



CONNECTICUT

Modified - UNP Trial (NXX-XXX BLOCK NUMBER PORTING)

ADMINISTRATION GUIDELINES

11/1/02

Disclaimer: This Modified - UNP Trial is not "UNP" as defined by the FCC. However, it will demonstrate the number utilization impact of "UNP." Thousands-blocks already donated for pooling will be identified as part of the Modified – UNP Trial to operate as if they were existing inventory from “surrogate” carriers.

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TENS-BLOCK APPLICATION FORMS

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| Attachment 1 | Part 1A | Tens-Block Application Form |
| Attachment 2 | Part 3 | Tens-Block Response/Confirmation Form |
| Attachment 3 | Part 4 | Tens-Block In Service Confirmation Form |
| Appendix 1 | | Tens-Block User Profile Application |

1.0 Purpose and Scope

This document specifies guidelines for the administration and assignment of unassigned numbers to Local Number Portability (LNP)-capable service providers (SPs) participating in the Modified - UNP Trial for use at a switching entity or point of interconnection (POI) they own or control. In facilitating its assessment of the feasibility of UNP as a national numbering resource optimization strategy, the Federal Communications Commission has requested that the Connecticut Department of Public Utility Control provide its Common Carrier Bureau with information concerning the implementation of UNP in Connecticut. The industry in Connecticut has proposed and will implement an initial trial phase that utilizes a third party administrator that manages and administers blocks of ten consecutive telephone numbers. All unassigned number requests and necessary forms will be submitted by SPs to the Administrator by filling out the appropriate form on the Administrator Web Site.¹ No form submissions will be accepted via fax, paper, voice, or email, except in extraordinary circumstances and/or if previously agreed to by the Administrator. An industry database (see 5.1.(g)) 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 Administrator database. In addition, these guidelines outline the processes used between the Administrator and:

- Local Exchange Routing Guide (LERG) Assignees
- The 1K Pooling Administrator
- Number Portability Administration Centers (NPAC)
- Regulatory Agencies

Unassigned number porting, in the context of these guidelines, allows for sharing of numbers in individual tens-blocks (NPA-NXX-XXX) 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 unassigned number (NPA-NXX-XXX) level.

Where unassigned number porting has not been implemented, or is not in use by a SP, the SP shall continue to apply directly to the CO Code Administrator or 1K Block Pooling Administrator (PA) for numbering resources. For numbering needs in a rate area expected to exceed 500 numbers, SPs shall apply for resources directly from the 1K Block Pooling Administrator. Guidelines addressing the assignment of Central Office Codes (NXXs) are covered under the Central Office Code (NXX) Assignment Guidelines (INC 95-0407-008). Guidelines addressing the assignment of Thousands-Blocks (NXX-Xs) are covered under the Thousands-Block (NXX-X) Pooling Assignment Guidelines (INC 99-0127-023).

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

¹ 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 1)

2.0 Assumptions and Constraints

The development of these Modified - UNP Trial 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 often with oversight by the regulatory authorities in areas served by the NANP. The decision to establish a tens-block number pool in any given location is a regulatory responsibility.
- 2.2 The Administrator will obtain the necessary SP documentation to establish and administer the tens-block number pool.
- 2.3 These administration guidelines apply only to the assignment of tens-block numbers to Applicants providing service within most rate areas:
 - a) where SP Location Routing Number (LRN) Local Number Portability (LNP) has been implemented; and
 - b) where Modified - UNP has been mandated by the appropriate regulatory body; or
 - c) where Modified - UNP has been voluntarily implemented for trial purposes by participating SPs.
- 2.4 These administration guidelines were prepared jointly by NeuStar and the Connecticut Industry to be followed on a voluntary basis.
- 2.5 Applicants requesting resources from the tens-block number pool:
 - a) must be licensed or certified to operate in the rate area, as required, and must demonstrate that all applicable regulatory approvals required to provide the service for which the unassigned number is required have been obtained;
 - b) Must have a valid NRUF on file;
 - c) 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;
 - d) shall minimize the use of TNs within tens-blocks for purposes other than subscriber assignments (e.g., test numbers);
 - e) shall be subject to audits to assure compliance with these guidelines, processes and principles (see Section 5.4); and
 - f) shall be capable of providing service within sixty (60) days of the numbering resource activation date for applications for initial resources within the rate center.²

