

## **ANNEX B**

### **INTERNATIONAL MOBILE SUBSCRIBER IDENTITY (IMSI)**

### **IMSI Oversight Council (IOC)**

### **MANAGEMENT GUIDELINES AND PROCEDURES**

## 1. Background

During the latter half of 1995, the US wireless telecommunications industry developed assignment guidelines for International Mobile Subscriber Identities (IMSI) in the US. These guidelines were developed in an open industry forum jointly sponsored by the Cellular Telecommunications Industry Association (CTIA) and the Personal Communications Industry Association (PCIA). The result of this development effort was the consensus-approved document titled *IMSI Assignment Guidelines and Procedures* – to which this Annex is attached.

The guidelines call for the formation of an “appropriate industry forum” tasked with various responsibilities associated with the management of the IMSI resource and oversight of IMSI administration. The forum that was formed is the IMSI Oversight Council (IOC). This document defines this forum, including its scope, mission, responsibilities, participants, organization, operational procedures, and interworking.

## 2. IOC Mission and Scope

The IOC is an open industry forum serving the needs of the telecommunications industry regarding the management and administration of IMSIs. It has the following scope and mission.

### 2.1 Mission

The IOC is responsible for oversight of the management and administration of IMSIs in the United States.

### 2.2 Scope

The IOC will maintain and ensure compliance with the *IMSI Assignment Guidelines and Procedures* document to ensure that it meets the evolving needs of the US telecommunications industry, oversee the performance of the IMSI Administrator (IMSI-A), and perform the specific responsibilities assigned to it by these Management Guidelines and the *IMSI Assignment Guidelines and Procedures*.

## 3 IOC Responsibilities

3.1 The IOC's primary responsibilities include, but may not be limited to (not listed in any order of priority):

- accept and resolve IMSI-related issues referred to it by an affected telecommunications entity or the IMSI-A in a timely and responsible manner through the consensus process,
- accept and resolve all referred Home Network Identifier (HNI) assignment-related appeals in a timely and responsible manner and in accordance with the *IMSI Assignment Guidelines and Procedures*,
- review and resolve all referrals of alleged HNI non-use or alleged misuse, i.e., non-conformance with the *IMSI Assignment Guidelines and Procedures*,
- receive proposals for the modification of the *IMSI Assignment Guidelines and Procedures*, determine the appropriateness of the proposed modification and, if deemed appropriate, make modifications and publish the resultant new version,
- oversee the administration and management of IMSIs, including the IMSI-A, in the US,
- respond to queries requesting an interpretation of the content of the *IMSI Assignment Guidelines and Procedures*,

- determine the amount of the HNI application and maintenance fees to be paid by HNI applicants and assignees, and
- interface with the US Department of State, as appropriate, regarding IMSI administration and management (the Department is the governmental entity responsible for interfacing with the International Telecommunications Union [ITU] with regard to the assignment of IMSIs in the US).

3.2 The IOC may, if consensus is reached to do so, undertake additional responsibilities, within the bounds of the mission and scope regarding IMSIs, in the interest of the US telecommunications industry.

3.3 The existence of the IOC, including its policies and procedures, does not interfere with the right of any telecommunications entity to refer or appeal matters to regulators or appropriate government agencies. The IOC does not supercede the authority, rules, or procedures of any appropriate US-based telecommunications regulatory entities.

3.4 The IOC will always perform its responsibilities in accordance with the IMSI Assignment Guidelines and Procedures and in a consensus-based manner.

## **4. IOC Organization**

4.1 A chairperson will provide leadership of the IOC. The Chairperson will be a representative of the IMSI Administrator's organization, which will nominate the person for the consideration of the IOC. The IOC will either confirm or deny the nomination. If denied, the IMSI-A's organization will consult further with the IOC membership to identify a mutually acceptable nominee.

