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#### **Foreword**

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  - 2 presented to TSG for approval;
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- y the second digit is incremented for all changes of substance, i.e. technical enhancements, corrections, updates, etc.
- z the third digit is incremented when editorial only changes have been incorporated in the document.

## 1 Scope

The present document is a technical specification of the services provided by the physical layer of E-UTRA to upper layers.

## 2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.
- [1] 3GPP TS 41.101: "Technical Specifications and Technical Reports for a GERAN-based 3GPP system".

Support Team note: The reference above is not used in the present document.

[2] 3GPP TR 21 912 (V3.1.0): "Example 2, using fixed text".

Support Team note: The reference above is invalid (there is no such spec) and not used in the present document.

[3] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".

[4] 3GPP TR 25.913: "Requirements for Evolved UTRA (E-UTRA) and Evolved UTRAN (E-UTRAN)".

Support Team note: The reference above is not used in the present document.

[5] 3GPP TR 25.814, Physical aspects for Evolved UTRA

Support Team note: The reference above is not used in the present document, and is anyway illegal since 25.814 is not published by the OPs.

[6] 3GPP TS 36.300: "Evolved Universal Terrestrial Radio Access (E-UTRA) and Evolved Universal Terrestrial Radio Access (E-UTRAN); Overall description; Stage 2".

Support Team note: The reference above is not used in the present document.

[7] 3GPP TS 36.201: 'Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer; General description'.

Support Team note: The reference above is not used in the present document.

[8] 3GPP TS 36.211: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical channels and modulation".

[9] 3GPP TS 36.212: "Evolved Universal Terrestrial Radio Access (E-UTRA); Multiplexing and channel coding".

[10] 3GPP TS 36.213: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer procedures".

Support Team note: The reference above is not used in the present document.

[11] 3GPP TS 36.214: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer; Measurements".

Support Team note: The reference above is not used in the present document.

## 3 Definitions, symbols and abbreviations

#### 3.1 Definitions

For the purposes of the present document, the terms and definitions given in TR 21.905 [3] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in TR 21.905 [3].

Carrier frequency center frequency of the cell.

Frequency layer: set of cells with the same carrier frequency.

#### 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [3] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [3].

For the purposes of the present document, the following abbreviations apply:

ACK Acknowledgement

ACLR Adjacent Channel Leakage Ratio

aGW Access Gateway
AM Acknowledge Mode
ARQ Automatic Repeat Request

AS Access Stratum

BCCH Broadcast Control Channel

BCH Broadcast Channel

C/I Carrier-to-Interference Power Ratio
CAZAC Constant Amplitude Zero Auto-Correlation

CMC Connection Mobility Control

CP Cyclic Prefix C-plane Control Plane

CQI Channel Quality Indicator CRC Cyclic Redundancy Check DCCH Dedicated Control Channel

DL Downlink

DRX Discontinuous Reception
DTCH Dedicated Traffic Channel
DTX Discontinuous Transmission

eNB E-UTRAN NodeB
EPC Evolved Packet Core
E-UTRA Evolved UTRA
E-UTRAN Evolved UTRAN

FDD Frequency Division Duplex
FDM Frequency Division Multiplexing
GERAN GSM EDGE Radio Access Network
GNSS Global Navigation Satellite System
GSM Global System for Mobile communication

HARQ Hybrid ARQ HO Handover

HSDPA High Speed Downlink Packet Access ICIC Inter-Cell Interference Coordination

IP Internet Protocol LB Load Balancing

LCR Low Chip Rate
LTE Long Term Evolution
MAC Medium Access Control

MBMS Multimedia Broadcast Multicast Service

MCCH Multicast Control Channel
MCS Modulation and Coding Scheme
MIMO Multiple Input Multiple Output
MME Mobility Management Entity
MTCH MBMS Traffic Channel
NACK Non-Acknowledgement
NAS Non-Access Stratum

OFDM Orthogonal Frequency Division Multiplexing
OFDMA Orthogonal Frequency Division Multiple Access

