

ANGA 100 002 v1.0 (2018-06)

**Specification for a passive
Network Termination Point
In DOCSIS 3.1 Environments**

Network and Provisioning requirements

Version 1.0



ANGA Verband Deutscher Kabelnetzbetreiber e.V.

Nibelungenweg 2
D-50996 Köln Germany

Tel.: +49 221 390 900 17 Fax: +49 221 390 900 10
© 2016 ANGA Verband Deutscher Kabelnetzbetreiber e.V.

Table of Contents

Foreword.....	3
Modal verbs terminology	3
Introduction	4
1 Scope	4
2 References	5
2.1 Normative references.....	5
2.2 Informative references	6
3 Definitions, symbols and abbreviations	7
3.1 Definitions	7
3.2 Abbreviations.....	8
4 RF Interface Connector	9
4.1 General.....	9
4.2 Environmental Profile.....	9
Table 1: E ₀ environmental classification (MICE)	9
4.3 Mechanical interface description for coaxial connector with socket centre contact	9
Table 1: Mechanical Interface Dimensions	10
4.4 Electrical Performance Characteristics	10
Table 2: Minimum Return Loss.....	10
5 Network RF Characteristics	11
5.1 Downstream RF characteristics	11
5.1.1 Downstream Frequency Range	11
5.1.2 Downstream RF performance	11
5.2 Upstream RF characteristics	11
5.2.1 Upstream Frequency Range	11
5.2.2 Upstream RF performance	11
6 DOCSIS 3.1 Physical Interface Requirements.....	12
7 DOCSIS 3.1 MULPI Interface Requirements.....	17
8 DOCSIS 3.1 OSSI Interface Requirements.....	31
9 DOCSIS 3.1 SEC Interface Requirements	38
Annex 1 (informative): Implementation Advice	44
1.1 Coaxial cable assemblies.....	44
Table 12: OPERATOR specific Screening Effectiveness of coaxial cable assemblies (calculated).....	44
Table 13: OPERATOR specific Transfer Impedance of coaxial cable assemblies (calculated)	44
Table 14: OPERATOR specific parameters for coaxial cable assemblies	45
1.2 Cable Modem RF Port Characteristics.....	45
Annex 2 (informative): Change History	46
History	46

Foreword

This interface specification is designed to describe the functioning of the interface at the passive Network Termination Point in DOCSIS 3.1 Environment according to Sec. 41c TKG (German Telecommunication Act, TKG).

Modal verbs terminology

In the present document "**shall**", "**shall not**", "**should**", "**should not**", "**may**", "**need not**", "**will**", "**will not**", "**can**" and "**cannot**" are to be used.

The terms "**must**" and "**must not**" are not allowed in ANGA deliverables except when used in direct citation.

Introduction

Cable networks have advanced from a purely coaxial based distribution system. Incremental network changes made up of diverse technologies allow for bi-directional services while retaining most of the customer premises installation. Changes to the German Telecommunications Act (Telekommunikationsgesetz, TKG) allow customers to become part of the neighbourhoods' network backbone. They may establish connections to the Cable Modem Termination System (CMTS) and supporting systems as long as the customer devices are attached to the passive Network Termination Point in a technically correct manner. Hence, only cable modems conforming to the OPERATOR defined interface specification and operational values shall be attached to the pNTP.

1 Scope

This interface specification describes and specifies the main characteristics of the dedicated data interface in the OPERATOR cable network at the user's coaxial passive network termination point. This interface specification describes the typical limits or values within which the network characteristics can be expected to remain for networks that are built according to OPERATOR specifications at installation time.

The interface specification does not apply under abnormal operating conditions such as:

- operating conditions arising as a result of operating services other than DOCSIS 3.1 over the dedicated data interface (see e.g. PHY, MULPI, OSSI, SEC and EN 60728-1, EN 60728-101).
- operating conditions arising as a result of a fault, maintenance and construction work or to minimize the extend of interruption of service.
- operating conditions arising as a result of force majeure or third-party interference.
- operating conditions arising as a result of test signal injection governed by regulation.
- non-compliance of a network user's installation or non-compliance of equipment with the relevant standards or non-compliance with the technical requirements for connection, established either by this interface specification or the public authorities including the relevant limits for electromagnetic compatibility.

