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**TELECOMMUNICATION'S INDUSTRY CODE
FOR LOCAL AND MOBILE NUMBER
PORTABILITY IN NEW ZEALAND**

“LMNP CODE”

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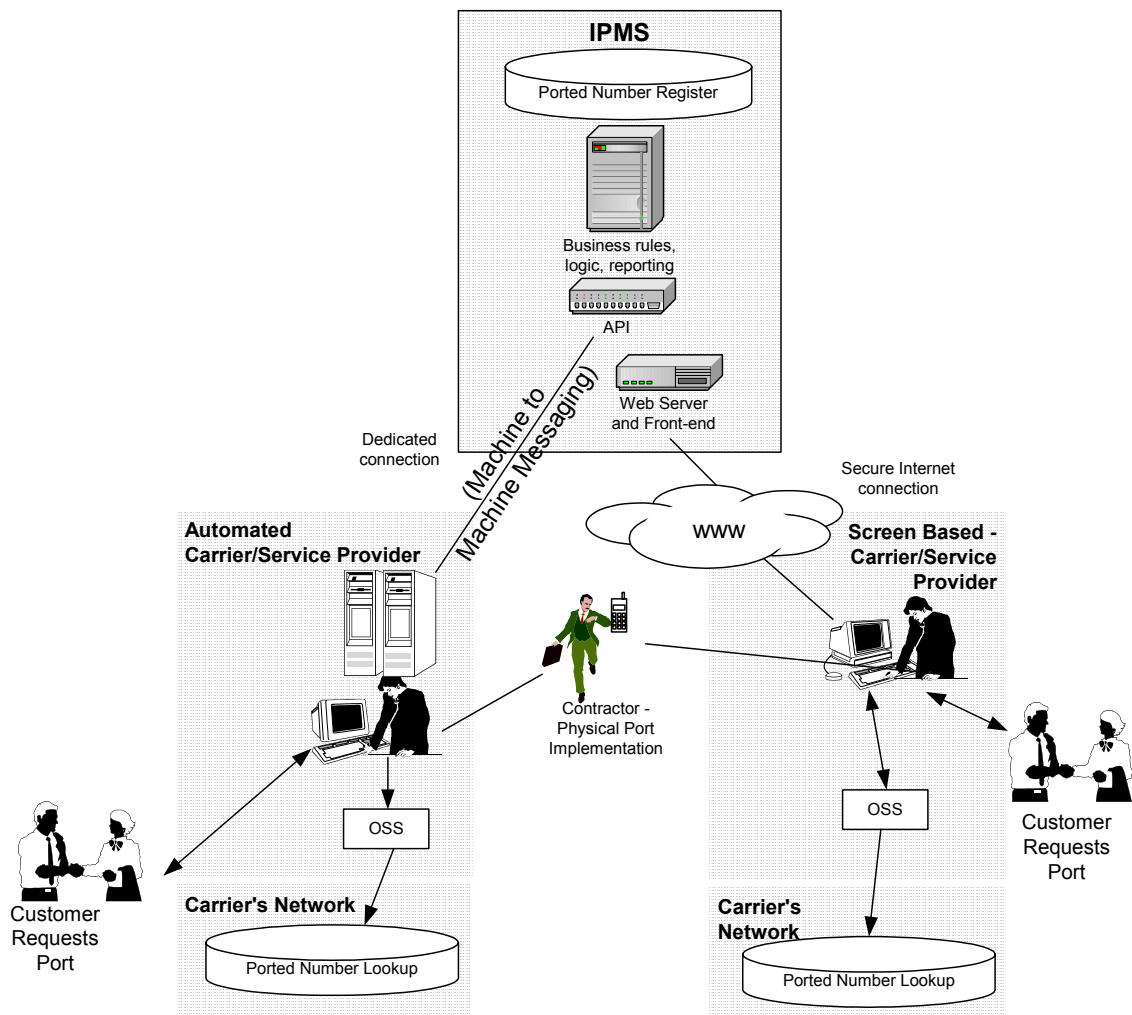
Explanatory Statement

This Code details the processes that will enable Customers to Port their Local and Mobile Numbers. It sets out the rights and obligations of Parties to the Code in a Local and Mobile Number Portability (LMNP) environment.

The processes for portability in New Zealand will be based around a centralised Industry Portability Management System (IPMS).

The role of the IPMS is to provide reliable message transport, process tracking, coordination, and management. It is a tool which will facilitate LMNP, but relies on the Networks being able to support portability. The IPMS will not handle call routing, but will be the sole authority on all Ported Numbers. This will be used by Carriers to update their own Networks to ensure calls to Ported Numbers are correctly routed.

LMNP - IPMS Architecture Overview



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All the participants in LMNP will need to communicate their requests and responses via the IPMS.

The Key Attributes of the IPMS

The centralised architecture will comprise:

- a) A Ported Number database containing the Ported Number Register;
- b) A Number Portability Management System, containing the business rules, logic and systems for managing port requests;
- c) An applications programming interface (API) for a consistent transactional interface with Carriers and Service Providers to the IPMS;
- d) A Web Server providing HTTP service interface for browser based sessions using the same rules and capabilities that the API uses; and
- e) Management applications, reporting, logging, and security reports.

Access may be either via a dedicated leased line or secure internet connection.

Service Provider/Carrier Environment Options

Access to the IPMS will be flexible and will allow parties to select the approach that best suits them:

Screen based: parties may choose to access IPMS via simple Screen GUIs;

Automated: transactions could be responded to automatically via a machine-to-machine interface. Transactions will be presented to a user within internal systems if the response cannot be dealt with automatically; or

Hybrid: parties could use a combination of both screen based and automated processes, selecting the most appropriate option.

Further details are contained in the body of this Code.

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1 Purpose of this Code

1.1 Purpose

The purpose of this Code is to provide a definitive specification of the business requirements for Local and Mobile Number Portability (LMNP).

1.2 LMNP Code Status

This Code is a Telecommunications Access Code, under Schedule 2 of the Telecommunications Act 2001, for the implementation of the processes that will allow the on-going management of LMNP. The Code applies to all Service Providers and Carriers involved in the Porting of Local and Mobile Numbers.

1.3 Anticipated Benefits to Industry

This Code provides benefits to the industry by:

- a) Standardising industry practices in relation to LMNP, and providing certainty in their operation as well as cost effectiveness and efficiency;
- b) Minimising industry cost of compliance to implement and maintain the IPMS;
- c) Ensuring that all Carriers are able to meet their call routing responsibilities so that calls to Customers with Ported Numbers are routed successfully;
- d) Ensuring service to the Customer is maintained by specifying Service Levels; and
- e) Ensuring the efficient and effective inter-Service Provider and inter-Carrier operational arrangements using the IPMS.

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2 Scope and Objectives

2.1 Scope

- 2.1.1 The Code sets out operational procedures and processes, between Service Providers and between Carriers, for the implementation and ongoing management of Porting Processes.
- 2.1.2 It is expected that there will be an existing relationship between a given Service Provider and its Carriers. This relationship shall enable the parties to meet the requirements of the Code. This Code does not define the details of this relationship. Service Providers and the Carriers, on whose network they are providing services, may agree to utilise different procedures for those transactions that take place between them to those procedures detailed in this Code. However, procedures provided in the Code must be supported.
- 2.1.3 The Code is applicable to all Service Providers and Carriers participating in LMNP and it is not intended to impact other parties who do not have obligations under this Code.
- 2.1.4 [All Service Providers and Carriers must provide LMNP in accordance with this Code and any relevant legislation or determinations of regulatory bodies.]
- 2.1.5 In the event of any inconsistency between this Code and such legislation or determinations of regulatory bodies, then such legislation or determinations will prevail.
- 2.1.6 The Service Levels in the Code will be the default minimum industry standard and can be improved by bilateral arrangements provided that those bilateral arrangements do not impact on the ability of other participants to interwork with parties to those arrangements in accordance with the minimum Service Levels.
- 2.1.7 While this Code has been developed specifically to enable LMNP, it allows for the possibility of additional services to be included in the future, for example, premium rate service Number Portability or the Porting of Mobile and Local Numbers between cellular and fixed Networks.

2.2 Objectives

2.2.1 The objectives of the Code are to:

- a) Set out procedures between Service Providers to enable a Customer to retain their Number when transferring from one Service Provider to another, even though the relevant Number range containing the Number will still be held by the Donor Carrier;

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- b) Allow a Customer to relocate premises coincident with, or after the Porting of their Local Number, provided the Local Number remains in the same Donor Carrier Local Calling Area;
- c) Set out competitively neutral and non-discriminatory processes for the implementation and operation of LMNP;
- d) Set out competitively neutral processes by which Service Providers may exchange relevant information with each other to support the Porting Processes;
- e) Set out procedures that will ensure a minimum break or loss of service during a Port;
- f) Set out criteria against which the compliance of Service Providers and Carriers with the Code may be measured; and
- g) Provide a robust process that can support LMNP in a timely fashion.

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3 Conventions in this Code

3.1 Interpretations

In the Code:

- 3.1.1 Sections, clauses and other headings are for ease of reference only and will be ignored in constructing this Code.
- 3.1.2 Unless the context otherwise requires, references to sections, clauses and appendices are references to sections and clauses of, and appendices to, this Code.
- 3.1.3 Any reference in this Code to a statute, statutory instrument, regulation or order will be construed as a reference to such statute, statutory instrument, regulation or order as amended or re-enacted from time to time.
- 3.1.4 Any references to a “party”, is to a party of this Code (unless otherwise specifically provided) and will be deemed to include its successors and permitted assigns.
- 3.1.5 A reference to a “person” includes an individual, firm, company, corporation, unincorporated body of persons, state or government or agency thereof, and any other body or entity (in each case whether or not having separate legal personality).
- 3.1.6 Any reference in this Code to any gender includes all genders and a reference to the singular includes the plural and vice versa.
- 3.1.7 If a period of time is specified and dates from a given day or the day of an act or event, it is to be calculated exclusive of that day; and
- 3.1.8 A reference to a day is to be interpreted as the period of time commencing at midnight and ending 24 hours later.

3.2 Definitions

In this Code, unless the context requires otherwise:

Term	Definition
Account Number	Means the unique reference number used by a Service Provider for a given Customer, which should appear on invoices.
Approved Port Change	Refer to the definition set out in section 8.
Associated Persons	Means, in relation to a party to this Code, that expression in section OD7 of the Income Tax Act 1994.
Bilateral Agreements	Means an agreement between a party who is obliged to comply with this Code and another party (who may also be a

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Term	Definition
	party to this Code).
Billing Relationship	Means a relationship where the Service Provider has a bona fide right to charge the Customer for any chargeable activity relating to the Local or Mobile Services provided to that Customer.
Business Day	Means a day on which registered banks are open for normal banking business, excluding Saturdays, Sundays and nationwide public holidays. Regional public holidays are considered to be Business Days.
Carrier	Means an entity that operates a public switched telephone network (or a functionally equivalent system) that originates, transits or terminates calls. The same person may be both a Carrier and a Service Provider.
Code	Means this document, including its appendices.
Complex Port	Means a port which involves a group of Local Numbers or a group of Mobile Numbers for a Customer, which the GSP and LSP agree are to be treated as a Complex Port.
Contractor	Means a third-party that performs on site work on behalf of a Carrier.
Co-operative Period	Means the period of time during which the Gaining Service Provider will liaise directly with the Losing Service Provider (for example by phone or email) to determine the nature of any problems. The Losing Service Provider shall co-operate with the Gaining Service Provider to facilitate Porting for the Customer.
Customer	Means a person who has a bona fide Billing Relationship with a Service Provider in respect of a Local or Mobile Service.
Customer Authorisation	Means an authorisation by the Customer or their agent to Port a Number.
Customer Request	Means a request from a Customer to a GSP to Port a Number.
Donor Carrier	Means the Carrier that has been allocated the Number by the NAD, or recognised by the NAD as having been allocated.
Emergency Return	Refer to the definition set out in section 8.
Event	Means an instance of one of the agreed set of processes that can arise from a specific Customer action, for which a specific Process exists.
Gaining Carrier or GC	Means the Carrier that will become the Host Carrier, after the completion of a Port.
Gaining Service Provider or GSP	Means the Service Provider to which the Number is moving, or has already moved, in a Port.