PA Power Amplifier

PAPR Peak-to-Average Power Ratio PCCH Paging Control Channel

PDCP Packet Data Convergence Protocol

PDU Packet Data Unit PHY Physical layer

PLMN Public Land Mobile Network
PRB Physical Resource Block
PSC Packet Scheduling

QAM Quadrature Amplitude Modulation

QoS Quality of Service
RAC Radio Admission Control
RACH Random Access Channel
RAT Radio Access Technology

RB Radio Bearer

RBC Radio Bearer Control
RF Radio Frequency
RLC Radio Link Control
RNL Radio Network Layer
ROHC Robust Header Compression
RRC Radio Resource Control
RRM Radio Resource Management

RU Resource Unit S1-C S1-Control plane S1-U S1-User plane

SAE System Architecture Evolution

SAP Service Access Point

SC-FDMA Single Carrier – Frequency Division Multiple Access

SCH Synchronization Channel SDMA Spatial Division Multiple Access

SDU Service Data Unit

SFN Single Frequency Network

TA Tracking Area
TB Transport Block

TCP Transmission Control Protocol

TDD Time Division Duplex
TM Transparent Mode
TNL Transport Network Layer
TTI Transmission Time Interval

UE User Equipment

UL Uplink

UM Un-acknowledge Mode

UMTS Universal Mobile Telecommunication System

UPE User Plane Entity
U-plane User plane

UTRA Universal Terrestrial Radio Access

UTRAN Universal Terrestrial Radio Access Network

VRB Virtual Resource Block X2-C X2-Control plane

X2-U X2-User plane

## 4 Interfaces to the physical layer

#### 4.1 Interface to MAC

#### 4.2 Interface to RRC

## 5 Services and functions of the physical layer

#### 5.1 General

The physical layer offers data transport services to higher layers.

The access to these services is through the use of transport channels via the MAC sub-layer.

A transport block is defined as the data delivered by MAC layer to the physical layer and vice versa. Transport blocks are delivered once every TTI.

#### 5.2 Overview of L1 functions

The physical layer offers data transport services to higher layers. The access to these services is through the use of a transport channel via the MAC sub-layer. The physical layer is expected to perform the following functions in order to provide the data transport service:

- Error detection on the transport channel and indication to higher layers
- FEC encoding/decoding of the transport channel
- Hybrid ARQ soft-combining
- Rate matching of the coded transport channel to physical channels
- Mapping of the coded transport channel onto physical channels
- Power weighting of physical channels
- Modulation and demodulation of physical channels
- Frequency and time synchronisation
- Radio characteristics measurements and indication to higher layers
- Multiple Input Multiple Output (MIMO) antenna processing
- Transmit Diversity (TX diversity)
- Beamforming
- RF processing. (Note: RF processing aspects are specified in the TS 36.100)
- L1 functions are modelled for each transport channel in subclauses 6.1 and 6.2.

#### 5.3 L1 interactions with MAC retransmission functionality

## 6 Model of physical layer of the UE

The E-UTRA physical-layer model captures those characteristics of the E-UTRA physical-layer that are relevant from the point-of-view of higher layers. More specifically, the physical-layer model captures:

- The structure of higher-layer data being passed down to or up from the physical layer;
- The means by which higher layers can configure the physical layer;
- The different indications (error indications, channel-quality indications, etc.) that are provided by the physical layer to higher layers;
- Other (non-transport-channel-based) higher-layer peer-to-peer signalling supported by the physical layer.

#### 6.1 Uplink model

#### 6.1.1 Uplink Shared Channel

The physical-layer model for Uplink Shared Channel transmission is described based on the corresponding physical-layer-processing chain, see Figure 6.1.1. Processing steps that are relevant for the physical-layer model, e.g. in the sense that they are configurable by higher layers, are highlighted in blue. It should be noted that, in case PUSCH, the scheduling decision is partly made at the network side, if there is no blind decoding it is fully done at the network side. The uplink transmission control in the UE then configures the uplink physical-layer processing, based on uplink transport-format and resource-assignment information received on the downlink.