The characteristics given in this interface specification are intended to be used to derive and specify requirements for equipment such as coaxial cables and cable modems to connect them to the dedicated data interface. The values in this interface specification take precedence over requirements in equipment product standards and installation standards. The given characteristics are not intended to be used as electromagnetic compatibility levels or user emission limits in the OPERATOR network.

This interface specification may be changed at any time to reflect changes made to the network as required by Sec. 41c Para. 2. Anyone using this specification is requested to regularly check for the newest version at the respective website as published by BNetzA. This standard may be superseded in total or in part by the terms of a contract between an individual user of this specification and the OPERATOR.

2 References

2.1 Normative references

- [1] ETSI ETS 300 019-1-3 "Equipment Engineering (EE); Environmental conditions and environmental tests for telecommunications equipment; Part 1-3: Classification of environmental conditions; Stationary use at weather protected locations"
- [2] Deutsche Bundespost FTZ 1 R 8 – 15, Dezember 1985 "Technische und betriebliche Bedingungen für die Überlassung von Hauptanschlüssen, posteigenen Leitungen und Stromwegen sowie Direkt-Datenverbindungen (und für die Zulassung amtsberechtigter privater Leitungen) Teil 15: Breitbandanschlüsse"
- [3] IEC 61169-24:2001 "Radio-frequency connectors – Part 24: Sectional specification – Radio frequency coaxial connectors with screw coupling, typically for use in 75 ohm cable distribution systems (type F)"
- [4] IEC 61169-24:2009 "Radio-frequency connectors – Part 24: Sectional specification – Radio frequency coaxial connectors with screw coupling, typically for use in 75 Ω cable networks (type F)"
- [5] SCTE 02 2015 "Specification for "F" Port, Female, Indoor"
- [6] DIN EN 60728-1:2008 "Cable networks for television signals, sound signals and interactive services - Part 1: System performance of forward paths; German version; EN 60728-1:2008"
- [7] DIN EN 60728-4 "Cable networks for television signals, sound signals and interactive services - Part 4: Passive wideband equipment for coaxial cable networks (IEC 60728-4); German version EN 60728-4"
- [8] DIN EN 60728-11:2005 "Cable networks for television signals, sound signals and interactive services - Part 11: Safety; German version EN 60728-11:2005"
- [9] DIN EN 60728-11:2011 "Cable networks for television signals, sound signals and interactive services - Part 11: Safety; German version EN 60728-11:2010"
- [10] CableLabs "Data Over Cable Service Interface Specifications, Data Over Cable Service Interface Specifications DOCSIS 3.1 Physical Layer Specification CM-SP-PHYv3.1-I14-180509"
- [11] CableLabs "Data Over Cable Service Interface Specifications, DOCSIS 3.1 MAC and Upper Layer Protocols Interface Specification CM-SP-MULPlv3.1-I15-180509"
- [12] CableLabs "Data Over Cable Service Interface Specifications, DOCSIS 3.1 Operations Support System Interface Specification CM-SP-OSSlv3.1-I12-180509"
- [13] CableLabs "Data Over Cable Service Interface Specifications, DOCSIS 3.1 Security Specification CM-SP-SECv3.1-I07-170111"
- [14] CL-SP-CANN-DHCP-Reg "CableLabs' DHCP Options Registry"
- [15] EXCENTIS "EuroDOCSIS BPI+ Requirements: 2007"
- [16] DIN EN 60728-11:2017-11 "Cable networks for television signals, sound signals and interactive services - Part 101: System performance of forward paths loaded with digital channels only (IEC 60728-101:2016); German version EN 60728-101:2017 + AC:2017"

2.2 Informative references

- [i.1] SchuTSEV, 13.05.2009 "Verordnung zum Schutz von öffentlichen Telekommunikationsnetzen und Sende- und Empfangsfunkanlagen, die in definierten Frequenzbereichen zu Sicherheitszwecken betrieben werden."
- [i.2] ETSI ES 201 488 "Data Over Cable Service Interface Specifications (DOCSIS); Radio Frequency Interface Specifications"
- [i.3] EN 60966-2-6:2009 "Radio frequency and coaxial cable assemblies - Part 2-6: Detail specification for cable assemblies for radio and TV receivers - Frequency range 0 MHz to 3000 MHz, IEC 61169-24 connectors (IEC 60966-2-6:2009)"
- [i.4] IEC 60966-2-7:2015 "Radio frequency and coaxial cable assemblies - Part 2-7: Detail specification for cable assemblies for radio and TV receivers - Frequency range 0 MHz to 3 000 MHz, IEC 61169-47 connectors"
- [i.5] EN 61169-47:2012 "Sectional specification for radio-frequency coaxial connectors with clamp coupling typically for use in 75Ω cable networks (type F-Quick)"
- [i.6] DIN EN 60728-1-1:2010 „Cable networks for television signals, sound signals and interactive services – Part 1-1: RF cabling for two way home networks; German version EN 60728-1-1:2010“
- [i.7] EN 50289-3-9 "Communication cables - Specifications for test methods - Part 3-9: Mechanical test methods; Bending tests"

