

CANADIAN

COMMON SMS SHORT CODE

ASSIGNMENT GUIDELINES

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1 Purpose and Scope of This Document

- 1.1 This document specifies guidelines for the assignment of Common Text Messaging Short Codes in Canada, hereafter referred to as 'Short Codes' within these guidelines. Short Codes are intended to be used for the provisioning of a broad range of existing and future services via text messaging across all participating wireless networks.

2 Assumptions and Constraints

The development of the Short Code assignment guidelines include the following assumptions and constraints:

- 2.1 Short Codes are non-dialable numbers. They do not interact with, or affect routing in the PSTN. As such, Short Codes are not North American Numbering Plan (NANP) Resources. Use of Short Codes is done at the discretion of participating carriers within the context of each individual network.
- 2.2 The Short Code Guidelines have been established as the result of an interest expressed by wireless carriers and third parties for the activation — across multiple Canadian wireless networks — of Common Short Codes to be used in services related to text messaging to and from wireless subscribers.
- 2.3 These guidelines treat only the assignment of Short Codes. Implementation of the Short Code assignments is beyond the scope of these guidelines. These guidelines are not intended to address routing arrangements for messages.
- 2.4 The guidelines should provide the greatest latitude in the provision of services while effectively managing a finite resource.
- 2.5 Short Codes are not owned by the assignees. Consequently, the resources cannot be sold, brokered, bartered or leased by the assignee for a fee or other consideration.
- 2.6 The assignment and management of Short Codes will be administered in accordance with these guidelines by the Short Code Administrator. At the direction of the Administrator, the Short Code holders will be requested to provide service activation and other information to the Administrator on a periodic basis to ensure effective management of the Short Code resource.

3 Short Code Assignment

The following assignment principles shall apply.

- 3.1 In general, all Short Code assignments shall be 5 or 6 digits in length in the format NXXXX or NXXXXX, where N is any number between 1 and 9 and X is any number between 0 and 9.

The 4 digit range NXXX is held in reserve for future use as Common Short Codes.

Short Codes in the range 4XXXX and 4XXXXX shall be considered Private Short Codes for the internal use of individual carriers.

Short Codes outside the ranges NXXX, NXXXX, and NXXXXX are not covered by these guidelines and are deemed to be Private Short Codes and may be used by individual wireless carriers for their own purposes.

5 DIGITS	
10,000 – 39,999	Common Short Codes
40,000 – 49,999	Private Short Codes
50,000 – 99,999	Common Short Codes
6 DIGITS	
100,000 – 399,999	Common Short Codes
400,000 – 499,999	Private Short Codes
500,000 – 999,999	Common Short Codes

- 3.2** Short Code assignments shall be made for periods of three (3), six (6), or twelve (12) months. A Short Code may be renewed for an additional term of three (3), six (6), or twelve (12) months so long as the assignee remains in compliance with these guidelines.
- 3.3** Assignments will be made on a first come, first served basis and there will be no reservation of Short Codes. Short Codes will be assigned from the available unassigned numbers. The Administrator will attempt to match a number assignment with a specific number request.
- 3.4** Short Codes are not to be used to identify initial destination addresses in the public switched telephone network (PSTN).
- 3.5** A Short Code assigned in accordance with these guidelines must be placed into service and remain in service, within the time limits specified herein. Otherwise, the Short Code will be subject to reclamation.
- 3.6** Information that is requested of applicants in support of Short Code assignment shall be kept to a minimum and shall be uniform for all applicants. Information received by the Administrator shall be treated as confidential as appropriate and adequately safeguarded.
- 3.7** Short Codes shall be assigned in a fair and impartial manner to any applicant which meets the criteria for assignment as detailed in Section 4.0.
- 3.8** Applicants for Short Codes must comply with all applicable local, provincial, and federal laws and regulations relative to the services they wish to provide.

4 Criteria for the Assignment And Retention of Short Codes

The assignment criteria in the following sections shall be used by the Administrator in reviewing a Short Code assignment request for an initial and/or additional number.

- 4.1 Short Codes are intended to be used for the provisioning of a broad range of existing and future services via text messaging across all participating wireless networks.

Services must be compatible with the network technologies of all participating wireless networks to be eligible for a Short Code.