- Higher-layer data passed to/from the physical layer
- One transport block of dynamic size delivered to the physical layer once every TTI.
- CRC and transport-block-error indication
- Transport-block-error indication delivered to higher layers.
- FEC and rate matching
- Channel coding rate is implicitly given by the combination of transport block size, modulation scheme and resource assignment;
- Physical layer model support of HARQ: in case of Incremental Redundancy, the corresponding Layer 2 Hybrid-ARQ process controls what redundancy version is to be used for the physical layer transmission for each TTI.
- Interleaving
- No control of interleaving by higher layers.
- Data modulation
- Modulation scheme is decided by MAC Scheduler (QPSK, 16QAM and 64QAM).
- Mapping to physical resource
- L2-controlled resource assignment.
- Multi-antenna processing
- MAC Scheduler partly configures mapping from assigned resource blocks to the available number of antenna ports.
- Support of L1 control signalling
- Transmission of ACK/NAK and CQI feedback related to DL data transmission

The model of Figure 6.1.1 also captures

- Transport via physical layer of Hybrid-ARQ related information (exact info is FFS) associated with the PUSCH, to the peer HARQ process at the receiver side;
- Transport via physical layer of corresponding HARQ acknowledgements to PUSCH transmitter side.

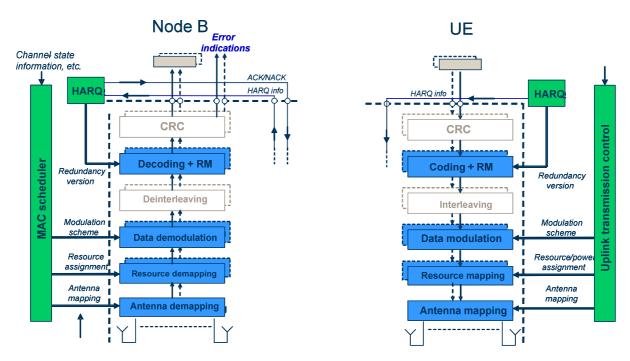


Figure 6.1.1-1: Physical-layer model for UL-SCH transmission

#### 6.1.2 Random-access Channel

#### 6.2 Downlink model

#### 6.2.1 Downlink-Shared Channel

The physical-layer model for Downlink Shared Channel transmission model is described based on the corresponding PDSCH physical-layer-processing chain, see Figure 6.2.1. Processing steps that are relevant for the physical-layer model, e.g. in the sense that they are configurable by higher layers, are highlighted in blue on the figure.

- Higher-layer data passed to/from the physical layer
- N (up to two) transport blocks of dynamic size delivered to the physical layer once every TTI.
- CRC and transport-block-error indication
- Transport-block-error indication delivered to higher layers.
- FEC and rate matching
- Channel coding rate is implicitly given by the combination of transport block size, modulation scheme and resource assignment;
- Physical layer model support of HARQ: in case of Incremental Redundancy, the corresponding Layer 2 Hybrid-ARQ process controls what redundancy version is to be used for the physical layer transmission for each TTI.
- Data modulation
- Modulation scheme is decided by MAC Scheduler (QPSK, 16QAM and 64 QAM).

#### **Multi-antenna processing**

- MAC Scheduler partly configures mapping from modulated code words (for each stream) to the available number of antenna ports.
- Mapping to physical resource
- L2-controlled resource assignment.
- Support of L1 control signalling
- Transmission of scheduler related control signals.
- Support for Hybrid-ARQ-related signalling

The model of Figure 6.2.1 also captures:

- Transport via physical layer of Hybrid-ARQ related information associated with the PDSCH, to the peer HARQ process at the receiver side;
- Transport via physical layer of corresponding HARQ acknowledgements to PDSCH transmitter side.

NOTE: The signalling of transport-format and resource-allocation is not captured in the physical-layer model. At the transmitter side, this information can be directly derived from the configuration of the physical layer. The physical layer then transports this information over the radio interface to its peer physical layer, presumably multiplexed in one way or another with the HARQ-related information. On the receiver side, this information is, in contrast to the HARQ-related information, used directly within the physical layer for PDSCH demodulation, decoding etc., without passing through higher layers.