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Term	Definition
Hand-off Code or HOC	Means a prefix code passed between Carriers used for call routing.
Host Carrier	Means the Carrier who is responsible for the routing of calls and terminating of calls to a given number.
Industry Portability Management System or IPMS	Means the software, hardware and other shared facilities necessary to give effect to the Code.
Local and Mobile Number Portability or LMNP	Means Local Number Portability and Mobile Number Portability.
Local Calling Area	Means that geographic area defined by the Donor Carrier within which Customers have access to a Local Service with a consistent set of attributes.
Local Number	Means an 8 digit number, in the form: area code + NXXXXXX where area code equals 3,4,6,7 or 9 and "N" equals digits 2 to 9 (excluding 50AB).
Local Number Portability or LNP	Means, as defined in the Act, a service that enables an end-user of a fixed telephone network service to change providers of that service but to retain the same telephone number within a local calling area.
Local Service	Means the service associated with a Local Number
Losing Carrier or LC	Means the Carrier that is the Host Carrier prior to the completion of the Port.
Losing Service Provider or LSP	Means the Service Provider that is losing the Number in a given Port Event.
Message	Means an identifiable step in the Port Process. It is a defined communication between Service Providers or between Carriers. Examples of Messages include Completion Advice in a Port Activation, or a Port Request Rejection in a Port Request.
Mobile Number	Means a number in the form 02N + XXXXXX[X] where "N" equals 1,5,7 or 9 and other cellular numbers allocated by the NAD, or recognised by the NAD as having been allocated.
Mobile Number Portability or MNP	Means, as defined in the Act, a service that enables an end-user of a cellular telephone network service to change providers of that service but to retain the same telephone number (including the same cellular network access code).
Mobile Service	Means the service associated with a Mobile Number.
Multiple Number Port	Means a Port of more than one Number, of the same type, for the same Customer and the same RFS Date, under the same SOM.
Network	Means the system comprising telecommunication links to

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Term	Definition
	permit telecommunications.
Number	Means a Local Number, a Mobile Number or both, as the case requires.
Number Block	<p>Means a contiguous set of individual Numbers that need to be managed as a single entity.</p> <p>Number Blocks will typically exist for multi-line Customer configurations such as PBX, DDI, and centrex implementations. Where this Code refers to a Number Block, it could be referring to a contiguous block of centrex or DDI numbers.</p>
Numbering Administration Deed or NAD	Means is the organisation established under the Numbering Administration Deed dated 20 December 1998, or any such successor organisation or agreement that may be formed.
Originating Carrier	Means the Carrier on whose Network a call to a Ported Number originates.
Other Carrier	Means a Carrier that is a party to this Code, but is not involved in a given Port event as a Gaining Carrier, Losing Carrier, or Donor Carrier.
Port Activation	Refer to the definition set out in section 8.
Port Expiry	Refer to the definition set out in section 8.
Port or Porting	Means a process, which achieves LMNP.
Port Request	Refer to the definition set out in section 8.
Port Withdrawal	Refer to the definition set out in section 8.
Ported Number	Means a Number that is currently hosted by any Carrier other than the Donor Carrier.
Ported Number Register or Register	Means a file maintained by the IPMS, which contains a list of the Numbers that have been Ported. Access to this Register is required for all participating Carriers.
Ported Number Relinquishment	Refer to the definition set out in section 8.
Porting Process	Means the processes described in Section 8.
Ready for Service or RFS	Means the intended date and the time window for the Port Activation.
Service Levels	Means the service levels set out in the Appendix, Table 2.
Service Order Management Number or SOM	Means a unique reference to a given single or Multiple Port.
Service Provider or SP	Means any person providing a Local or Mobile Service to a Customer who has the Billing Relationship with the Customer

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Term	Definition
	for that service. The same person may be both a Carrier and a Service Provider.
Simple Port	Means a Port involving one or more Local Numbers or Mobile Numbers for a Customer which the gaining and losing parties agree are to be treated as a simple Port.
Standard Hours of Operation	Means 8.00am to 5.00pm on Business Days.
the Act	Means the Telecommunications Act 2001
Working Hours	Means elapsed hours during the Standard Hours of Operation.
Working Minutes	Means the elapsed minutes during the Standard Hours of Operation.

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4 Business Rules

4.1 General Business Rule

4.1.1 Prior Notice

The GSP is not required to give any prior notice of a Port outside of the processes described in this Code. This does not prevent consultation between the parties for coordinating Ports.

4.1.2 Non-discrimination

In implementing and operating the Code, all parties to the Code must act in a competitively neutral and non-discriminatory manner and will facilitate Porting through principles and processes that are consistent with section 18 of the Act.

4.1.3 Compliance with Service Levels

Each party subject to this code must comply with the Service Levels.

4.1.4 Privacy and Use of Information

All details relating to a Port will be kept confidential at all times by the parties to this Code except as set out in this clause 4.1.4.

Information provided in Port Processes can only be used for Porting, the routing of calls or in association with the delivery of telecommunications services, for Customer and network fault management and complaint handling. Information provided in Port Process must not be used for any other purposes (including winback and marketing purposes).

[Consideration is also being given as to whether or not there should be a specified period of time where there is a restriction in using information gained through normal business practice. The Working Party would be interested in receiving views on this.]

A Service Provider or Carrier, which receives any type of information relating to the Porting Process may only use this information in accordance with *Privacy Act 1993*, the *Telecommunications Privacy Code 2003*, and this Code.

If there is any inconsistency between this Code, the *Privacy Act 1993*, and the *Telecommunications Privacy Code 2003*, the *Privacy Act* and the *Telecommunications Privacy Code* prevails.

4.1.5 Subject to New Zealand Law

Parties to the Code must comply with laws of New Zealand (including any statute, subordinated legislation or decision of any court of regulatory body). In the event of any conflict or inconsistency, New Zealand law prevails.

4.1.6 Good Faith

All parties will act co-operatively and in good faith to facilitate Porting Processes.

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4.1.7 Need for Separate Bilateral Agreements

Parties to this Code may agree terms and conditions in their Bilateral Agreements, for the provision of all appropriate and relevant services and service information, that is required to facilitate and support the Porting Processes in an efficient and expeditious manner.

Parties to the Code must ensure that any (subsequent) Bilateral Agreements are consistent with the Code. Bilateral Agreements shall not reduce the minimum level of service prescribed in this Code, but they can improve upon them.

4.1.8 Local Calling Area Requirements

- a) A Ported Local Number must physically remain within the Donor Carrier's relevant Local Calling Area. A Customer with a Ported Local Number wishing to move premises can retain that Local Number provided that the new premises is within the same Donor Carrier's Local Calling Area.
- b) The GSP is responsible for determining if a Ported Number can be allocated to new premises. The Donor Carrier will provide this information on request.

4.1.9 Message Timing

Messages sent outside Standard Hours of Operation are deemed to have been sent at 8am on the next Business Day.

4.1.10 After Hours Porting

Customers wishing to Port Numbers may require those Numbers to be Ported at a time convenient to the requirements of the Customers' business, including any time outside Standard Hours of Operation. The Code does not impose an obligation on a Service Provider or Carrier to process, or continue to process to completion, a Port outside the Standard Hours of Operation. After hours Porting shall be completed in accordance with Bilateral Agreements.

4.2 Number Management

- 4.2.1 No ownership rights, title or interest in any Number or numbering scheme will be conferred upon a Carrier, Service Provider, or Customer by virtue of this Code or by any Porting Process within this Code.
- 4.2.2 Each Number shall only have a single Service Provider and Host Carrier associated with it at any given point in time.
- 4.2.3 Each Number shall only have a single Donor Carrier associated with it. The Donor Carrier does not change as a result of any of the Porting Processes defined in this Code.
- 4.2.4 Service Providers and Carriers are required to ensure the continuing integrity of Number Blocks associated with a Porting Process, including:
 - a) Number Blocks may from time to time contain unused or inactive Numbers, these Numbers are considered to be part of the Port, and hence all Numbers within a Number Block are to be Ported;

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- b) Unused or inactive Numbers within a Number Block may not be allocated or used for any purpose for any Customer other than the Customer who has the other Numbers within that Number Block; and
- c) Unless the Billing Relationship has ceased, to keep the Number Block intact Numbers within a Ported Number Block that are relinquished do not need to be relinquished under the prescribed Ported Number Relinquishment Process.

4.3 Equivalent Service

The IPMS must be capable of satisfying the requirements for equivalent service, which for the purposes of this Code is defined as:

A service provided in relation to a ported Number is an equivalent service, if (and only if) any differences, in quality, reliability, services or features, between it and a service provided in relation to a non-porting Number on the same Network:

- a) Will not be apparent to a customer; or
- b) If they are apparent to a customer - will not affect the customer's choice of Service Provider.

5 Service Provider Responsibilities

5.1 General Service Provider Responsibilities

Once the Port Activation Process commences, the GSP will be considered the primary Service Provider. It is the GSP's responsibility to ensure the smooth transition of the Port for the Customer.

5.1.1 Right to Port

Service Providers shall only initiate a Port Request for a Number where the person requesting the Port has made a representation that they are the Customer for that Number, and that they have the authority to request the Port.

Prior to submitting a Port Request for each Number, the GSP must obtain a valid Customer Authorisation from the Customer seeking to Port the Number.

5.1.2 Right to refuse to Port

GSP's have the right to accept or reject any Customer wishing to Port their Numbers to that GSP.

5.1.3 Categorisation of Ports

The GSP must initially nominate a category to be used to Port a Number. These categories are:

- a) Simple Local;
- b) Simple Mobile;
- c) Complex Local; or
- d) Complex Mobile.

If the LSP disagrees with the category of the Port nominated, it must be resolved between the GSP and the LSP during the Co-operative Period.

5.1.4 RFS Date

The RFS date notice period must comply with the minimum and maximum notice periods set out in the Appendix, Table 3. The RFS date is determined by the GSP.

5.1.5 SOM to be used to Track Events

All Numbers associated with a GSP's Port Request for the Customer must be identified by a unique SOM covering all the Numbers being Ported from a LSP. Once a SOM is issued, all Messages for Porting Processes must include that SOM.

5.1.6 Port Request Content

A valid Port Request must include the information prescribed in the Appendix, Table 1.

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5.1.7 Port Request Rejection

The GSP is expected to reject the Port Request where the required details supplied by the LSP and GSP are not correct or are incomplete.

5.1.8 Porting Delays

A Service Provider must advise all affected Service Providers as soon as practicable after becoming aware of any Porting delays, whether system or validation, that prevents processing of Porting Events within the Service Levels. Such advice does not relieve the Service Provider from its responsibility to meet the Service Levels.

Other delays such as Network failures or major outages shall be managed in accordance with the relevant provision contained in Bilateral Agreements between the Parties.

5.1.9 Service Provider Responsibilities

The Service Provider is responsible for maintaining:

- a) Appropriate records to satisfy the routing, billing and audit requirements of this Code; and
- b) An interface with the processes required for the Porting Process through which they can request Ports, respond to Port Requests, and all other Porting Processes prescribed in Section 8.

5.2 GSP Responsibilities:

5.2.1 Customers Right to Information

The GSP must advise the Customer that:

- a) Any changes to the Port Request may impact the Porting RFS date;
- b) Once the Port Activation Process has begun it shall be completed;
- c) A subsequent Port Request will be required to change part or all of the original Port Request; and
- d) They may have outstanding obligations to the LSP.

5.2.2 The GSP is solely responsible for ensuring that:

- a) All Port Requests are valid and correct; and
- b) Prior to inputting a Port Request into the Porting Process for each Number, a valid Customer Authorisation has been obtained from the Customer Porting the Number. As part of this Customer Authorisation, the GSP must obtain the information required in the Appendix, Table 1.

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5.2.3 Relinquishment

Subject to clause 4.2.4, the Service Provider must commence Relinquishment for a Ported Number within 5 Business Days after the Billing Relationship with the relevant Customer for that Ported Number terminates.

5.3 LSP Responsibilities

5.3.1 Porting Facilitation

The LSP:

- a) Will not initiate any activity associated with the Numbers in the Port, including Customer or Service Provider initiated changes, that impact adversely on the Port Process once the GSP has approved the Port; and
- b) Will use all reasonable endeavours to minimise the length of the Co-operative Period and to facilitate the Porting of the Number. Regardless of the Co-operative Period the Service Levels shall continue to apply.

5.3.2 Bad Debts are not a reason for Port Rejection

The fact that a Customer has a bad debt or unpaid invoice with the LSP is not in itself sufficient grounds to reject the Porting of that Customer's Number in accordance with this Code.

5.4 Fault Management

After the Port Activation Process commences, the GSP will be responsible for the management of all faults associated with a Ported Number and will liaise with the LSP, Losing Carrier, Donor Carrier and other parties, as required.

Prior to the Port Activation, the LSP and Losing Carrier would have these responsibilities.

5.5 Transfer of Ported Number to Another Person

The legitimate transfer of a Ported Number to another person when requested by the Customer is allowable if it meets the Service Provider's normal criteria used in the case of non-ported Numbers. The transferee has the same rights to subsequently Port the Number if they wish. This Code does not cover instances of a transfer and a Port at the same time.

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6 Carrier Responsibilities

It will be the responsibility of each Carrier to ensure that they meet the required Service Levels. Each Carrier is free to determine how it handles calls, either within its own Network or with the assistance of another Carrier. Where this document refers to the responsibility of a Carrier, they can contract this to a third party, however the primary responsibility under this Code remains with the Carrier.