- 4.2 In order to obtain a Short Code, an applicant must fully complete the Short Code Request Form. The first five Short Code assignments are classified as "initial" assignments. Requests for Short Code assignments beyond the first five Short Codes are classified as "additional" assignments.
- 4.3 An Applicant submitting a request for number assignments beyond the first five (5) numbers must demonstrate they have placed each previously assigned Short Code in service.
- 4.4 Following receipt of a valid application, the Administrator will forward the application to the CWTA Short Code Council for review and approval or denial.
- 4.5 After approval from the CWTA Short Code council, if the Applicant specifies a preferred Short Code, the applicant's preference will be honored to the extent possible. In the event the applicant's preferred number is unavailable, the applicant may specify up to three alternative numbers in order of preference. If the preferred and alternative numbers are not available or the applicant does not indicate a preference for another specific number, the Administrator will consult with the Applicant.

In the alternative, the Applicant may choose to be assigned a random Short Code by the Administrator.

- 4.6 If two or more applicants request the same Short Code simultaneously, (i.e., valid written requests are received by the Administrator on the same date), one of the applicants will be randomly selected to receive the requested Short Code.

5 Short Code Provisioning

- 5.1 After a Short Code is assigned, it will only be provisioned for testing and routing purposes once the Applicant has reached appropriate terms with a minimum of two (2) competing wireless carriers for the use of the code for a particular program or service.
- 5.2 If, after three (3) months following the assignment of the Short Code, the Applicant has not reached agreement with any carrier, the Short Code shall be reclaimed by the Administrator.
- 5.3 If, after three (3) months following the assignment of the Short Code, the Applicant has reached agreement with one carrier — or two or more affiliated carriers — an additional one (1) month will be provided to the Applicant in order to reach agreement with a second, competing carrier.
- 5.4 If, after four (4) months, as described in item 5.3, the Applicant still has only reached agreement with one carrier — or two or more affiliated carriers, the Applicant and

the carrier with which it has an agreement may apply to have the Short Code deemed a Private Short Code.

- 5.5** A provisioned Short Code will be considered active on the scheduled program launch date contained in the Short Code application. The term of the Short Code begins the date the Short Code becomes active.

6 Responsibilities of Short Code Administrator

The Administrator shall:

- 6.1** Provide copies of the Short Code assignment guidelines when requested and timely notification of changes to the industry.
- 6.2** The receipt of Short Code requests shall be tracked and assignments will be made on a first come, first served basis, except as noted in Section 4.6.
- 6.3** Upon receipt of the signed Short Code Request Form, the Administrator shall process applications for a Short Code in the following manner:
- 6.3.1 Determine if the request is in compliance with Short Code assignment policies and guidelines contained herein.
 - 6.3.2 Forward to CWTA Short Code Council for review.
 - 6.3.3 Respond within 10 working days from the date of receipt of a Short Code Request Form following the approval of the CWTA Short Code Council.
 - 6.3.4 The Administrator will attempt to assign the preferred Short Code as listed on the Short Code Request Form. If the requested number is unavailable, the Administrator will discuss with the applicant the assignment of an alternative number.
 - 6.3.5 Maintain records on Short Codes assigned plus those available, and publish the assignments on an annual basis or make available upon request.
 - 6.3.6 If the application is approved and a Short Code is assigned, the Administrator will will notify the applicant, and send a confirmation letter.
 - 6.3.7 In cases where a Short Code application is denied, provide specific reasons for the denial to the applicant on the form.
- 6.4** Return of Short Codes which have been assigned but have not been activated in conformance with these guidelines, will be subject to the reclamation procedures outlined in Section 10.

7 Responsibilities of Short Code Applicants and Holders

7.1 Entities requesting new Short Code assignments as well as entities already assigned Short Codes shall comply with the following:

7.1.1 Short Code applicants for initial and/or additional number assignments shall submit their requests to the Administrator using the Short Code Assignment Request Form. Separate request forms shall be submitted for for each Short Code. The applicant will complete all required entries on the Short Code Request Form to the best of his/her knowledge.

7.1.2 The information associated with a Short Code assignment may change over time. Such changes may occur, for example, because of the transfer of a Short Code -- through merger or acquisition -- to a different company. These changes may include not only a change in company name, but also a change in the location to which messages sent with a given Short Code are to be routed. Accordingly, the Administrator must be informed using the Short Code Request Form, of these changes to ensure that an accurate record of the entity responsible for the Short Code and the data associated with the Short Code is maintained.

7.1.3 The holder of a Short Code acquired by merger, acquisition, or other means must use the number consistent with these guidelines.

7.2 A Short Code holder must participate in any audits conducted by the Administrator. Items that may be audited:

7.2.1 Proof that the number is being used in accordance with the guidelines.

7.2.2 Validation of Company name and address.

8 Short Code Renewal

8.1 Short Code holders may renew an assigned Short Code for a subsequent period of three (3), six (6), or twelve (12) months. Renewal is subject to the agreement of participating carriers.