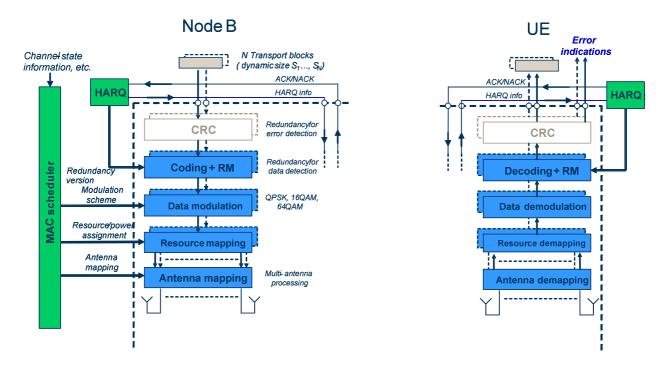


Figure 6.2.1-1: Physical-layer model for DL-SCH transmission

#### 6.2.2 Broadcast Channel

The physical-layer model for BCH transmission is characterized by a fixed pre-defined transport format. The TTI (repetition rate) of the BCH is 40 ms. The BCH physical-layer model is described based on the corresponding BCH physical-layer-processing chain, see Figure 6.2.2:

- Higher-layer data passed to/from the physical layer
- A single (fixed-size) transport block per TTI.

#### - CRC and transport-block-error indication

- Transport-block-error indication delivered to higher layers.

#### - FEC and rate matching

- Channel coding rate is implicitly given by the combination of transport block size, modulation scheme and resource assignment;
- No BCH Hybrid ARQ, i.e. no higher-layer control of redundancy version.

#### - Data modulation

- Fixed modulation scheme (QPSK), i.e. not higher-layer control.

#### - Mapping to physical resource

- Fixed pre-determined transport format and resource allocation, i.e. no higher-layer control.

#### - Multi-antenna processing

- Fixed pre-determined processing, i.e. no higher-layer control.

#### Support for Hybrid-ARQ-related signalling

- No Hybrid ARQ.

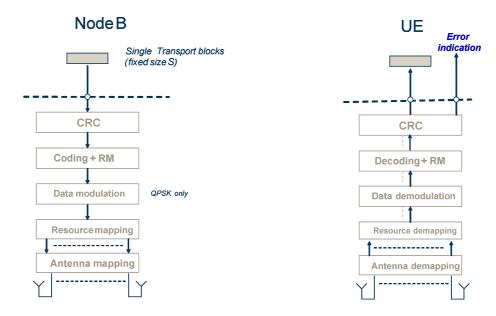


Figure 6.2.2-1: Physical-layer model for BCH transmission

### 6.2.3 Paging Channel

The physical-layer model for PCH transmission is described based on the corresponding PCH physical-layer-processing chain, see Figure 6.2.3. Processing steps that are relevant for the physical-layer model, e.g. in the sense that they are configurable by higher layers, are highlighted in blue on the figure.

#### - Higher-layer data passed to/from the physical layer

- A single transport block per TTI.
- CRC and transport-block-error indication
- Transport-block-error indication delivered to higher layers.
- FEC and rate matching

- Channel coding rate is implicitly given by the combination of transport block size, modulation scheme and resource assignment;
- No PCH Hybrid ARQ, i.e. no higher-layer control of redundancy version.
- Data modulation
- Modulation scheme is decided by MAC Scheduler.
- Mapping to physical resource
- L2 controlled resource assignment;
- Possible support of dynamic transport format and resource allocation.
- Multi-antenna processing
- MAC Scheduler partly configures mapping from assigned resource blocks to the available number of antenna ports.
- Support for Hybrid-ARQ-related signalling

No Hybrid ARQ.