3 Definitions, symbols and abbreviations

3.1 Definitions

Cable Modem (CM): modulator-demodulator at subscriber locations intended for use in conveying data Communications on a cable television system

Cable Modem Termination System (CMTS): cable modem termination system, located at the cable television system headend or distribution hub, which provides complementary functionality to the cable modem to enable data connectivity to a wide-area network

Cable Network: coaxial-based broadband access network in the form of either an all-coax or Hybrid-Fibre/Coax (HFC) network

Carrier Hum Modulation: peak-to-peak magnitude of the amplitude distortion relative to the RF carrier signal level due to the fundamental and low-order harmonics of the power-supply frequency

Composite Second Order beat (CSO): peak of the average level of distortion products due to second-order non-linearity's in cable system equipment

Composite Triple Beat (CTB): peak of the average level of distortion components due to third-order non-linearity's in cable system equipment

customer: human being or organization that accesses the network in order to communicate via the services provided by the network

downstream: in cable television, the direction of transmission from the headend to the subscriber

dynamic range: ratio between the greatest signal power that can be transmitted over a multichannel analogue transmission system without exceeding distortion or other performance limits, and the least signal power that can be utilized without exceeding noise, error rate or other performance limits

group delay: difference in transmission time between the highest and lowest of several frequencies through a device, circuit or system

High Frequency (HF): Used in the present document to refer to the entire subsplit (5 MHz to 30 MHz) and extended subsplit (5 MHz to 65 MHz) band used in return channel communications over the cable television network

hum modulation: undesired modulation of the television visual carrier by the fundamental or low-order harmonics of the power supply frequency, or other low-frequency disturbances

Hybrid Fibre/Coax (HFC) system: broadband bidirectional shared-media transmission system using fibre trunks between the headend and the fibre nodes, and coaxial distribution from the fibre nodes to the customer locations

impulse noise: noise characterized by non-overlapping transient disturbances

layer: subdivision of the Open System Interconnection (OSI) architecture, constituted by subsystems of the same rank

micro-reflections: echoes in the forward transmission path due to departures from ideal amplitude and phase characteristics

mid split: frequency division scheme that allows bi-directional traffic on a single coaxial cable

passive network termination point (pNTP): customer terminal with minimum optical/electrical spacing to the CMTS

PHYsical (PHY) layer: layer 1 in the Open System Interconnection (OSI) architecture; the layer that provides services to transmit bits or groups of bits over a transmission link between open systems and which entails electrical, mechanical and handshaking procedures

Quadrature Amplitude Modulation (QAM): method of modulating digital signals onto a radio-frequency carrier signal involving both amplitude and phase coding

Radio Frequency (RF): in cable television systems, this refers to electromagnetic signals in the range 5 MHz to 1 GHz

return loss (RL): parameter describing the attenuation of a guided wave signal (e.g. via a coaxial cable) returned to a source by a device or medium resulting from reflections of the signal generated by the source

terminal: equipment connected to a telecommunication network to provide access to one or more specific services

3.2 Abbreviations

BER	Bit Error Rate
C/N or CNR	Carrier-to-Noise Ratio
CENELEC	European Committee for Electrotechnical Standardization
CM	Cable Modem
CPE	Customer Premise Equipment
CSO	Composite Second Order beat
CTB	Composite Triple Beat
DIN	Deutsches Institut für Normung
DOCSIS	Data Over Cable Service Interface Specifications
ETSI	European Telecommunications Standards Institute
FM	Frequency Modulation
HF	High Frequency
HFC	Hybrid-Fibre/Coax
IEC	International Electrotechnical Commission
ISO	International Organization for Standardization
MER	Modulation Error Ratio
PER	Packet Error Rate
QAM	Quadrature Amplitude Modulation
QPSK	Quadrature Phase-Shift Keying
RF	Radio Frequency
RMCD	Ready Made Connecting Device
pNTP	passive Network Termination Point
TI	Terminal Input
SNR	Signal to Noise Ratio

4 RF Interface Connector

4.1 General

Clause 4 describes and defines the mechanical coaxial connector and connection requirements at the customers pNTP.