² FCC 00 104, §52.15; (g), (2), (ii)

- 2.6 The schedule of holidays recognized by the Administrator will affect the administration of these guidelines. Holidays will not be considered a “calendar day” as a part of any timing of unassigned number allocations in association with these guidelines.
- 2.7 Audits of the Administrator and Unassigned Number Applicants/holders, will be performed by a designated neutral party to:
- a) ensure uniformity in application of these guidelines by the Administrator to all unassigned number requests received by the Administrator;
 - b) ensure compliance with these guidelines by Applicants and the Administrator; and
 - c) ensure the efficient and effective use of numbering resources by Applicants/holders and efficient and effective management of numbering resources by the Administrator.
- 2.8 These guidelines were developed assuming that tens-block numbers assigned to a carrier would be immediately ported by the receiving carrier rather than the numbers being left in the administrator's number pool and ported one-by-one only as the numbers were eventually assigned to end-users.
- 2.9 Changes to the INC Guidelines will be reviewed for potential changes to the Modified UNP Guidelines where applicable.

3.0 Unassigned Number Assignment Principles

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

- 3.1 The Administrator will sequentially assign tens-blocks to block applicants from the available inventory.
- 3.2 An SP's requirement for more than 500 numbers, a 1K block, or NXX Code (i.e., 10,000 TNs), shall be obtained from the Pooling Administrator, not the Modified - UNP Administrator or CO Code Administrator.
- 3.3 Numbering resources in the tens-block number 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 The information required of applicants for unassigned number assignments shall be kept to a minimum and shall be uniform for all applicants. All information provided on the Tens-Block Number Application Forms, Part 1A (Attachment 1) will be considered confidential.
- 3.5 Numbers received in tens-block assignments have the same rate area restrictions that the pooled block from which they're assigned has: the NPA-NXX rate area association of the block must be honored by the tens-block assignee in its assignment of the tens-block numbers to its end-users. All SP rate area boundaries, which cover the same geographic area, will participate in a single tens-block number pool.

- 3.6 Any SP that is denied the assignment of one or more tens-block(s) under these guidelines has the right to appeal that decision per Section 7.0.
- 3.7 Where Modified - UNP has been implemented, the Administrator will assign numbering resources in increments of 10 sequential numbers from pristine blocks where possible. The tens-blocks will be assigned beginning with the units digit 0 and ending with 9. Resources will be available for assignment from both contaminated and pristine thousands-blocks contained in the tens-block number pool. Contamination occurs when at least one telephone number within a 1K block of telephone numbers is not available for assignment to end users or customers. If TNs are provided from a contaminated block, not all numbers within some of the ten-number increments released by the administrator will be available for assignment to an end-user by the carrier receiving the tens-block. For purposes of this provision, a telephone number is “not available for assignment” if it is classified either a pending or active ported number shown at NPAC:³

4.0 Service Provider Responsibilities

See Section 2.5

5.0 Administrator Responsibilities

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

- 1) General Administration Duties
- 2) Assignment Processes
- 3) Reporting Processes
- 4) Audits

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

5.1 General Administration Duties

The Administrator, upon request, shall provide information and answer questions for clarification regarding Modified - UNP Trial administration processes, procedures, interfaces, and services. Additionally, the Administrator shall provide, upon request of the Modified - UNP Trial participant, information on how to obtain documents related to Modified - UNP Trial 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 Administrator shall:

- a) be responsible for activities associated with the tens-block number pool establishment;
- b) assure the availability, based upon industry established criteria, of numbering resources within the tens-block pool for a given rate area;

³ Refer to FCC 00-104 (See Appendix Z, §52.7; (h))