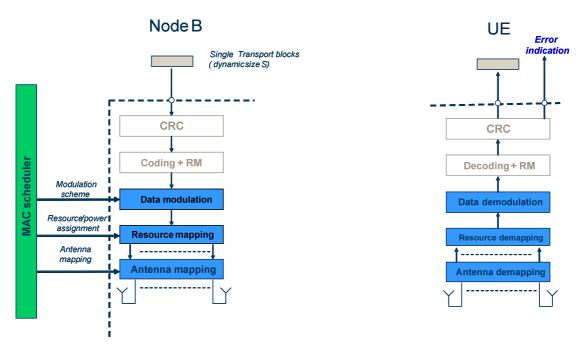


Figure 6.2.3-1: Physical-layer model for PCH transmission

#### 6.2.4 Multicast Channel

The physical-layer model for MCH transmission is characterized by the support for multi-cell reception at the UE (a.k.a. 'SFN' transmission). This implies that only semi-static configuration of the MCH transport format and resource assignment is possible. The MCH physical-layer model is described based on the corresponding PCH physical-layer-processing chain, see Figure 6.2.4. Processing steps that are relevant for the physical-layer model, e.g. in the sense that they are configurable by higher layers, are highlighted in blue.

- Higher-layer data passed to/from the physical layer
- One transport block delivered to physical layer once every TTI.
- CRC and transport-block-error indication
- Transport-block-error indication delivered to higher layers.
- FEC and rate matching

- Channel coding rate is implicitly given by the combination of transport block size, modulation scheme and resource assignment;
- No MCH Hybrid ARQ, i.e. no higher-layer control of redundancy version.
- Data modulation
- Modulation scheme is decided by MAC Scheduler.
- Mapping to physical resource
- L2 controlled semi–static resource assignment.
- Multi-antenna processing
- MAC Scheduler partly configures mapping from assigned resource blocks (for each stream) to the available number of antenna ports.
- Support for Hybrid-ARQ-related signalling
- No Hybrid ARQ.

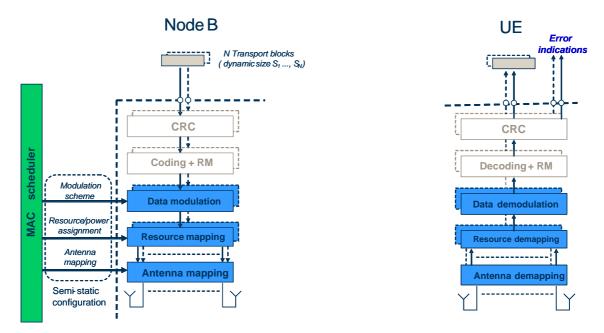


Figure 6.2.4-1: Physical-layer model for MCH transmission

## 7 Formats and configurations for L1 data transfer

FFS.

# 8 Parallel transmission of simultaneous Physical Channels

This clause describes the requirements from the UE to send and receive on multiple Physical and Transport Channels simultaneously depending on the service capabilities and requirements.

#### 8.1 Uplink

The table describes the possible combinations of physical channels that can be sent in parallel in the uplink in the same TTI by one UE.

Table 8.1-1: Uplink

	Physical	Transport Channel	Mandatory dependent	Comment
	Channel	Combination	on UE radio access	
	Combination		capabilities	
1	PUSCH	UL-SCH	Mandatory	
2	PRACH	RACH	Mandatory	
3	PUCCH	FFS	Mandatory	CQI and Scheduling Requests are provided to Layer 2.

#### 8.2 Downlink

The table describes the possible combinations of physical channels that can be received in parallel in the downlink in the same TTI by one UE. In one subframe, the UE shall be able to receive all TBs according to the indication on PDCCH.