6.1 Carrier Rules

- a) Each Carrier will maintain an interface with the IPMS for the transmission of messages for the Porting Process;
- b) Carriers will receive Porting Messages via the interface to the IPMS. The Porting Process will only be accessed by Carriers in this manner;
- c) Carriers providing local and mobile service will require awareness of the other aspect of portability if they want to route calls directly to the current Host;
- d) Subject to clause 6.1(e), each Carrier will make the necessary changes, additions or deletions to its Network to give effect to the instructions issued by the Porting Process;
- e) The routing of calls to Ported Numbers, or the routing of any calls between the Networks of any Carriers subject to this Code must comply with this Code to ensure calls are correctly routed; and
- f) Carriers will act in good faith to facilitate Porting.

6.2 General Carrier Requirements

Clause 6.2 is for information only and will be developed in further detail outside this Code.

6.2.1 Network Capacity

Each Carrier shall use its standard procedures to ensure that there is sufficient transmission, switching and processing capacity in place to support Porting activity by Service Providers. To the extent that a Carrier identifies capacity limitations in their Network, that could materially impact Porting, they should advise other impacted parties and set out what measures are, or have been taken to mitigate the problem, including an estimated time for the rectification of the problem.

6.2.2 Donor Carrier Re-routing

The Donor Carrier shall store information as the Donor Carrier for all Numbers in their pre-existing Number ranges – regardless of whether a Number has been Ported or not. This will give other Carriers a donor re-routing capability. This minimum functionality ensures that calls will be routed to the correct Carrier in a Porting environment.

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The Donor Carrier has an ongoing responsibility as the Donor Carrier to ensure they have the capability to transit all calls to the correct Host Carrier for Ported Numbers in their Number Ranges.

6.2.3 HOC Forwarding

The Host Carrier will be able to check inbound calls for the HOC and route accordingly. Calls that are determined by the Originating Carrier to be calls to Ported Numbers are to have a HOC added by the Originating Carrier and passed on to the Host Carrier (either directly or indirectly).

If the Originating Carrier has an agreement to pass all calls to the Donor Carrier, based on the Numbers allocated to them by the NAD, they should be forwarded without a HOC attached.

Attaching a HOC to a call indicates that the Originating Carrier has identified a call to a Ported Number and that the Originating Carrier is aware of the correct Host Carrier.

6.2.4 HOC Trapping

In order to prevent recirculation of calls, which is possible if Carriers records do not match each other, the following approach must be followed:

- a) A Carrier may transit calls received with a HOC for a third-party Carrier, where this is covered by an agreement with a third party;
- b) Carriers will not change or remove the HOC on a transit call;
- c) Carriers receiving a call with their HOC, they do not Host (or have no agreement with a third-party to Host) will drop the call; and
- d) A Carrier may look up and forward calls received without a HOC attached if this is a service being provided to another Carrier under a Bilateral Agreement.

6.3 Maintaining Records of Ported Numbers

6.3.1 Accuracy of Ported Number Register

The IPMS will be the sole source of information for the status of any or all Ported Numbers. Carriers should check their routing tables with the IPMS only and ensure they maintain consistency with it. Tools for helping this are detailed in clause 9.5.

6.3.2 Right to use the Ported Number Register

All Carriers participating in Porting have the right to access the Register. The information contained in the Register is to be used for the sole purpose of ensuring that their Network records are consistent with the IPMS.

6.4 RFS Date Notice Period

A Port Request must specify an RFS date, which complies with the minimum and maximum notice periods set out in the Appendix, Table 3. The notice period is the elapsed time between when the Port Request is sent and the RFS date.

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7 Administrative Issues

7.1 Expiry revocation and amendment of the code

The expiry, revocation or amendment of the Code is subject to Clauses 11-15 of Schedule 2 of the Act. For the avoidance of doubt, and in accordance with section 9 of the Telecommunications Carriers' Forum's Handbook any Forum Member may put a Project Proposal to the Forum Board (at any time) for the amendment or revocation of the Code.

7.2 Dispute Resolution

The parties to the Code shall include in their Bilateral Agreement(s) affected by LMNP, the procedures to adopt for dispute resolution. Such procedures may include, amongst other things:

- a. Escalation to senior management;
- b. Mediation; and/or
- c. Expert determination.

8 Porting Processes

The focus of this Code is on the Porting Processes that are created in a LMNP environment. The processes internal to Service Providers and their Carriers are simplified and are not intended to be exhaustive.

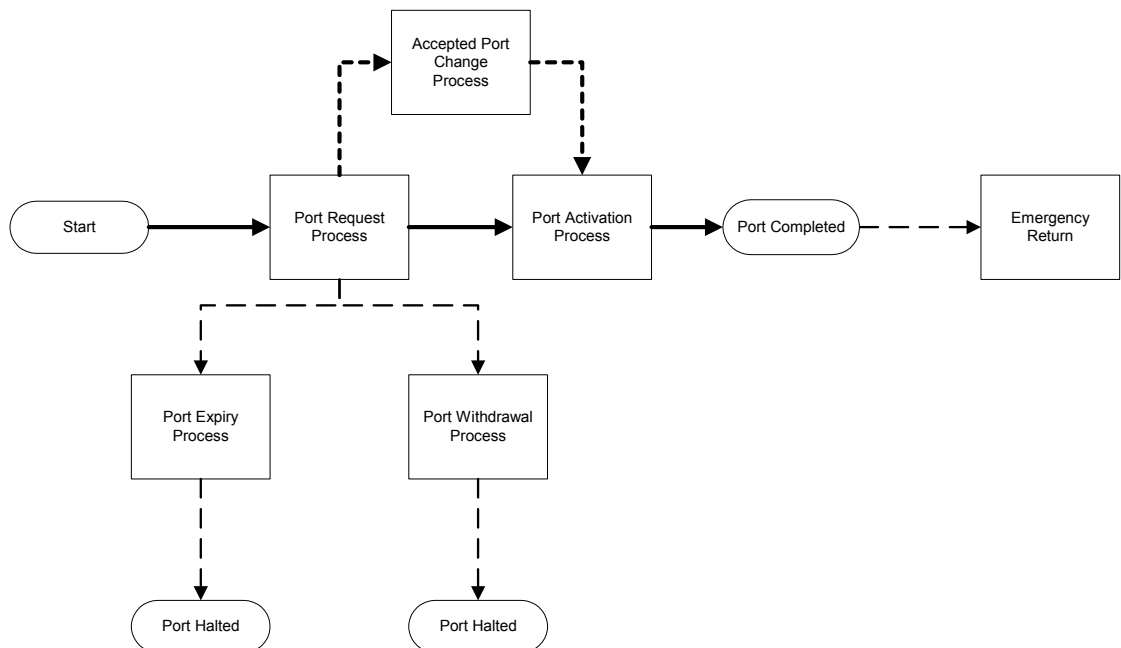
There is an expectation that the relationship between many Service Providers and Carriers will be particularly close as they may be separate parts of the same organisation.

Functions are normally classified in these Processes as being either a Service Provider or Carrier function. It is not a requirement that these functions are performed by resource clearly identified as being part of the Service Provider or Carrier. In some cases there will not be a business need to pass information from the Service Provider to the Carrier function.

There is a responsibility for both parties in the Service Provider/Carrier relationship to ensure that all Processes are followed as closely as possible. These Processes must be complied with in good faith.

The following outline flowchart illustrates how the separate Porting Processes work for a typical Port:

Pre-Port Processes



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There are seven major Porting Processes defined in this section:

Process	Function
Port Request	Enables the Customers' request to Port Numbers to be validated, approved and subsequently managed by the IPMS.
Port Activation	Activates Ports registered in the IPMS in compliance with this code. Initiated and managed by the GSP.
Approved Port Change	Enables specific Port details to be amended in IPMS. Typical of these are RFS dates and Numbers to be Ported.
Ported Number Relinquishment	Allows IPMS to make the necessary Carrier notifications to enable a Customer to relinquish a Ported Number. The Number is returned to the Donor Carrier.
Port Expiry	This Process warns the GSP to reschedule or withdraw a Port Request that has not been activated on the RFS date.
Port Withdrawal	Enables a Port that is currently active in the IPMS to be withdrawn. Typically the Customer would initiate this.
Emergency Return	Enables the return of a completed Port, or part of a Port in the case of a Complex Port, to be regressed to the original status. This is basically a Port Request but the normal validation checks may be overridden to expedite the Emergency Return variation of a Port Request.

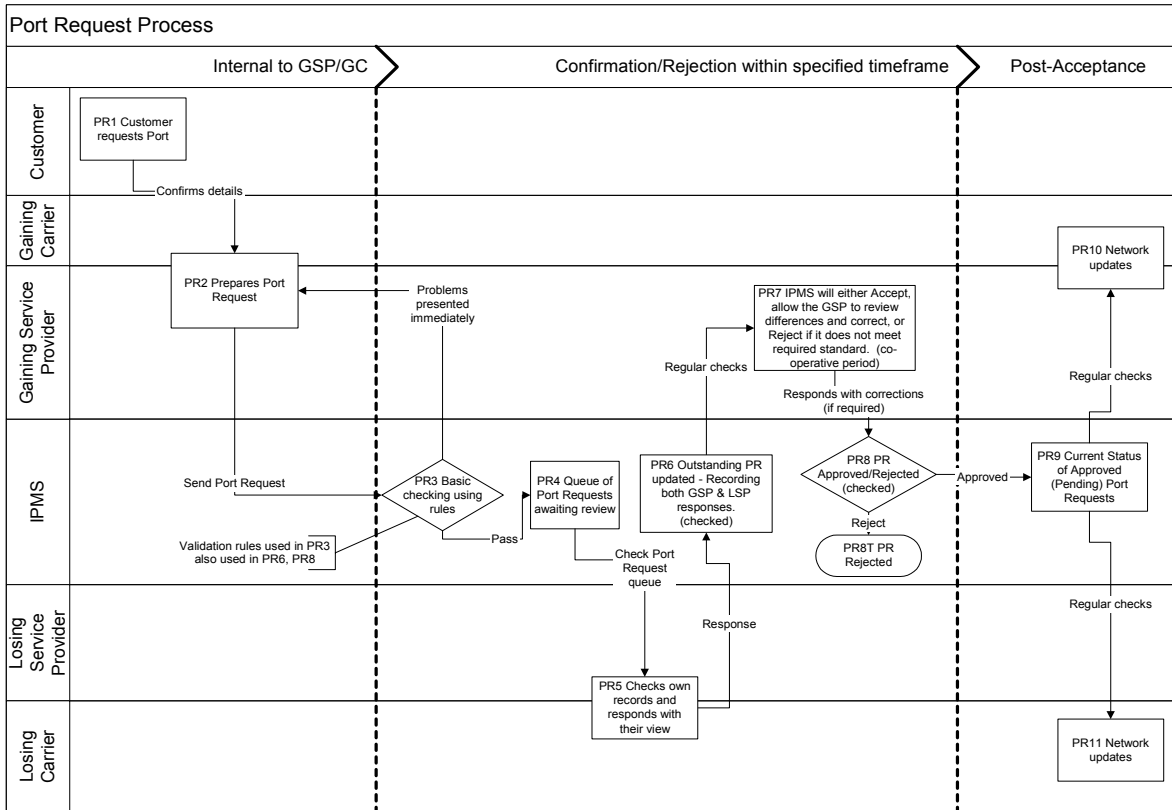
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8.1 Port Request Process

The Port Request Process is the first step in Porting. It achieves two main objectives – to ensure all Ports are valid, and to enable all parties to be ready for the activation.

A GSP must initiate a Port Request in order to Port a Number.

8.1.1 Port Request Process Flowchart



8.1.2 Port Request Process Timing Table

Flowchart	Port Request Process	Response Times		
		Simple Local Port	Complex Local and Mobile Port	Simple Mobile Port
PR3 to PA8 on Port Activation Chart	RFS Notice	RFS date minimum two Business Days notice, maximum 30 days	RFS date minimum five Business Days notice, maximum 30 days	RFS date no minimum notice period, maximum 30 days
PR4 to PR6	LSP responds to Port	Within one Business Day	Within two Business	Within 30 Working

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	Request		Days	Minutes
PR6 to PR8	Port Request Complete	Within one Business Day	Within two Business Days	Within 30 Working Minutes

8.1.3 PR1. Customer Requests Port

- a) The Customer decides that they want to Port to the GSP.