- c) provide copies of the Modified - UNP Trial guidelines when requested by Modified - UNP block applicants, including timely notification of changes;
- d) assist the CO Code Administrator and Pooling Administrator in analyzing and helping to resolve problems related to misrouted calls and calls that cannot be completed;
- e) make available on their web site the Administrator-recognized holidays and distribute as necessary;
- f) log and track all Modified - UNP block applications using a tracking mechanism which will enable the Administrator and Applicant to identify a specific tens-block number request; and
- g) build and maintain an industry database 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 thousands-blocks available for tens-block assignment in the industry inventory pool (i.e., NPA-NXX-XXX level information displayed),
 - 2) status of the unassigned tens-blocks i.e., allocated/assigned, available,
 - 3) identification of the SP to which the tens-blocks has been allocated
- h) the Administrator shall provide 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 1 – User Profile Applications).

5.2 Assignment Processes

The Administrator shall:

- a) receive all requests for tens-block unassigned numbers from SPs and validate the requests to ensure each applicant meets the criteria to request tens-block numbers;
- 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, AOCN (Administrative Operating Company Number), Tens-Block Effective Date;
- c) assist tens-block pool participants, as necessary, with the completion of all Tens-Block forms;
- d) allocate the tens-blocks sequentially from pristine blocks;
- e) select the specific unassigned numbers for assignment, or provide the reason to the SP why the assignment cannot be made;

- f) respond to the applicant's request(s) within 7 calendar days following receipt of the request by issuing the Part 3 - Administrator's Response/Confirmation form (Attachment 2) to the applicant.

5.3 Reporting Processes

The Administrator shall:

- a) prepare and publish reports as required by the industry, and regulatory authorities;
- b) treat SP specific data submitted to them as confidential and only publish data that has been aggregated;
- c) At end of the Modified - UNP Block Trial, numbers not assigned to end-users will be returned to the administrator. This is accomplished by a carrier with an unassigned trial number sending a "disconnect" message to NPAC for each inactive trial number and thus letting the industry's snap-back process take care of "returning" the number to the pooled thousand block. No action is required for numbers assigned to end-users. When the end-users eventually disconnect, the numbers will be returned like-wise to the pool (or to the then assigned block owner) through the snap-back process. The administrator can obtain a report from NPAC for each thousand block immediately prior to and immediately after the clean-up activity to determine any utilization information it may require for its final report on the trial.⁴

5.4 Audits

In the performance of its duties and in meeting its responsibilities, the Administrator 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 Administrator 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 Administrator may be required to provide SP specific data to an auditor in order to facilitate the audit process.

6.0 Allocation of Tens -Block Numbers

6.1 Criteria for Tens-Block Number Allocation

The following criteria shall be used by the Administrator in reviewing a tens-block request from a SP:

- a) requests for tens-block assignments shall not be made more than 6 months prior to the requested Effective Date;

⁴ Note: This will require permission of the NAPM LLC.

- b) the applicant must demonstrate that all applicable regulatory approvals required to provide the service for which the tens-block is required have been obtained;⁵
- c) applicants for initial resources must be able to provide documented proof that they are or will be capable of providing service within 60 days of the numbering resource activation date;⁶
- d) the applicant must demonstrate a need for a tens-block;⁷
- e) multiple tens-blocks may be requested on one Applications Form - Part 1A (Attachment 1) Tens-Block Application form. The Part 1A application form is structured per switch, per rate area;
- f) Tens-Block Numbers shall not be allocated to satisfy requests for vanity TNs;

6.2 Application Process

- 6.2.1 The applicants for tens-block assignments shall submit their requests to the Administrator using the Tens-Block Application Forms found on the Administrator’s Web site. 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 Administrator. Electronic transfer or e-mail will be accepted as “official signature.”
- 6.2.2 The Administrator receives the Tens-Block Application Forms, (Part 1A) from the SP and the Tens–Block Months to Exhaust Certification Worksheet – TN Level (Appendix 3). Additional information and/or dialogue may be required by the Administrator with the applicant to facilitate application processing. The Administrator is required to respond to the applicant within seven (7) calendar days of receipt of the request.
- 6.2.3 Applicants requiring an Effective Date more than 28 calendar days after the date the Administrator receives the application should specify their desired Effective Date. An application without an Effective Date will be assigned the standard Administrator-assigned minimum Effective Date of 19 calendar days after the Allocation Date. The Administrator shall always assure a minimum of 19 calendar days between the Allocation Date and the Effective Date, unless requested otherwise through the expedite process (see Section 6.4).

