordance with FCC 00 429 § 52.15 (g)(3)(ii), for the rate center in which they are requesting growth numbering resources.

The initial utilization threshold of 60% shall be effective May 2001. The utilization threshold shall be increased by 5% on June 30, 2002, and annually thereafter until the utilization threshold reaches 75%. (FCC 00 429 § 52.15 (h))

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

15.0 Reference

The following "rules" have been incorporated into this document.

- a) 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"
- b) 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"
- c) FCC 00-280 – *Order*, released July 31, 2000 are referenced by the footnote in the format "FCC 00-280"
- d) FCC 204771 – *Erratum*, released August 3, 2000 are referenced by the footnote in the format "FCC 204771"
- e) FCC 00-333 – *Order*, released August 31, 2000 are referenced by the footnote in the format "FCC 00-333"
- f) 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....."

- g) FCC 209297 – Errata, released January 24, 2001 are referenced by footnote in the format "FCC 209297....."
- h) 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....."