The Chairperson, as a representative of the IMSI-A's organization will be a non-voting member of the IOC and will recuse himself/herself from any deliberations directly involving or impacting the IMSI-A, e.g., assignment appeals.

The Chairperson, as both a representative of the IMSI-A's organization and the Chairperson, can present the IMSI-A's perspective on issues/appeals before the IOC, but must clearly preface such presentations as being those of the IMSI-A and not of the Chairperson.

4.2 The Chairperson will be supported in his/her responsibilities by the IOC Secretariat. The Secretariat function will be performed by ATIS. ATIS will also be the sponsoring organization for the IOC.

4.3 The responsibilities of the IOC Chairperson include, but are not limited to:

- convening, preparing agendas for, and chairing all meetings of the IOC and,

- conducting IOC meetings in a fair and impartial manner, so that the views of all participants will be heard and discussed,
- determining when consensus is achieved on an issue/appeal under IOC discussion.

4.4 The responsibilities of the IOC Secretariat include, but are not limited to:

- logistical arrangements for meetings (Attachment II),
- recording of participation at IOC meetings and conference calls, and maintaining the IOC participants list, which will contain the names of individuals who attended at least two of the most recent five IOC meetings,
- support the Chairperson , as reasonably required by them,
- maintain all IOC records,
- maintain and update the IOC web site (on the ATIS host),
- bill and collect the annual HNI maintenance fees (see Section 6),
- management and tracking of issues/appeals under consideration by the IOC, and
- preparation and distribution of meeting notes and records in a timely manner.

4.5 The IOC may establish working groups to address and resolve specific issues. Each such working group should have one or more elected leaders (co-chairpersons), whose responsibility it will be to lead the working group toward the resolution of the assigned issue using a consensus process, and to report the working group's work status and conclusions to the IOC.

4.6 The following are joint responsibilities of the IOC Chairperson and the IOC Secretariat:

- attempting to ensure that there is an adequate representation of the various industry perspectives on issues/appeals before the IOC,
- providing technical regulatory support with regard to the issues/appeals before the IOC, and
- ensuring that the appropriate subject-matter-experts and/or documentation are available at IOC meetings for the proper and complete discussion of meeting agenda items.

4.7 The following defines IOC Participation and Participants:

- The IOC is an open forum. Any member of the US telecommunications industry that is material affected by the management and administration of IMSI resources may participate and express their views or those of his or her organization. Participants, however, have an obligation to be prepared to discuss the issues/appeals, and to cooperate in moving issues/appeals forward efficiently.
- IOC participants will bear their own time, travel, and living expenses. Meeting room and refreshment costs associated with face-to-face meetings will be prorated so that each attendee pays an equal share. The IOC Secretariat, and any special invited attendees identified by the Chairperson or Co-conveners and endorsed by the IOC, will be exempt from the prorated costs.

## **5. IOC Funding**

5.1 Annual maintenance fees assessed on HNI assignees will fund the functions necessary for the IOC to perform its responsibilities, e.g., Secretariat, Web site. The IOC Secretariat will prepare an annual IOC budget for review, modification and approval by the IOC. The IOC has initially set the Annual maintenance fee at \$175US per HNI. The IOC may revise the amount of the annual maintenance fees, based on the quantity of HNIs currently assigned and the IOC's projected annual budget figure. Any revenue shortfall or overage will be resolved in each subsequent year's budget process. Any decrease in the fee amount will be reflective of actual IOC costs and the quantity of HNIs assigned. Any increase in the fee amount will not exceed 5% in any given year.

5.2 The IMSI-A will be funded entirely by HNI application fees. The application fee will be reviewed annually and modified, by mutual negotiation between the IOC and the IMSI-A's organization, to reflect a cost plus reasonable profit algorithm.