Table 8.2-1: Downlink "Reception Types"

"Reception Type"	Physical Channel(s)	Monitored RNTI	Associated Transport Channel
Α	PBCH	N/A	ВСН
В	PDCCH+PDSCH	SI-RNTI	DL-SCH
С	PDCCH+PDSCH	P-RNTI	PCH
D	PDCCH+PDSCH	RA-RNTI (Note 3)	DL-SCH
		Temporary C-RNTI (Note 3) (Note 4)	DL-SCH
		C-RNTI and Semi-Persistent Scheduling C-RNTI	DL-SCH
Е	PDCCH (Note 1)	C-RNTI	N/A
F	PDCCH	Temporary C-RNTI (Note 5)	UL-SCH
		C-RNTI and Semi-Persistent Scheduling C-RNTI	UL-SCH
G	PDCCH	TPC-PUCCH-RNTI	N/A
Н	PDCCH	TPC-PUSCH-RNTI	N/A
I	PDCCH	Semi-Persistent Scheduling C-RNTI (Note 6)	N/A
J	PDCCH	Semi-Persistent Scheduling C-RNTI (Note 7)	N/A

Note 1: PDCCH is used to convey PDCCH order for Random Access.

Note 2: Void.

Note 3: RA-RNTI and Temporary C-RNTI are mutually exclusive and only applicable during Random Access procedure.

Note 4: Temporary C-RNTI is only applicable when no valid C-RNTI is available.

Note 5: Temporary C-RNTI is only applicable during contention-based Random Access procedure.

Note 6: Semi-Persistent Scheduling C-RNTI is used for DL Semi-Persistent Scheduling release.

Note 7: Semi-Persistent Scheduling C-RNTI is used for UL Semi-Persistent Scheduling release.

Table 8.2-2: Downlink "Reception Type" Combinations

Combination	Mandatory/Optional	Comment
1xA + 1xB + 1xC	Mandatory	RRC_IDLE
1xA + 1xB + 1x(D  or  E  or  G  or  I) + 1x(F  or  H  or  J)	Mandatory	RRC_CONNECTED
1xA + 1xB + 1x(D  or E or G or I) + 1x(F  or H or J) + 1xF	Mandatory for UEs supporting	RRC_CONNECTED
	FS2	(Note 1)
1xA + 1xB + 1xC + 1x(D  or  E  or  G  or  I) + 1x(F  or  H  or  J)	Mandatory for ETWS UEs	RRC_CONNECTED
	Optional for all other UEs	
1xA + 1xB + 1xC + 1x(D  or E or G or I) + 1x(F  or H or J) +	Mandatory for ETWS UEs	RRC_CONNECTED
1xF	supporting FS2	(Note 1)
	Optional for all other UEs	
Note 1: For TDD UL/DL configuration 0, two PDCCHs can	be received in the same subframe for	or UL-SCH in two
different uplink subframes.		

NOTE: Any subset of the combinations specified in table 8.2-2 is also supported.

## 9 Measurements provided by the physical layer

#### 9.1 Model of physical layer measurements

#### 9.2 UE Measurements

UE measurement: **E-UTRA carrier RSSI**: E-UTRA Carrier Received Signal Strength Indicator, comprises the total received wideband power observed by the UE from all sources, including co-channel serving and non-serving cells, adjacent channel interference, thermal noise etc.

UE measurement: **Reference signal received power (RSRP)**: Reference signal received power (RSRP) is determined for a considered cell as the linear average over the power contributions (in [W]) of the resource elements that carry cell-specific reference signals within the considered measurement frequency bandwidth. For RSRP determination the cell-specific reference signals  $R_0$  and if available  $R_1$  according to [8] can be used.

If receiver diversity is in use by the UE, the reported value shall be equivalent to the linear average of the power values of all diversity branches.

UE measurement: **Reference Signal Received Quality (RSRQ)**: Reference Signal Received Quality (RSRQ) is defined as the ratio  $N \times RSRP$  / (E-UTRA carrier RSSI), where N is the number of RB"s of the E-UTRA carrier RSSI measurement bandwidth. The measurements in the numerator and denominator shall be made over the same set of resource blocks.

UE measurement: **UTRA CPICH RSCP**: Received Signal Code Power, the received power on one code measured on the Primary CPICH.

UE measurement: **UTRA FDD carrier RSSI**: received wide band power, including thermal noise and noise generated in the receiver, within the bandwidth defined by the receiver pulse shaping filter.