8.1.4 PR2. GSP Prepares the Port Request

- a) The GSP is expected to follow a Customer Authorisation process. They must also ensure that the process captures all information required to obtain a Port Request Acceptance.
- b) The purpose of the Customer Authorisation process is to:
- Validate that the person requesting the Port is the Customer or the Customer's Agent;
 - Collect the information required by the GSP; and
 - Collect the information required for the Port Request.
- c) The GSP is expected to check the details with their nominated Gaining Carrier. It is assumed that the Gaining Carrier will discuss any issues with the GSP and resolve any issues before proceeding. A site audit is likely to be part of the investigation in Local Ports.
- d) Problems and issues identified by the Gaining Carrier and the site audit should be resolved as an internal matter between the GSP, Gaining Carrier, and the Customer. The Port Request Process is not expected to proceed until the details are considered correct.
- e) The Port Request is submitted to the IPMS. This will include the data required as per the Appendix, Table 1.

8.1.5 PR3. IPMS Performs Basic Checking Using Rules

- a) The IPMS performs all the basic tests listed in the Appendix, Table 4.
- b) The IPMS will respond based on whether the Port Request passes or fails this check.
- c) IPMS performs basic tests on Port Request, as follows:
- The IPMS will immediately respond to the CSR at the GSP if the Port Request fails the basic tests;
 - The IPMS will include all reasons for failure (if there are more than one);
 - The GSP is expected to correct all errors before submitting the Port Request again; and

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- A counter for the number of rejections of a given Port Request may be used.

8.1.6 **PR4. IPMS Queues the Port Request for Review by the Losing Service Provider**

- a) The IPMS will record the time that the Port Request was added to the queue.
- b) The status of the Port Request changes to “awaiting review”.
- c) The Port Request is presented to the LSP for their response.

8.1.7 **PR5. LSP checks the Port Request Queue**

- a) The LSP checks that the Port Request has been correctly completed.
- b) The LSP is presented with the Port Request as per the detail in the Appendix, Table 5.
- c) Discussion between the LSP and the GSP regarding the Port Request is allowed, during this phase, known as the Co-operative Period. In the interests of preventing unnecessary rejection or confusion, the LSP has the right to contact the GSP to check if there is any doubt or concern over the details of the Port Request before they submit their response.
- d) The LSP enters their understanding of the details if they differ from the information presented by the IPMS. This can include additional Numbers for a Multiple Number Port.
- e) The LSP submits their response to the IPMS.

8.1.8 **PR6. IPMS Updates the Queue of Reviewed Port Requests Awaiting GSP Check**

- a) The queue of reviewed Port Requests is available for checking.
- b) The response time of the LSP is recorded when it is updated in the IPMS.
- c) The IPMS uses the same basic tests in PR3, to ensure the LSP responses appear to be valid.

8.1.9 **PR7. GSP Checks LSP Response**

- a) The GSP reviews the Port Request after the Losing Service Providers response.
- b) The GSP can make use of the Co-operative Period to contact the LSP if there is any doubt.
- c) The GSP may need to contact the Customer or the Contractor that performed the audit whilst investigating any differences.

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- d) The IPMS will permit the GSP to choose either the data they submitted or the response from the LSP as appropriate. No other alternative will be possible. If the correct answer is neither that submitted by the GSP nor the LSP the Port Request must be rejected.
- e) The GSP is expected to act in good faith and only accept Port Requests that are credible and correct.
- f) The GSP is expected to reject a Port Request at this point if the details are clearly not correct or there is material doubt.
- g) The result of the GSP review is recorded in the IPMS and the status is set to “approved” or “rejected”.
- h) If the Port Request is rejected, it must be presented as a new Port Request if it is to be resubmitted later.

8.1.10 PR8. IPMS Stores the Port Request and Updates Status

- a) The IPMS re-performs the basic tests on the final result of the Port Request to ensure it is correct.
- b) The Port Request is flagged as being either approved or rejected.
- c) The Port Request status will be visible on the Port Request queue for both the LSP and GSP.

8.1.11 PR8T. IPMS Logs Port Request Rejection

- a) The IPMS logs the Rejected Port Requests.
- b) The formal process for a Rejected Port Request finishes at this point.

8.1.12 PR9. The Port Request is Added to the Approved Queue

- a) The approved Port Requests are presented in this queue to both the Gaining Carrier and Losing Carrier.
- b) The Approved Port Change process handles any changes required beyond this point.
- c) The Port Request process is complete at this point.

8.1.13 PR10-11. Approved Ports Can be Reviewed by all Interested Parties

- a) Interested parties are able to review all outstanding approved Port Requests. The interested parties are the Gaining Carrier, GSP, Losing Carrier, LSP.
- b) The Gaining Carrier and Losing Carrier are expected to use this queue to ensure they are prepared for all impending Ports.

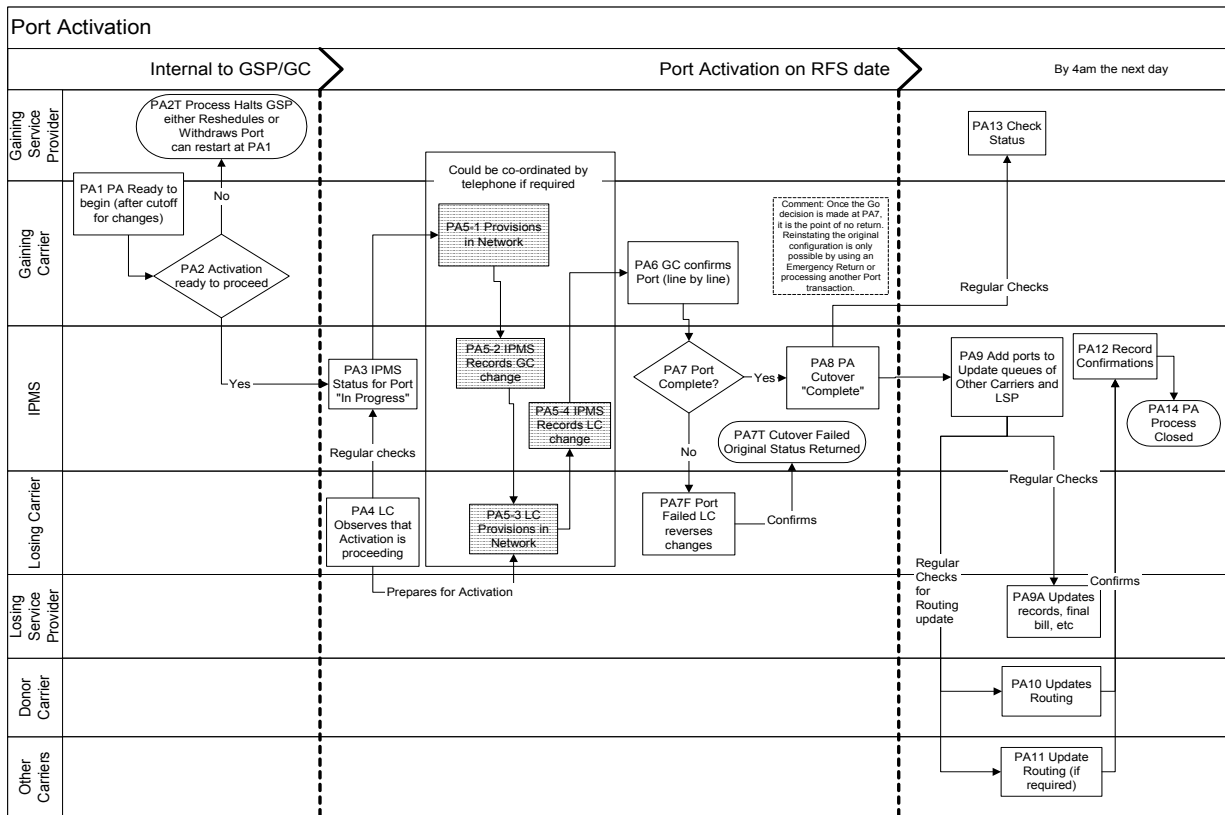
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8.2 Port Activation Process

The Port Activation process is used to implement a Port that has been already approved.

The order of Network updates will vary depending upon the process. The Losing Carrier and the Gaining Carrier will be the primary coordinators of the Porting Process. In some cases the Donor Carrier will be a third-party and will need to be notified. Other Carriers will be notified when it is appropriate for them to re-route calls.

8.2.1 Port Activation Process Flowchart



8.2.2 Port Activation Process Timing Table

Flowchart	Port Activation Process	Response Times		
		Simple Local Port	Complex Local/Mobile Port	Simple Mobile Port
PA7 (accepted)	Activate Port	Within RFS window (half day block)	Within RFS window (half day block)	Within ten Working Minutes

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PA9 to PA12	Donor and Other Carriers (if Required) Updates Routing and confirms to IPMS	By 4am the next day	By 4am the next day	By 4am the next day
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8.2.3 Changes to the RFS Date

- a) All parties have the right to change the RFS date after Acceptance and before Activation, within the prescribed window. This is addressed in section 8.3.

8.2.4 PA1. GSP Ready to Begin

- a) The GSP communicates with the Gaining Carrier to establish whether or not they are ready to proceed. This should be timed to enable completion on the RFS date.

8.2.5 PA2. Gaining Carrier Decides whether they are Ready for Port Activation

- a) The Gaining Carrier will make an entry in the IPMS to either reschedule the Port or proceed.
- b) This will be done within the RFS date window.

8.2.6 PA2T. Gaining Carrier Halts Port Activation

- a) The Gaining Carrier will either use the Port Withdrawal or the Approved Port Change Process at this point.

8.2.7 PA3. The IPMS Changes the Port Status to “In Progress”

- a) This information will update the queue for both the Gaining Carrier and Losing Carrier.

8.2.8 PA4. Losing Carrier Observes that Activation is proceeding

- a) The Losing Carrier needs to regularly review the Port Activation queue to ensure that they are ready for all Ports to proceed.
- b) The Losing Carrier prepares for the Activation.

8.2.9 PA5. Closely Co-ordinated Activation

- a) The Activation is a time-sensitive process that requires close co-ordination between the Gaining Carrier, the Contractor, and the Losing Carrier.
- b) There are three key aspects to the Port Activation:
 - PA5-1. The Technician/Contractor cuts over the Customer to connections of the Gaining Carrier whilst the

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Gaining Carrier provisions the routing changes in their Network;

PA5-2. The Gaining Carrier updates the IPMS and confirms that the change has been made and that they should activate the changes in their Network;

PA5-3. The Losing Carrier is notified by the IPMS and makes the changes in their Network; and

PA5-4. The Losing Carrier updates the IPMS by confirming that their provisioning is complete.

The Gaining Carrier is entitled to contact the Losing Carrier by telephone and ensure that they are aware of the change and can wait verbal confirmation that the change has taken place.

- c) Once these steps are complete, the Gaining Carrier either:
 - Confirms that the Port is complete; or
 - Confirms that the Port has not been completed and instructs the Losing Carrier and the on-site Technician to return the configuration to that pre-Port state.
- d) A Complex Port can be cancelled at any point where it is agreed by the Gaining Carrier and the Losing Carrier that there is less work to reverse existing changes than complete the Process and then Port back to the LSP. The decision as to which approach should be taken should be agreed between the parties (with input from GSP as appropriate).
- e) The process then continues at step PA6.

8.2.10 PA6. Confirmation that the Port is Complete

- a) If the Port is completed in PA5, the Gaining Carrier marks the Port Activation as “complete” in the IPMS.
- b) If the Port is not completed in PA5, the Gaining Carrier marks the Port Activation as “failed” and the Port Request re-enters the queue for re-scheduling and Activation.
- c) The Gaining Carrier can select a partial Activation if some lines were not Ported in a multiple line Port. The Gaining Carrier must co-ordinate this with the Losing Carrier to ensure consistent routing for all affected Numbers.

8.2.11 PA7. The IPMS records the Port as Complete or Failed

- a) If none of the Numbers are successfully Ported, the Port fails and the process terminates at step PA7T.
- b) The IPMS notifies the Losing Carrier of work they need to reverse if the Port fails, in step PA7R.

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- 8.2.12 PA7F. The Losing Carrier Reverses the Failed Port**
- a) The Losing Carrier reverses the Port, returning all Ported Numbers to their pre-Port state.
 - b) Once the work is complete, the Losing Carrier confirms the action in the IPMS.
 - c) The process is then complete at step PA7T.
 - d) The GSP or Gaining Carrier must then either reschedule using the Approved Port Change process or withdraw using the Port Withdrawal Process.
- 8.2.13 PA8. The Port Cutover is Complete**
- a) If the Port is partially or fully completed, the Port Activation is marked as Completed and other parties to the Code are notified.
 - b) The GSP can observe that the Port Activation is complete.
- 8.2.14 PA9. IPMS Adds Ports to Update Queues of Other Carriers and of LSP**
- a) At this point, notice of the Port Activation is available to all other interested Parties.
- 8.2.15 PA9A. The LSP Updates Their Records**
- a) The LSP has a number of tasks to perform.
 - b) The LSPs involvement in the process is complete.
- 8.2.16 PA10. The Donor Carrier Routing Update**
- a) This may be an addition, and removal, or a change, depending on whether the Donor Carrier is the Losing Carrier, the Gaining Carrier, or Other Carrier.
 - b) The IPMS will not notify the Donor Carrier if they are also the Losing Carrier or the Gaining Carrier in the Port Activation.
 - c) The Donor Carrier will update their Network Routing and confirm with the IPMS.
- 8.2.17 PA11. Other Carriers update their records**
- a) If required for their routing, Other Carriers will update their routing tables from their IPMS Update queue on a regular basis.
 - b) If they do update their routing, they need to inform the IPMS when it is completed.