## **6. IOC Operational Procedures**

### **6.1 Issue and Appeal Identification**

6.1.1 Any IOC participant (including the IMSI-A or the Secretariat) can introduce Issues/appeals to the IOC, either on their own behalf or on the expressed behalf of the issue/appeal originator in their absence. Each issue/appeal to be addressed by the IOC should be submitted on an IOC Issue/Appeal Identification Form (Attachment I). The completed form should contain:

- the name of the issue/appeal originator/advocate,
- a clear, concise statement of the issue/appeal, and

- a proposed resolution, if appropriate.

6.1.2 Only issues/appeals relating to the content of *the IMSI Assignment Guidelines and Procedures* and/or in conformance with the IOC scope and mission will be accepted for resolution by the IOC.

6.1.3 Completed issue/appeal identification forms should be submitted to the IOC Secretariat at any time but no later than 2 weeks prior to a meeting. The Secretariat will log the issue/appeal, post it to the IOC Web site, and send an email message to all IOC members announcing its posting.

6.1.4 Completed issue/appeal identification forms received after the 2 week period, including at an IOC meeting, will be handled at the meeting only with the consensus concurrence of the meeting participants.

## **6.2 IOC Meetings**

6.2.1 Scheduled face-to-face IOC meetings will occur annually. The consensus of the IOC can modify this schedule as appropriate.

6.2.2 If the IOC Secretariat receives an IOC Issue/Appeal Statement Form 2 months prior to the next scheduled meeting, it will confer with the Chairperson to determine if the issue/appeal is sufficiently urgent to warrant an Ad Hoc meeting of the IOC to discuss and resolve the issue/appeal (most appeals would automatically qualify for urgent resolution). If it is, thereby, determined that such a meeting is appropriate, it will be determined if a conference call meeting is sufficient or if a face-to-face meeting is required (the preference/default is a conference call meeting).

6.2.3 The IOC Secretariat will make arrangements for all meetings (scheduled or Ad Hoc), and will notify the IOC membership list of the meeting logistics by email and by posting the meeting notice on the IOC Web site at least 3 weeks prior to the meeting. The pre-meeting information should also include any relevant information necessary for the participants to be prepared for the meeting, e.g., new issue/appeal statements. Notification should also include the meeting agenda.

6.2.4 Unless otherwise specified in the agenda, meetings will normally run from 9AM until 5PM each day. The Chairperson will determine different hours and duration, if necessary.

## **6.3 Issue and Appeal Resolution**

6.3.1 For each issue/appeal discussed at the meeting, participants will have received, in advance, both the Issue/Appeal Identification Form and notice that the issue/appeal is on

the meeting agenda for discussion. Thus participants should come to the meeting prepared to state their positions and move the issues/appeals quickly toward resolution.

6.3.2 During the meeting, each issue/appeal will be discussed in sequence, as dictated by the agenda. As each issue/appeal is introduced by its originator (or designated representative), other participants will have a chance to introduce their related contributions.

6.3.3 For each issue/appeal, after the initial issue/appeal statements and all contributions have been introduced, the Chairperson will lead the group towards agreement on a work plan to resolve the issue/appeal. To develop the work plan and to resolve the issue/appeal, the IOC will use the consensus process developed and refined by the industry over many years:

Consensus is established when substantial agreement has been reached among interest groups participating in the consideration of the subject at hand. Interest groups are those materially affected by the outcome or result. Substantial agreement means more than a simple majority, but not necessarily unanimity. Recommendations of all participants will be considered carefully and in good faith in seeking and in reaching consensus recommendations and resolutions.

The consensus process is to be free from interest group dominance, requiring that all views and objections be considered. This requires that a concerted effort be made toward issue/appeal resolution. Under some circumstances, consensus is achieved when the minority no longer wishes to articulate its objection.<sup>1</sup>

6.3.4 The Chairperson will first attempt to identify all reasonable solutions to the issue/appeal. Once all reasonable solutions have been identified, the IOC will work towards consensus agreement on the best of the solutions.