UE measurement: **UTRA FDD CPICH Ec/No**: received energy per chip divided by the power density in the band. The CPICH Ec/No is identical to CPICH RSCP/UTRA Carrier RSSI. Measurement is performed on the Primary CPICH.

UE measurement: **GSM carrier RSSI**: Received Signal Strength Indicator, the wide-band received power within the relevant channel bandwidth. Measurement is performed on a GSM BCCH carrier.

UE measurement: **UTRA TDD carrier RSSI**: The received wide band power, including thermal noise and noise generated in the receiver, within the bandwidth defined by the receiver pulse shaping filter, for TDD within a specified timeslot.

UE measurement: **UTRA TDD P-CCPCH RSCP**: Received Signal Code Power, the received power on P-CCPCH of a neighbour UTRA TDD cell.

#### 9.3 E-UTRAN Measurements

The detailed E-UTRAN measurements definition is provided in [9]:

eNode B measurement: **DL RS TX power**: Downlink reference signal transmit power is determined for a considered cell as the linear average over the power contributions (in [W]) of the resource elements that carry cell-specific reference signals which are transmitted by the eNode B within its operating system bandwidth.

For DL RS TX power determination the cell-specific reference signals  $R_0$  and if available  $R_1$  according to [8] can be used.

The reference point for the DL RS TX power measurement shall be the TX antenna connector.

# Annex A (informative): Change history

	Change history						
Date	TSG #	TSG Doc.	CR	Rev	Subject/Comment	Old	New
11/2006	RP-34	RP-060795	-		First version : presented at TSG-RAN #34 and TSG-RAN WG2 #56 (11/2006)	-	0.0.0
05/2007	RP-36	RP-xyztu			Update including physical layer modelling: submitted at TSG-RAN WG2 #58 (05/2006)		
06/2007	RP-37	R2-072502			Update including physical Services and functions of the Physical Layer: presented and TSG-RAN WG2 #58bis (06/2006)	Update including physical Services and functions of the Physical 0.0.1 0.0.2	
06/2007	RP-37	R2-072931			Update after presentation at TSG-RAN WG2 #58bis : physical 0.0.2 0.1.0 channel channel terminology used		0.1.0
09/2007	RP-37	RP-070686			Removal of editor"s notes. Presented at TSG-RAN #37 for information	0.1.0	1.0.0
10/2007	R2-59bis	R2-074579			Agreements in RAN1 LS received at RAN2#59 have to be implemented in the specification (by RAN2#59bis): Parallel reception of Physical Broadcast Channel (PBCH) and DL-SCH in the same TTI is feasible; 2 new measurements were introduced for LTE, UE measurement "Reference Signal Received Quality (RSRQ)" and eNode B measurement "DL RS TX power".		1.0.2
10/2007	R2-59bis	R2-074584			Removal of incorrect Parallel reception of physical channels	1.0.2	1.0.3
11/2007	RP-38	RP-070914			Submission to RAN for RAN#38 approval	1.0.3	2.0.0
12/2007	RP-38	-			Apprpved at TSG RAN-38 and placed under change control	2.0.0	8.0.0
03/2009	RP-43	RP-090124	0002	-	Proposed CR on Parallel reception in LTE	8.0.0	8.1.0
	RP-43	RP-090124	0004	-	Correction of out-of-date information	8.0.0	8.1.0
06/2009	RP-44	RP-090509	0005	1	Correction of MBMS	8.1.0	8.2.0
	RP-44	RP-090509	0006	-	Downlink reception types	8.1.0	8.2.0
	RP-44	RP-090509	0009	-	Simultaneous reception of transport channels in the LTE	8.1.0	8.2.0
	RP-44	RP-090509	0010	-	Clarification on the parallel receptions for PDSCHs	8.1.0	8.2.0
12/2011	RP-54	-	=	-	TS 36.302 v8.2.1 was created to add the missing headline "1 Scope" again	8.2.0	8.2.1

## History

Document history			
V8.0.0 November 2008		Publication	
V8.1.0	April 2009	Publication	
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