9 Short Code Ageing

9.1 Short Codes that are returned to, or reclaimed by the Administrator shall not be re-assigned for period of at least eight (8) months. During this time, the Short Code will be considered Ageing.

10 Reclamation Procedures

Assignee Responsibility

- 10.1** The entity to which a Short Code(s) has been assigned shall return the Short Code(s) to its administrator if:
- 10.1.1 It is no longer needed for the purpose for which it was originally assigned.
 - 10.1.2 The service it was assigned for is discontinued.
 - 10.1.3 The Short Code(s) was not activated.
 - 10.1.4 Upon request by the Administrators if there has been a breach according to these Guidelines.
 - 10.1.5 Upon request by the Administrator following direction from a legal authority.

Administrator Responsibilities

- 10.2** The Short Code administrator will contact any Short Code assignee(s) identified as not having returned to the administrator for reassignment of any Short Code:
- 10.2.1 Assigned, but no longer in use by the assignee(s),
 - 10.2.2 Assigned to a service no longer offered,
 - 10.2.3 Assigned, but not activated by the established date, or
 - 10.2.4 Assigned but not used in conformance with these assignment guidelines.
 - 10.2.5 Assigned and used in a manner contrary to the Code of Conduct.
- 10.3** The administrator will seek clarification from the assignee(s) regarding the alleged non-use or misuse. If the assignee(s) provides an explanation satisfactory to the administrator, and in conformance with these assignment guidelines the Short Code(s) will remain assigned. If no satisfactory explanation is provided, the administrator will request a letter from the assignee(s) returning the assigned Short Code(s). If a direct contact can not be made with the assignee(s) to effect the above process a registered letter will be sent to the assignee(s) address of record requesting that they contact the administrator within 30 days regarding the alleged Short Code(s) non-use or misuse. If the letter is returned as non-delivered the administrator will advise the CWTA Short Code Council that the Short Code(s) will be made available for reassignment following the established ageing period, unless the CWTA Short Code Council advises otherwise within 30 days.
- 10.4** The Short Code administrator will refer to the CWTA Short Code Council for resolution any instance where an assigned Short Code has not been returned for reassignment by the assignee if:

- 10.4.1 The resource has not been activated by the established date.
- 10.4.2 A previously activated Short Code(s) is not now in use.
- 10.4.3 An activated Short Code(s) is not being used in accordance with the guidelines.
- 10.5** If a Short Code is not activated by the established date and the administrator determines, by discussion with the Short Code assignee(s), that the reason for the non-activation is not within the control of the assignee(s), the administrator may extend the established activation date by up to 90 days.
- 10.6** The Short Code administrator will receive, process and refer to the CWTA Short Code Council for resolution any application from Short Code assignees for an extension on an established Short Code activation date when the:
 - 10.6.1 Activation has not occurred within the 90 day extension,
 - 10.6.2 Administrator believes that the activation has not occurred due to reason within the assignee's control, or
 - 10.6.3 Assignee requests an extension in excess of 90 days.
- 10.7** Referral to CWTA Short Code Council will include the offered reason why the extension is requested, a new proposed activation date, and the administrator's recommended action.
- 10.8** The Short Code administrator will make all returned resources available for assignment following the established ageing period.

CWTA Short Code Council Responsibilities

- 10.9** The CWTA Short Code Council will:
 - 10.8.1 Accept all referrals of alleged non-use or misuse of Short Code(s) from the Short Code administrator
 - 10.8.2 Investigate the referral,
 - 10.8.3 Review referrals in the context of these assignment guidelines,
 - 10.8.4 Attempt to resolve the referral, and
 - 10.8.5 Direct the Short Code administrator regarding the action, if any, to be taken.

Liability

- 10.10** Under no circumstances shall the Administrator, Operator or any of their affiliates, or any of their respective officers, directors, employees, shareholders, agents or representatives be liable for any damages or losses incurred by Program Aggregators or Program Entities as a result of Short Code reclamation pursuant to these guidelines.

11 Private Short Codes

- 11.1** Participating carriers may request that certain Common Short Codes be designated private. Any participating carrier may submit a list of such codes to the Administrator and the CWTA Short Code Council. Upon agreement of the CWTA Short Code Council, the Administrator will mark the codes as Private.
- 11.2** In certain circumstances, a Private Short Code may be designated a Common Short Code. Two or more competing carriers must submit a request to the CWTA Short Code Council identifying the specific code and the reasons. The Decision of the CWTA Short Code Council is final.

12 Maintenance of These Guidelines

- 12.1** It may be necessary to modify these assignment guidelines periodically to meet changing circumstances.