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8.2.18 PA12. The IPMS receives notification of Routing Updates

- a) The IPMS records the Network Update confirmations of all other Carriers (being neither the Gaining Carrier or Losing Carrier).
- b) The Gaining Carrier has the right to view the progress of a Port Activation and observe which Carriers have completed the updates.
- c) When all required Updates are confirmed, the Port Activation process is completed.

8.2.19 PA13. GSP Notified of Port Activation Result

- a) The GSP will be able to observe the result of the Port Activation and take appropriate action.
- b) Steps taken to resolve any issue are outside the scope of this process.
- c) Restarting this process to activate the same Port relies on the Gaining Carrier and the Losing Carrier agreeing a new RFS date once the problems have been resolved.
- d) The Port could be withdrawn as a result of a failed Activation.

8.2.20 PA14. The IPMS Closes the Port Activation

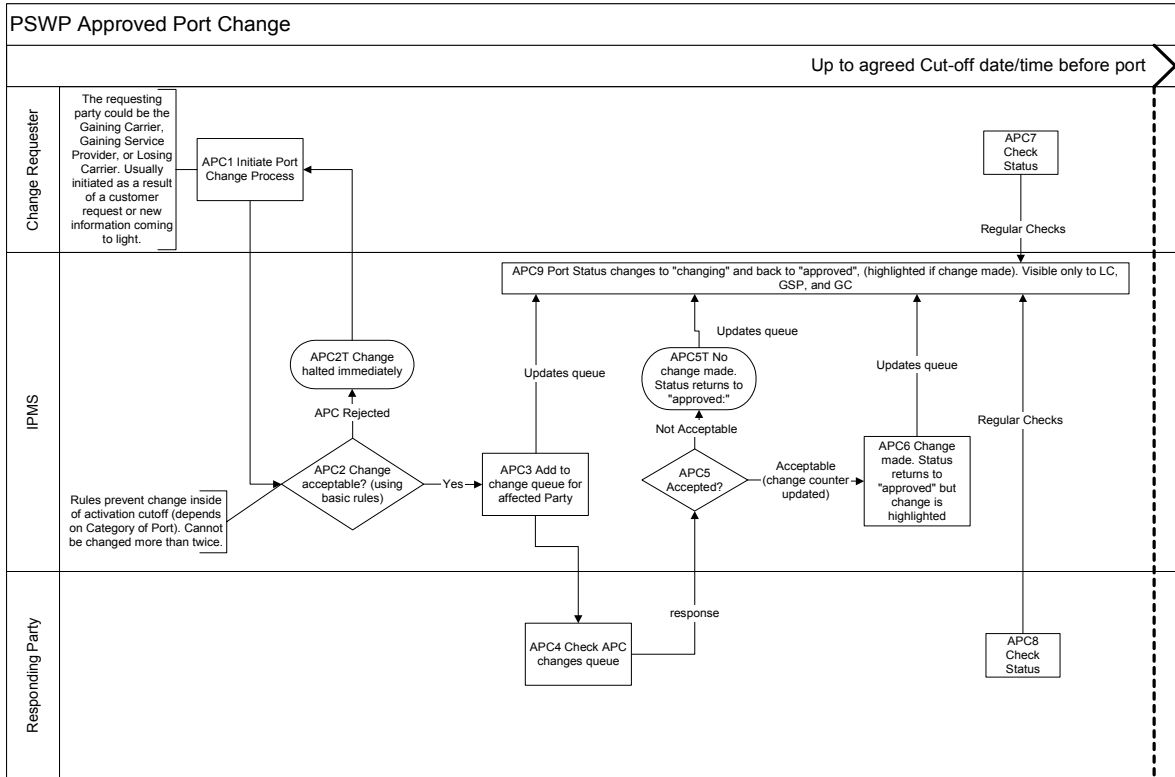
- a) Once all updates are confirmed the Port Activation is closed. No further changes are possible without a new Port Request.

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8.3 Approved Port Change

The Approved Port Change Process allows the GSP, Gaining Carrier, or Losing Carrier to request a change to the details of an approved Port. It may be used to change an approved Port before the RFS date, after the RFS date has been missed, or after a Port failed to be completed.

8.3.1 Approved Port Change Process Flowchart



8.3.2 Approved Port Change Process Timing Table

Flowchart	APC Process	Response Times		
		Simple Local Port	Complex Local/Mobile Port	Simple Mobile Port
APC3 to APC5	Responding Party checks change queue and responds	Two Working Hours	Four Working Hours	Two Working Hours
Frequency				
APC7 and APC8	Gaining Carrier and Losing Carrier should review this queue regularly	Every Working Hour	Every Two Working Hours	Every Working Hour

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8.3.3 APC1. Change Requester Initiates APC Process

- a) The Change Requester (as defined in 8.3.1) may be the Gaining Carrier, GSP or the Losing Carrier.
- b) It is expected to result from a Customer request, or from the discovery of pertinent information that is required for the Port Activation to be carried out successfully. It may also be used after reaching point PA2T or PA7T in a Port Activation.
- c) The changes will be limited to moving the RFS date and changes to the Numbers involved in a given Approved Port.
- d) Parties are expected to use this function in good faith and it is not intended to be used to enable Ports to be scheduled at times outside the proposed RFS date range.

8.3.4 APC2. IPMS Checks that the Change is Acceptable

- a) The IPMS checks that the request is not being made after the Cut-off date/time for the Port.
- b) The Approved Port Change may not be used more than twice on a Port before the RFS date.
- c) The IPMS will check that the changes to Numbers pass the tests used in the Port Request process. It will reject a change on a Port whilst a change is already in progress.

8.3.5 APC2T. IPMS Aborts the Change

- a) If the APC fails the tests, the Change Requester is immediately Informed.

8.3.6 APC3. IPMS Queues the APC Request

- a) If the APC passes the tests, the IPMS adds the request to the change queue of the responding party.

8.3.7 APC4. Responding Party Checks their APC Request Queue

- a) Each party to the code is expected to regularly check this queue.
- b) The responding party should respond to requests in good faith, bearing in mind that the requesting party should only be asking for change when there is a genuine need.
- c) The respondent has the ability to accept a change that does not comply with normal RFS date notice periods, but only if they can re-schedule resource to allow them to comply.
- d) The responding party may wish to use a Co-operative Period to communicate with the requesting party at this stage.

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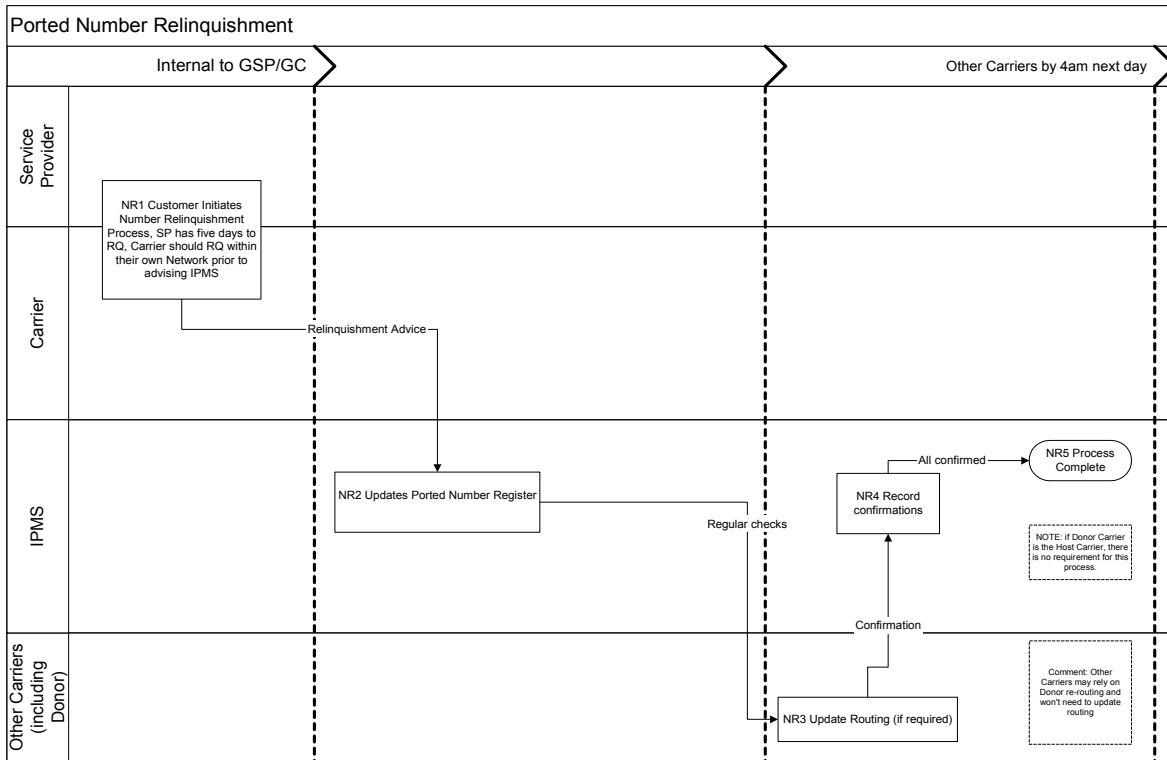
- 8.3.8 APC5. IPMS Receives Response**
- a) The IPMS will either change the status of the APC request to either “accepted” or “rejected”.
- 8.3.9 APC5T. IPMS Updates the APC Queue with a Rejection**
- a) The IPMS will flag the APC request as being rejected.
 - b) The change will be visible in the queue to the requesting Party.
- 8.3.10 APC6. IPMS Updates the APC Queue with an Acceptance**
- a) The IPMS will change the status of the APC request to “accepted”.
 - b) It will then update the details in the Approved Port Requests queue, as appropriate with new RFS date or change to the Numbers.
 - c) The change will be highlighted to ensure that the responding party is notified to update their works order.
- 8.3.11 APC7. The Change Requester Checks the IPMS APC Queue for Acceptance**
- a) The Change Requester must then reschedule any work required for the Activation to take place.
- 8.3.12 APC8. The Responding Party Checks the IPMS APC Queue for Changes**
- a) The Responding Party should already be aware of any APCs that it accepted.
 - b) All parties should monitor this queue for changes.
 - c) They should update their records as per the details in the Approved Port Requests queue as required.
- 8.3.13 APC9. The IPMS Continually Updates the Approved Port Queue**
- a) Any party can review this queue at any time and observe those Approved Ports that are subject to change and those that have changed.

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8.4 Ported Number Relinquishment Process

The Ported Number Relinquishment Process is used when a Customer relinquishes a Ported Number. The Ported Number Relinquishment Process is not required if the Host Carrier is the Donor Carrier (as the Number is not considered to be Ported, even if it has been Ported out and back again).

8.4.1 Ported Number Relinquishment Process Flowchart



8.4.2 Ported Number Relinquishment Process Timing Table

Flowchart	Ported Number Relinquishment Process	All Relinquishments
NR2	Notification to IPMS Relinquished Ported Number.	Within five Business Days of Customer initiating Relinquishment.
NR3 to NR4	Donor and Other Carriers (if required) update Routing.	By 4am the next day.

8.4.3 NR1. The Customer Notifies their Service Provider of the Relinquishment

- a) The Service Provider is able to follow their standard procedure for relinquishment of a non-Ported Number, except that they must

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initiate the Ported Number Relinquishment Process within five Business Days of the Customer relinquishing the Number.

- b) The Service Provider should not relinquish a Number that is part of a Number Block.
- c) If all the Numbers in a given Number Block are being relinquished at the same time, or the last Numbers that are in use in a given Number Block are relinquished, then this Process applies.
- d) The Carrier checks that the Number(s) is/are not part of a Number Block that needs to be kept intact, as per NR1 b) & c).
- e) The Carrier provisions the relinquishment in their Network.
- f) The Carrier then sends a Relinquishment Advice to the IPMS.

8.4.4 NR2. The IPMS updates the Ported Number Register

- a) This should be done immediately following receipt of the Relinquishment Advice.

8.4.5 NR3. Other Carriers Update Routing

- a) The Donor Carrier must update their Network routing to reflect this change.
- b) If it is their policy to do so, the Other Carriers should remove the relinquished Number from their routing tables. Carriers that rely on Donor Network re-routing do not need to follow steps NR3 & NR4.
- c) The Donor Carrier is able to allocate the relinquished Numbers to another Customer once this process is complete.
- d) When complete, they send Confirmation to the IPMS.