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

This 21 calendar day interval (i.e., from tens-block allocation through completion of NPAC processing) is necessary because of some SP’s internal company notification processes, etc. It should be noted that interconnection arrangements and facilities need

⁵ FCC 00-104, ¶96

⁶ FCC 00-104, ¶ 96-97 § 52.15 (g) (2) (ii)

⁷ FCC 00-104, ¶ 96-97 §52.15 (g) (2) (ii)

to be in place prior to activation of a tens-block. Such arrangements are outside the scope of these guidelines.

6.3 Process for Allocation of Tens-Blocks

6.3.1 For growth tens-block allocations, the following applicable criteria shall be used by the Administrator in reviewing a tens-block request from an SP:

The applicant must demonstrate that existing numbering resources for the rate center will exhaust within 6 months. The quantitative information required for a growth Tens-Block request is on the Tens-Blocks Months to Exhaust Certification Worksheet - TN Level (Appendix 3). The tens-block applicant should retain a copy in the event of an audit or regulatory initiative. In addition, the applicant must supply the Tens-Block Months to Exhaust Certification Worksheet and additional supporting information to the Administrator including:

- a) TNs available for assignment,
- b) incremental growth history of new TNs for the past 6 months, and
- c) projected incremental demand for new TNs in the next 12 months.

6.3.2 A tens-block assigned to a SP should be placed in service by the applicable activation deadline, that is, six months after the original effective date returned on Part 3 (Attachment 2). Confirmation that the tens-block has been placed in service is mandatory by submitting the Part 4 (Attachment 3) form to the Administrator. If the SP identified that they will not meet the deadline, due to circumstances beyond their control, the SP may request an extension.⁸ If the Administrator does not receive the Part 4 (Attachment 3) Confirmation of the tens-block in service, the Administrator will start the reclamation process within 60 calendar days of the expiration of the applicable deadline.

6.4 Expedite Process for Tens-Block Allocation

A SP request for an expedited tens-block allocation will occur on an exception basis. The following procedures enable a SP to request an expedited allocation of a tens-block.

- a) The requesting SP will indicate on the Tens-Block Application Form – Part 1A (Attachment 1) that this is an expedited request for an allocation with its desired Effective Date.
- b) The Administrator will process the application if the request meets the criteria for the allocation of the tens-block and will make every effort to process the application in fewer than the current maximum 7 calendar days. The Administrator will expedite such requests when it can do so without failing to meet its 7 calendar day allocation interval for other SPs. The Administrator will determine the minimum Effective Date for an expedited request based upon the following considerations:

⁸ FCC 00-104, § 52.15 (i)(6)

- 1) If the tens-block allocated requires NPAC notification and is the first “port” within the NXX code, the Effective Date will be no earlier than twelve (12) calendar days after allocation (5 calendar days to build the 1K Block ownership table, 5 calendar days for a first “port” and 2 calendar days for LSMS downloads).
 - 2) If the tens-block allocated requires NPAC notification but is not the first “port”, then the Effective Date will be at least two business days after the Allocation Date.
- c) The SP will activate the tens-block and can begin customer assignments as soon as all NPAC processing and notification has occurred.

7.0 Appeals Process

Disagreements may arise between the Modified - UNP Administrator and Modified - UNP Trial applicants in the context of the administration of these guidelines. In all cases, the Administrator and Modified - UNP Block 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 Modified - UNP Block Applicant will have the opportunity to resubmit the matter to the Administrator 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 CT DPUC. 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 Administrator and Modified - UNP Block Applicant may pursue the disagreement with the appropriate regulatory authorities or their designate.