6.3.5 When consensus is reached, new text will be drafted for *the IMSI Assignment Guidelines and Procedures*, if revision of the document is appropriate. This new text can be derived from contributions or developed by consensus during an IOC meeting.

When the consensus reached does not require new text, but the consensus is with regard to an issue/appeal referred to the IOC, the IOC will inform the issue/appeal originator of its conclusion. This information will be sent to the originator in the form of an IOC letter jointly signed by the Chairperson.

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<sup>1</sup> These paragraphs have been abstracted from the *Carrier Liaison Committee Principles and Procedures*, March, 1996 Edition.

6.3.6 All agreements and resolutions regarding issues/appeals referred to the IOC will be documented in a meeting notes, which will be made available to all IOC participants, and will be posted to the IOC Web site.

6.3.7 Once consensus is reached on textual modifications, the revised document will be posted to the IOC Web site for IOC membership comment. If the received comments are editorial in nature, the Secretariat will make the appropriate revisions and forward the final document to all IOC participants and to the IMSI-A for industrywide distribution. If the comments received by the Secretariat are substantive in nature, the IOC must be reconvened, either by conference call (preferred) or by face-to-face meeting in order to resolve the substantive comments. The comment cycle will be 30 days.

6.3.8 In spite of due diligence on the part of the Chairperson and the IOC membership, there may be issues/appeals on which it is not possible to reach consensus. In such cases, the IOC Chairperson may refer the issue/appeal, as documented, to the appropriate federal agency for consideration, guidance, or resolution.

6.3.9 To ensure that all participants have had an adequate opportunity to study and comment on each issue/appeal, the IOC may not reach resolution on any issue/appeal that is not included in the agenda, announced at least two weeks prior to the meeting.

## **6.4 IOC Meeting Notes**

6.4.1 The IOC Secretariat will record meeting participation and notes.

6.4.2 Meeting notes will address the items discussed at the meeting, significant points noted during discussion, any agreements reached, and action items. The meeting notes, as containing the above sections, will be reviewed and approved during the meeting. The final meeting notes will be posted to the IOC Web site within ten working days of the end of the meeting.

6.4.3 To reduce costs, documents handed out at the IOC meetings will not be included with the meeting notes but will be posted on the IOC Web site. However, a list of all documents will be attached to the notes and the documents themselves will be retained by the Secretariat and made available on a per-request basis.

## IOC ISSUE/APPEAL IDENTIFICATION FORM

(See Section 7.1 for information regarding the completion and submission of this form)

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1. Issue/Appeal Title:

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2a. Originator:

2d. Date Submitted:

2b. Company:

2e. Appeal/Issue Number:

2c. Phone/Fax:

2f. Resolution Date:

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3. Issue/Appeal Statement:

4. Suggested Resolution:

5. Issue/Appeal Status (per meeting):

6. IOC Resolution:

## **IOC Meeting Logistics**

The IOC Secretariat is responsible for coordination of meeting logistics.

For IOC meetings to be held in the Washington, DC area, the IOC Secretariat will make meeting and hotel arrangements. Meetings may be held elsewhere if a company participating in the IOC serves as host. In such cases the host company will select a hotel and meeting place and will make specific arrangements in coordination with the IOC Secretariat. The IOC can determine to hold a meeting outside of Washington DC without a host and request that the IOC Secretariat make the appropriate meeting and accommodate arrangements.

In coordinating and arranging the meeting logistics, the Secretariat will provide adequate meeting notification to all IOC members and the Secretariat and meeting host will select a location and accommodations having reasonable costs and being reasonably accessible by most IOC members.

Hotel requirements include the following:

Availability of a meeting room large enough to accommodate all IOC participants seated in a U-shaped arrangement. (Meetings may be held in company locations within walking distance of the hotel.)

Willingness to prorate all meeting expenses at the hotel to the participants' hotel bills.

Adequate audio-visual equipment to conduct a business meeting.

Availability of real-time business center functions including document reproduction, if required.