8.4.6 NR4. IPMS Records the Confirmations

- a) The IPMS updates the Ported Number Register as it receives notification of updates.
- b) A live version of this information is available in the Fault Enquiry Screen for all Carriers.

8.4.7 NR5. Number Relinquishment Process Complete

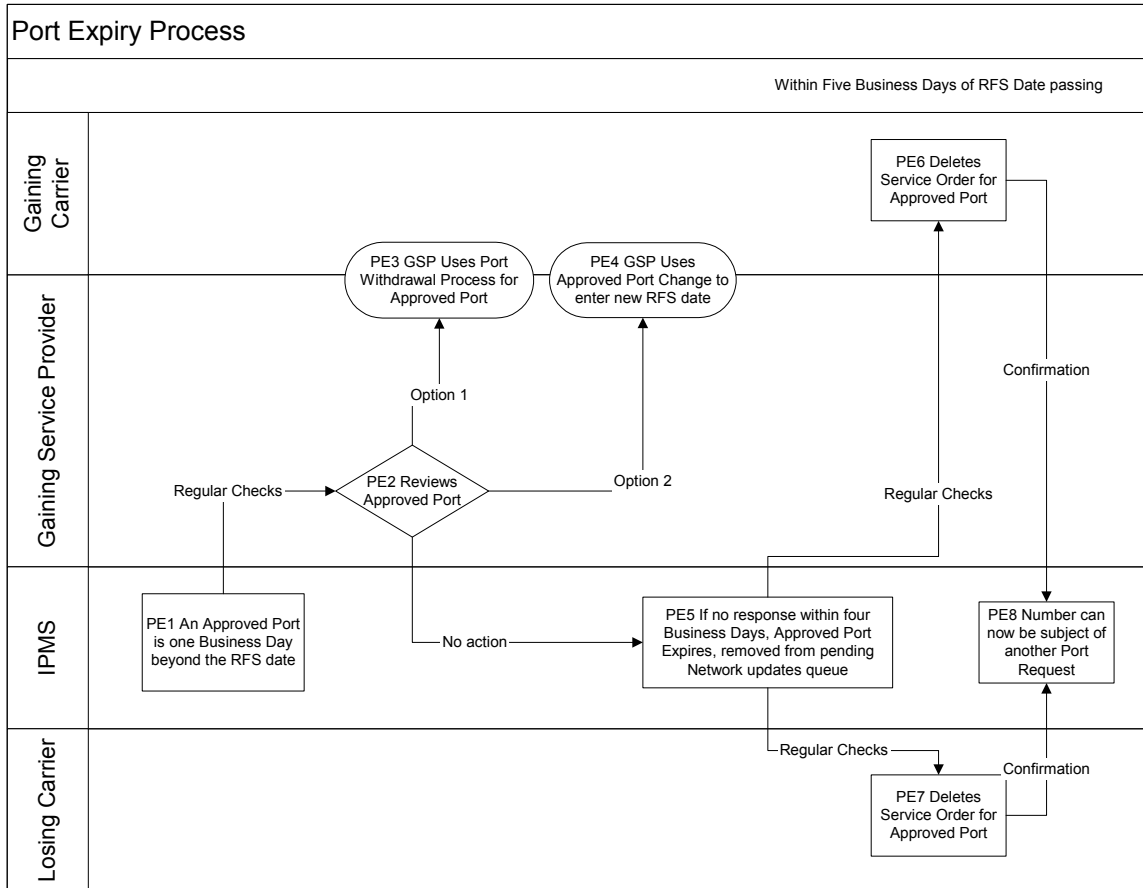
- a) The Number is no longer considered to be a Ported Number.
- b) The Donor Carrier is now able to allocate the Number, subject to clause 8.8.
- c) If the Donor Carrier is the Host Carrier, there is no requirement for this Process.

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8.5 Port Expiry Process

The Port Expiry Process occurs when an accepted Port Request has not been activated within the RFS date.

8.5.1 Port Expiry Process Flowchart



8.5.2 Port Expiry Process Timing Table

Flowchart	Port Expiry Process	Response Times
Entire Port Expiry Process		Within five Business Days of RFS.
PE5 to PE8	Gaining Carrier and Losing Carrier confirming expiry.	Within four Business Hours.

8.5.3 PE1. The IPMS Identifies Expired Port

- The IPMS identifies an Approved Port that has lapsed one Business Day beyond the due RFS date.
- The IPMS notifies the GSP that an Approved Port is about to expire and requires action.

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8.5.4 PE2. GSP Checks the Expiry Notification

- a) The GSP has one Business Day to consult with the Customer to confirm the Customer preference if not already known.
- b) The GSP has three courses of action open to it. It may use the Port Withdrawal to withdraw the Approved Port, it may use the Approved Port Change to reschedule the Port, or it may choose to do nothing.

8.5.5 PE3. The GSP Withdraws the Approved Port

- a) The GSP can use the Port Withdrawal Process to Withdraw the Approved Port if the Port is not going to be rescheduled.

8.5.6 PE4. The GSP Reschedules the Approved Port

- a) The GSP can use the Approved Port Change Process to reschedule to Port.

8.5.7 PE5. The IPMS Records the Approved Port as Expired

- a) If there is no response from the GSP within four Business Days, the IPMS will mark the Port as expired.
- b) The Approved Port is marked as “expired” in the Network update queue for both the Gaining Carrier and Losing Carrier.

8.5.8 PE6. Gaining Carrier Notifies the IPMS of Update

- a) The Gaining Carrier observes the change in the Network update queue.
- b) The Gaining Carrier confirms that they have deleted the works order for the Approved Port from their internal update queue.

8.5.9 PE7. Losing Carrier Notifies the IPMS of Update

- a) The Losing Carrier observes the change in the Network update queue.
- b) The Losing Carrier confirms that they have deleted the service order for the Approved Port from their internal update queue.

8.5.10 PE8. Port Expiry Process Complete

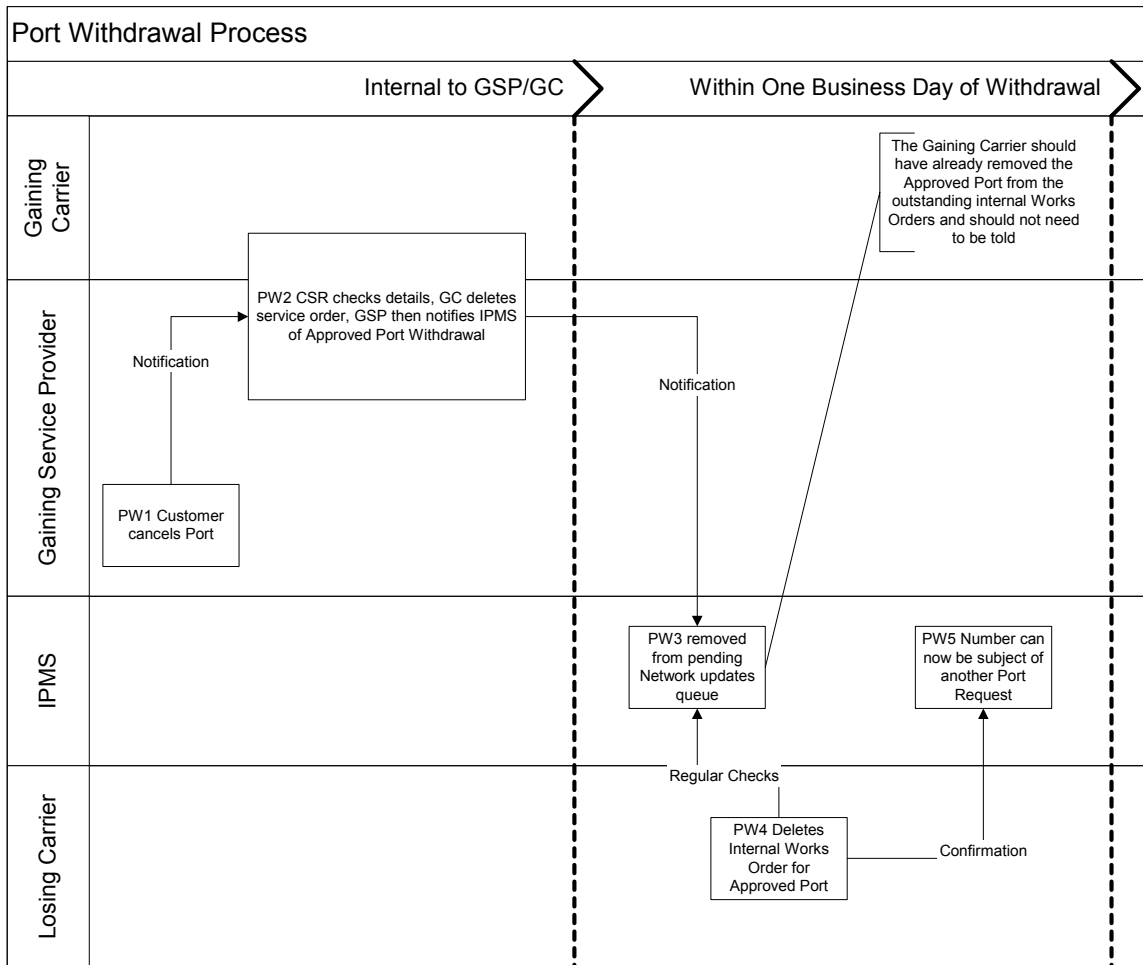
- a) The IPMS marks the Process as complete.
- b) The GSP is able to resubmit a new Port Request if required.

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8.6 Port Request Withdrawal Process

The Port Request Withdrawal Process is used when a Customer withdraws a Port. Any Port Request that has been accepted can be withdrawn before the Port Activation, or after a failed Port Activation. It must be done before a subsequent Port Request can be processed for that Number.

8.6.1 Port Request Withdrawal Process Flowchart



8.6.2 Port Request Withdrawal Process Timing Table

Flowchart	Port Withdrawal Process	Response Times
Entire Port Withdrawal Process		Within four Working Hours of Withdrawal, faster if close to the RFS date.
PW3 to PW5	Losing Carrier confirming Withdrawal.	Within two Working Hours.

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8.6.3 PW1. The Customer Cancels the Port

- a) The Customer informs the GSP that they no longer wish to Port Numbers associated with an accepted Port Request.
- b) The GSP may also use the Port Withdrawal for other reasons.

8.6.4 PW2. GSP Verifies the Details

- a) The GSP follows their internal procedures to ensure that the cancelling person has authority etc.
- b) The GSP must inform the Customer of any charges that may be incurred through Withdrawal.
- c) The Gaining Carrier looks up the SOM, checks the detail is correct, and deletes their internal works order.
- d) Removing the internal works order ensures that the Port won't be implemented.
- e) The GSP then notifies the IPMS that the Port is withdrawn.

8.6.5 PW3. IPMS notifies the Losing Carrier of Withdrawal

- a) The IPMS changes the Approved Port to "withdrawn" and removes it from the Network updates queue for the Losing Carrier.
- b) IPMS checks that Withdrawal is possible. It will not allow Withdrawal on a Port that is in the process of being Activated.

8.6.6 PW4. Losing Carrier Deletes Internal Works Order

- a) The Losing Carrier deletes the works order within their system.
- b) They confirm the deletion on the IPMS.

8.6.7 PW5. IPMS Records the Port Withdrawal is Complete

- a) A new Port Request can now be processed for that Number.
- b) Should the GSP wish to pursue the Port, it can approach the Customer and resubmit a Port Request.

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8.7 Emergency Return

An Emergency Return may be required if a problem with an activated Port is identified. It may only be used within one Business Day of the completion of a Port Activation.

The Gaining Carrier and the Losing Carrier must agree that an Emergency Return is required. The Losing Carrier and Gaining Carrier must coordinate the Emergency Return as mutually agreed. Notice periods for RFS dates need not apply.

The Emergency Return must use an existing completed Port Activation as a reference. The Emergency Return does not have to reverse all Numbers in a given Port. An Emergency Return will be processed in exactly the same way as a normal Port Activation, except that the RFS rules are not enforced.

The IPMS will require the SOM of a previously completed Port. The IPMS will check that the Port was activated within a Business Day of the request of the Emergency Return. Numbers that did not Port successfully in the original Port Activation cannot be returned.

The Gaining Carrier initiates the Emergency Return in the IPMS. The Gaining Carrier must get agreement from the Losing Carrier for the RFS date of the Emergency Return.

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8.8 Number Quarantine

The Donor Carrier is permitted to use whatever quarantine period they see fit before allocating a relinquished Ported Number, in accordance with their existing practices.

If a customer requests a recently relinquished Number, the Service Provider has every right to warn the customer of recent history of the Number and the implications of using such a Number before they allocate the Number.

[The Service Provider of a Ported Number may choose to quarantine a Number for a maximum of 90 days prior to handing the Number back to the Donor Carrier. If the Service Provider of the Ported Number has quarantined that Number, the Donor Carrier needs to be made aware of this.]

9 IPMS Capabilities

9.1 Basic Methodologies

The same messaging transport and package method will be used for all Local and Mobile Porting messages. Whilst there will be some differences:

- a) Some elements of given messages will differ between message types;
- b) Some elements of given messages will differ between classes of messages;
- c) Rules for turnaround will vary;
- d) Rules for validation will vary; and
- e) The IPMS will need to take these differences into account.

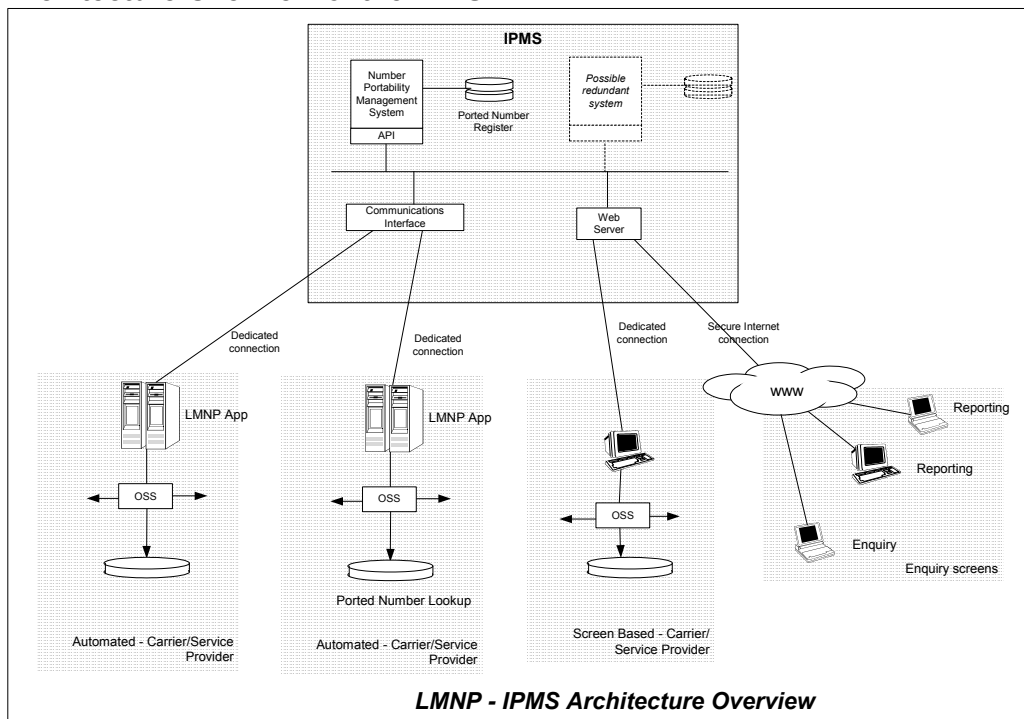
9.2 Technology Specifications

This section is intended to give a general description of the required functionality of the IPMS. Changes are expected as the IPMS is specified and built.

9.2.1 Architecture

The IPMS is a centralised system, the role of which is to provide reliable message transport, process tracking, coordination, and management. It is a tool, which will facilitate LMNP but relies on the Networks being able to support portability. The IPMS will not handle call routing, but will be the sole authority on all Ported Numbers. This will be used by Carriers to update their own Networks.

Architecture Overview of the IPMS:



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The architecture is based around a logically centralised IPMS node. Physically this may be mirrored to achieve the required service levels.

The IPMS provides transaction processing logic to manage the porting process. Management of the porting process involves the IPMS maintaining a database of ported numbers (available in the form of the Ported Number Register). All carriers synchronise their ported number lookup tables with the IPMS. Typical information in the IPMS might include:

- a) Number and current Service Provider;
- b) Status of Numbers and when service is to be implemented;
- c) Tasks that are still to be completed and by what Service Providers.

All Service Provider's access the IPMS via an IPMS API. All the participants in LMNP achieve rapid and reliable communication of their requests and responses from the IPMS.

Basic API functionality would be:

- a) The ability to accept requests to perform a function, for example processing a Port Request;
- b) The ability to notify a Service Provider automatically to do something, for example the notification of a Port Activation; and
- c) Allowing a Service Provider system to monitor transaction queues for messages, and then respond to them with the appropriate result.

In the case of automated access, there is a direct interface with the API. A web server is to be available to allow Service Providers and Carriers to perform port related functions manually, as well as generate queries and reports. The Web server would also use the API to interface with the IPMS.

The API will be a "black box system", meaning Service Providers and Carriers would only know the interface and messaging specifications. They will not require awareness of how the API communicates to the IPMS.

9.2.2 System Interface

The IPMS interface will be standardised to ensure ease of communication. It is likely to be based around some form of XML messaging. The IPMS will be able to communicate with parties via a web browser front-end or a machine-to-machine interface.

All the logic and business rules will be in a common layer in the IPMS. This will ensure that the same rules are used for all communication with the parties.

The Technical Specification of the IPMS will include detailed screen layouts and specifications for all aspects of web browser screen design.

9.2.3 Connection Methods

The type of connection between each Party and the IPMS must meet basic standards for speed, security, and reliability.

Each Party will access the IPMS by dedicated private communications connection or secure internet connection. Some parties may wish to use a VPN,

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this will need to be acceptable to all Parties to ensure system security and integrity.

Connections to the IPMS should be protected by software encryption/authentication protocols such as SSL and HTTPS.

9.2.4 Queues

The IPMS will use a set of transaction queues to facilitate the management of outstanding Port events. There will be a Port Request queue, an Approved Port Request queue, and a Network updates queue, these will be defined more in the Technical Specification.

Their usage will vary between those parties using a web-client and those using a machine-to-machine connection.

9.2.5 System Response Times

Most processes will require some immediate feedback in terms of basic checking or presentation of information to the user. Such on-line interactive use will require short response times. Ideally, under normal system load, an interactive processing request should be responded to in less than one second unless otherwise agreed.

The response time will depend on the connection method used by an individual party, as well as the performance of the centralised system. Performance would be measured as the elapsed time for the central system to queue a response to the router at the central site. Any further network latency introduced due to the capacity of the network connection or Client LAN will be the responsibility of the organisation.

9.2.6 Reliability

The reliability requirements for the IPMS are:

- a) It must be available for transmitting messages 99% of the time on a 24 hour by 7 day a week basis, except for scheduled maintenance periods;
- b) It should not be unavailable for more than four contiguous Business Hours; and
- c) There will be no provision for a formal or structured fallback procedure for when the system is down. It is expected that all Porting activity will halt during an outage. In such a situation, calls to Ported Numbers are not impacted.

9.3 Users and Security

A record will have to be created in the database for each user who is to access the system. All transactions and responses made will be tracked and logged by user. User access controls will ensure that users are confined to the parts of the system demanded by their role.

Processes will be available to enable user records to be maintained, along with security access and user preference options.

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Parties to the Code that use a machine to machine connection may use only a limited number of users, as few as one. They are expected to track their own user activity within their system, and may be required to do so if investigation of a given event is required.

Security access and user preference/default values will be held in user profile records. Groups of users within each party to the Code who have common access requirements will share a common user profile. That will simplify the process of maintaining access for a large number of users. A user administrator responsible for user access and preferences will be able to change the preferences for a group of users by changing a single user profile record. Users will not have access to change their own user profile.

It will be possible to create, change and activate/deactivate user and user profile records. Those records may also be deleted, but only after all other references to the record have been removed from the database by archiving/ageing processes (to ensure data integrity).

9.4 Error Handling

The IPMS will need to ensure that the processes are reliable accurate. The following tools will be used to minimise and handle errors:

- a) Logging of faults/abnormal events;
- b) The ability to rollback and/or recover within the IPMS; and
- c) Track process confirmations and acknowledgements.

9.5 Reporting and Data Extracts

A number of reports will be required to enable and manage the Porting processes. The reports detailed here may be amended or superceded during the implementation of the IPMS system.

The following reports will be produced by the IPMS on a regular basis, outside of Standard Hours of Operation. All reports will be available either in a form for viewing or in a standard format (such as Comma Separated Value (CSV) format text files) for importing in to other applications. Automated processes will generate the regular reports.

Reports with a limited number of pages may be viewed directly from the web browser interface. However, longer reports may be required to be downloaded, before viewing, to minimise the impact on system performance. Details of which reports may be viewed on-line will be given in the Technical Specification.

Access to reports and data extracts will be controlled by parameters in the user profile.

The intention of the data extracts is to enable parties to the Code to produce their own reports, in whatever format they prefer, involving any transactions to which they were a party.

Each IPMS Party will have access to a data extract or report giving the details of any transaction performed by Users belonging to their organisation.

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Minimum information in the detailed data extracts and reports will include:

- a) Local or Mobile Number;
- b) Type of transaction;
- c) User ID;
- d) Carrier/Service Provider; and
- e) Date/time of the transaction.

9.5.1 Ported Number Register Daily Changes for Carriers

All Carriers will have access to the same data extract of all Network routing updates (Ports and Relinquishments). It will also be available as a formatted report.

This extract/report will automatically be produced daily. The data extracts will accumulate on the IPMS server in a file for each calendar month. This will provide fast access for the Carriers to the state of Ported Numbers at any time without unduly slowing the Porting Processes. Each monthly file will remain available for the Carriers to download for one calendar year from the time of the original transaction.

Ports will only appear in this extract/report once the Port is complete.

Information will include the Date/time when each update was first created in IPMS, Host Carrier ID (HOC), Confirming Carrier ID (HOC), Date/time(s) when each update was confirmed as implemented by each Carrier, and Date/time of final confirmation if all confirmations are complete.

9.5.2 Ported Number Register Daily Changes for Service Providers

A separate data extract will be produced, for each Service Provider, of all transactions involving that Service Provider.

The Service Provider may also choose to receive the data formatted as a report.

This extract/report will automatically be produced daily. The data extracts will accumulate on the IPMS server in a file for each calendar month. Each monthly file will remain available for the Service Provider to download for one calendar year from the time of the original transaction.

Information in the extract/report will include the following events:

- a) Relinquishments;
- b) Ports Requests made by this Service Provider, including Port status (e.g. Approved, Rejected, Cancelled, Expired, Waiting);
- c) Ports completed by new Host Carrier;
- d) Date/times of when network updates were confirmed by all Carriers;
- e) Port Requests made to this Service Provider with date/time and the full details of the response;
- f) Fault Enquiries performed the Service Provider; and

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- g) Fault Enquiries performed by another Service Provider on Numbers Ported to this Service Provider.

9.5.3 Full Ported Number Register

A data extract for Carriers will be produced giving the current Status of all Ported Numbers at the end of every day. Carriers can run this report at any time on request.

Carriers will have access to this register of the host Carrier for every Ported Number. Host Carriers can use this process to verify the integrity of the IPMS database. The Carriers can also use this process to verify that their networks will route calls as expected by the other parties to the code.

It will list all Ported Numbers, Status (Ported, approved for Port, outstanding Port Request) of each Number, date when the status last changed, and the previous status.

Alternatively a list for a smaller range of Ported Numbers can be retrieved from IPMS.

9.5.4 Ported Number by Carrier Summary Report

A Ported Number by Carrier summary report lists the total quantity of Ported Numbers held by each Host Carrier at midnight on any given day. This gives a quick summary that can be used by a Carrier to confirm that their internal records are up to date.

This report will be produced daily or weekly.

The report will show quantity of Ported Local and Mobile Numbers as separate figures, the last Local and Mobile Number to be Ported to and away from each Carrier, and the activation date and time of both Ports for each Carrier.

9.5.5 Transaction Log Activity Report

A party to the Code may run a report of transactions performed by all its Users. Alternatively this report may be requested for a single User.

This report will be produced daily or weekly and will show:

- a) User ID;
- b) Transaction type;
- c) Number; and
- d) Date/times;

9.5.6 Performance Summary Report for Service Providers

A performance summary report for Service Providers highlights transaction volumes and average times for transactions to be completed. Each Service Provider will have access to a version of this report for transactions initiated by their own Users to allow them to monitor their performance and ensure they are meeting required service levels.

This report will be generated weekly or monthly.

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It will show:

- a) Total number of Relinquishments;
- b) Average and maximum time for Relinquishments to be confirmed by Gaining Carrier;
- c) Average and maximum time for Relinquishments to be confirmed by the Losing Carrier and third-party Carriers;
- d) Totals of Port Requests created;
- e) Approved, withdrawn and rejected;
- f) Average time for incumbent Service Providers to respond to Port Requests;
- g) Total number of Ports confirmed by Carriers in their roles as Gaining Carrier, Losing Carrier, Donor Carrier, and other Carrier;
- h) Average and maximum time for Ports to be confirmed by Gaining Carrier;
- i) Average and maximum time for Ports to be confirmed by Losing Carriers;
- j) Average and maximum time for Ports to be confirmed by Donor Carriers; and
- k) Average and maximum time for Ports to be confirmed by other Carriers.

Other measurements could be added during the implementation phase as required.

9.5.7 Service Level Performance Summary Report

This monthly report gives the average time and the maximum time taken for each Carrier to respond to Port, and for each Service Provider to respond to Port Requests, as well as the percentages for PR Rejection and PR Acceptance for both Port Requests made and received. The report will also show the system-wide average response time for the same transactions.

9.5.8 Activity Report

A report will show a summary of Carrier and Service Provider activity over a date range as required. A summary output file will be produced quarterly and could be used by the IPMS administrator to generate invoices to parties to the Code.

Parties to the Code may run this report for their company's activities for a specified date range, either at a summary or detailed level.

9.5.9 Fault Enquiries Report

This report will list the Number fault enquiries made by each party to the Code, including the Number for each enquiry, the User ID, date and time. The report will also show a total count of fault enquiries made by each IPMS Party. The IPMS administrator may use this report to verify acceptable use of the fault enquiry function.

9.5.10 Security Access Violations Report

A report will be available to the IPMS administrator, listing failed attempts to access the system via an invalid user ID or password.

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9.5.11 Extract of Ports for Directory Services

A regular data extract will be created listing each Port performed, showing the old and new Service Providers for the Ported Number. If agreed by the IPMS administrator, this data could be made available to companies providing telephone directory services. The directory companies could use this information to help maintain telephone directory listings and directory billing for the Service Providers and their Customers.

9.5.12 Extract of Ported Numbers for Emergency Services

A regular data extract could be created listing each Port performed, showing Number, the Gaining Carrier, and the Gaining Service Provider. The GSP and Gaining Carrier may need to use this report and add Customer details (such as name and address) for supply to Emergency Services.

9.6 Enquiry Screens

There are a number of Enquiry functions that will be required in the IPMS to ensure that various participants have the necessary visibility of Ports to allow them to respond to other Party's Ports and manage their own.

9.6.1 Number Fault Enquiry

For fault and troubleshooting purposes an enquiry function will be available which will return all information held by the system about a particular Number.

This function can be used to enquire on only one Number at a time. No wildcard search criteria or ranges will be accepted.

Information returned will include details of all changes to the Number status stored in the on-line transaction activity log. It will show the date and time when each Carrier confirmed implementation of the latest update to the Number. It will also reveal the name of the incumbent Service Provider, Host Carrier, and Donor Carrier for the Number.

Access to this fault enquiry function will be controlled by a separate security parameter on the user profile. All use of this function will be logged and reported to the IPMS administrator.

Users with access to this function should not be able to access Customer service oriented functions such as Port Request, unless those Users are fixing faults and need access to those functions to perform that role.

9.6.2 Port Request Status Screen - GSP

This would show each outstanding Port Request that is in the acceptance process or has been accepted. Ports would stay on this list until the Activation process commences.

It will list SOM, RFS Date, Port Category, Status, and Number(s) (limited qty of Numbers). An indication of when a response is expected could be useful.

Each entry would display a reminder if it were awaiting a response from the GSP to move forward.

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9.6.3 Port Request Status Screen - LSP

This would show each outstanding Port Request that the LSP has in their queue. Ports would stay on this list until the response has been sent.

It will list SOM, RFS Date, Port Category, Status, and Number(s) (limited quantity of Numbers). An indication of when a response is expected could be useful.

Each entry would display a reminder if it were awaiting a response from the LSP to move forward.

9.6.4 Approved Ports Status

This will show the queue of Approved Ports that are yet to be activated. The ports in the queue will be those where the Carrier is the Gaining Carrier or the Losing Carrier. The GSP will also have visibility of their Approved Ports.

It will be displayed in RFS Date order. Any Approved Ports that are subject to a change request will be highlighted, as will any that have changed as a result of a change request.

9.6.5 Approved Port Changes (APC) Status

This will display any Port changes where the Carrier or GSP is either the requesting or responding party.

It will display Approved Ports that are subject to change in order of the oldest requests first. Both the respondent and requester will be able to access an individual Port change from the screen and respond to it.

9.7 Archiving

Messages, logs, and histories should not be deleted but can be archived in a form that is readily accessible.

9.8 Migration

It may be necessary to migrate existing Local porting data on to the new system. One option would be to load the existing ports using the system during the implementation phase. The alternative is to build capability to import this data into the IPMS Number Register from each Carrier.

9.9 Data Integrity/Synchronisation

Where there is inconsistency between Carriers and the IPMS Number Register, the IPMS will be considered to be the correct. Carriers may need to develop processes for using the reports defined in this Code to check their own routing tables and procedures for correcting them.

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Appendix: Tables

Table 1: Port Request Fields

The following is a list of the required items to include in a port request, with their relevance to different types of ports:

Field	Source	Local		Mobile	
		Simple	Complex	Pre-Pay	Post-Pay
SOM	Auto	Required	Required	Required	Required
Type of message	GSP	Required	Required	Required	Required
Category of message	GSP	Required	Required	Required	Required
Date of request	Auto	Required	Required	Required	Required
Time of request	Auto	Required	Required	Required	Required
Account Number	Customer	Required	Required	N/A	Required
Handset Reference	Customer	N/A	N/A	Required	N/A
Phone number	Customer	Required	Required	Required	Required
GSP	Auto	Required	Required	Required	Required
Losing Service Provider	Customer	Required	Required	Required	Required
Gaining Carrier	Auto	Required	Required	Required	Required
RFS Date	Customer	Required	Required	Optional	Optional
Customer name	Customer	Required	Required	N/A	N/A
Customer service address	Customer	Optional	Optional	N/A	N/A
Customer contact number	Customer	Optional	Optional	N/A	N/A
Losing Carrier	Auto	Required	Required	Required	Required

Type of message refers to whether it is a Port, APC, Port Withdrawal, Port Expiry, or Relinquishment.

Category of message refers to whether it is a Simple Local, Simple Mobile, Complex Local, or Complex Mobile.

Gaining Carrier is completed by the GSP.

Losing Carrier is completed by the IPMS.

Handset Reference is required for Pre-Pay

Pre-Pay or Post-Pay is at the time of the Port Request, not what the Customer intends to be with the new Service Provider.

Some fields will be inserted into the request by the IPMS – specifically the SOM, date of request, and time of request.

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Other Transaction Fields:

These have yet to be defined in detail, but it is expected that most other messages will consist of date, time, SOM, and message type.

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Table 2: Service Levels

The table below sets out the service level for given steps in the Porting Processes.

Party	Process	Action	Local		Mobile	
			Simple	Complex	Simple Pre-Pay or Post-Pay	Complex Post-Pay
LSP	Port Request	Responds to Port Request (PR4 to PR6)	Within one Business Day	Within two Business Days	Within 30 Working Minutes	Within two Business Days
GSP	Port Request	Reviews LSP response and Approves/Rejects (PR6 to PR8)	Within one Business Day	Within two Business Days	Within 30 Working Minutes	Within two Business Days
Gaining Carrier	Port Activation	Port as Gaining Carrier (PA5-1 to PA7)	At agreed time ²	At agreed time ²	N/A ¹	At agreed time ²
Losing Carrier	Port Activation	Port as Losing Carrier (PA5-3 to PA5-4)	At agreed time ²	At agreed time ²	N/A ¹	At agreed time ²
Donor Carrier	Port Activation	Port as Donor Carrier (PA10 to PA12)	By 4am Next Day	By 4am Next Day	By 4am Next Day	By 4am Next Day
Other Carrier	Port Activation	Port as 3 rd party (if required) (PA11 to PA12)	By 4am Next Day	By 4am Next Day	By 4am Next Day	By 4am Next Day
Responding Party	Approved Port Change	APC Response to request (APC3 to APC5)	Within two Working Hours	Within four Working Hours	Within two Working Hours	Within four Working Hours
Gaining Carrier and Losing Carrier	Approved Port Change	APC update service orders from APC changes (APC7 and APC8)	Every Working Hour	Every two Working Hours	Every Working Hour	Every two Working Hours
Host Carrier	Ported Number Relinquishment	Relinquishment of Ported Number (NR2)	Within five Business Days	Within five Business Days	Within five Business Days	Within five Business Days
Donor Carrier	Ported Number Relinquishment	Relinquishment as Donor Carrier (NR3 to NR4)	By 4am Next Day	By 4am Next Day	By 4am Next Day	By 4am Next Day

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Other Carrier	Ported Number Relinquishment	Relinquishment as 3 rd party (if required) (NR3 to NR4)	By 4am Next Day	By 4am Next Day	By 4am Next Day	By 4am Next Day
Gaining Carrier and Losing Carrier	Port Expiry	Confirmation of service order deletion for Port Expiry (PE5 to PE8)	Within four Working Hours	Within four Working Hours	Within four Working Hours	Within four Working Hours
GSP	Port Withdrawal	Port Withdrawal (entire process)	Within four Working Hours	Within four Working Hours	Within four Working Hours	Within four Working Hours
Losing Carrier	Port Withdrawal	Confirming Port Withdrawal (PW3 to PW5)	Within two Working Hours	Within two Working Hours	Within two Working Hours	Within two Working Hours

¹ The Gaining Carrier activates as soon as they wish to.

² Agreed between both the GSP and LSP, being within the prescribed half-day window for Local and Complex Mobile and within ten minutes for Simple Mobile Ports.

Parties are expected to meet these service levels 95% of the time.

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Table 3: RFS Minimum and Maximum Notice Periods

	Minimum	Maximum
Local Number ports:		
Simple Ports	Two Business Days	30 calendar days
Complex Ports	Five Business Days	30 calendar days
Mobile Number Ports:		
Simple Ports	One hour	Five Business Days
Complex ports	Two Business Days	30 calendar days

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Table 4: Port Request Tests

Initial IPMS Port Request Tests:

Actions performed on Port Request in initial IPMS check at PR3, and repeated in PR6 and PR8.

Field	Test
SOM	Not checked, but must be present.
Type of Message	Must be valid type, rules are enforced based on type.
Category of Message	Checks that the Port Request is correctly categorised as Local or Mobile, Simple or Complex.
Date of request	Not checked, but must be present (automatically inserted in web client).
Time of request	Not checked, but must be present (automatically inserted in web client).
Account Number	If not Pre-pay, checks for the presence of an account number that meets the account number length test.
Handset reference	If Pre-pay, checks for the presence of a handset reference number that meets the handset reference number length test.
Phone number	Checks the presence of valid Numbers, based on the Message category and prefix and number length rules. Checks Number isn't the subject of an outstanding Port Request or Approved Port.
GSP	Could be checked but should be inserted automatically (checking probably a good idea).
Losing Service Provider	Can check number in Ported Number Database, if not present can check if the numbers are in the number range of the Losing Service Provider.
Gaining Carrier	Check for completion with valid Gaining Carrier.
RFS date	Check that it is in the proper window for the category of Message.
Customer name	No check.
Customer service address	No check.
Customer contact number	No check.
Losing Carrier	The IPMS can insert this based on Carrier Number ranges, or from the Ported Number Register.

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Table 5: Checks performed by the Losing Service Provider at step PR5

This table sets out the mandatory checks to be performed by the LSP at step PR5 and it gives examples of other information that may be provided to the LSP and checks may be performed by the LSP. This may be subject to change.

Field	Description
SOM Number	No check.
Type of Message	No check.
Category of Message	Mandatory - LSP must confirm that they agree, shall only disagree if they consider the Port to be Complex when the GSP has nominated Simple.
Date of request	No check.
Time of request	No check.
Account Number	Mandatory - for non-Prepay, checks that the Account number is valid and checks the Numbers are allocated to this account.
Handset Reference	Mandatory - for Prepay, checks that the Handset reference is valid and checks the Number is allocated to this reference.
Phone Number	Mandatory - see Account Number/Handset Reference above.
Gaining Service Provider	Mandatory - allows the LSP to contact the GSP if required during the Co-operative Period.
Losing Service Provider	Mandatory - the LSP checks that this is their Number above.
Gaining Carrier	Not presented to the LSP.
RFS Date	Presented to the LSP for reference but not subject to checking, already validated by IPMS.
Customer name	If completed by GSP – it will be presented to the LSP. It can be used to help ensure the details are correct.
Customer service address	If completed by GSP – it will be presented to the LSP. It can be used to help ensure the details are correct.
Customer contact number	If completed by GSP – it will be presented to the LSP. It can be used to help ensure the details are correct.
Losing Carrier	Presented to the LSP, no check required.