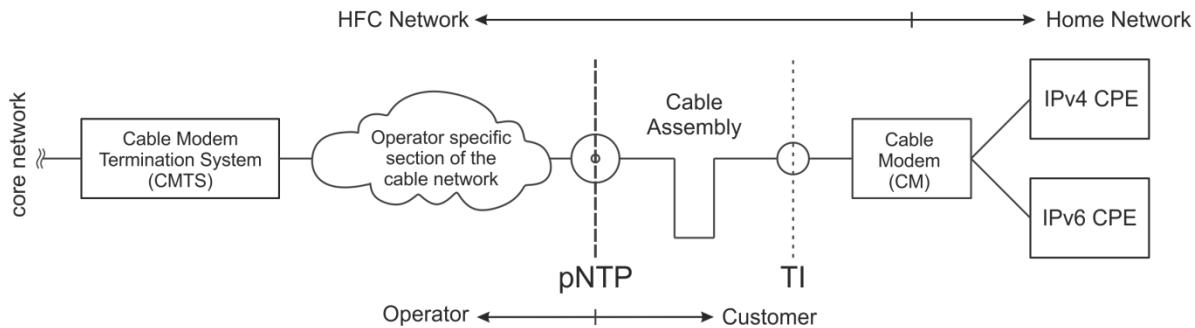


Figure 1: Location of the pNTP within the HFC network.

NOTE: The terminal connection to the pNTP requires an appropriate coaxial cable assembly (RMCD). Implementation examples for such assemblies are given in Annex 1.

4.2 Environmental Profile

The technical requirements of the present document apply under the environmental profiles in [1] assuming accordance with [8] or [9]. If not stated otherwise Class 3.1 typically applies for pNTP inside customer homes.

The technical specification of the present document applies under the environmental class E₀:

Table 1: E₀ environmental classification (MICE)

Electromagnetic Environment	E ₀
Radiated radio frequency, RF-AM	106 dB μ V/m at (30 to 470 MHz) 100 dB μ V/m at (470 to 862 MHz)
Conducted radio frequency	3 V at (150 kHz to 30 MHz)
Electrical fast transients (signal/data/control)	N/A
Surge (transient ground potential difference – signal, line to earth)	N/A
Magnetic Field (50 Hz)	3 A/m

4.3 Mechanical interface description for coaxial connector with socket centre contact

The pNTP mechanical interface consists of a type F connector with socket centre contact conforming to either [3] or [4] that interfaces with corresponding type F male connectors whose diameters of the centre conductor shall be between 0.74 mm and 1.13 mm. The minimum maintained retention force shall be 0.3 N.

The nominal tightening torque for screw type F connectors is typical 3.4 Nm \pm 10% (Absolute maximum tightening torque as per [5]). Networks conforming to [2] which are not supplied with type F pNTP may be supported by OPERATOR provided interface adapters.

NOTE: The use of screw type F connectors is discouraged.

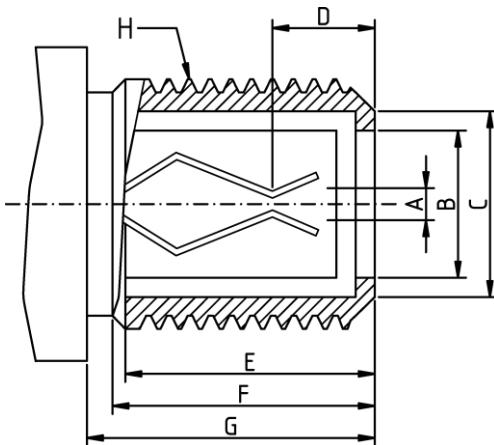


Figure 2: Type F connector with socket centre contact

Table 1: Mechanical Interface Dimensions

Dimension	Nominal
A	accepts 0.74 – 1.13 mm
B-H	according to [3] or [4]

NOTE: The mechanical Interface is compatible with [i.5]

4.4 Electrical Performance Characteristics

This clause describes the nominal electrical performance characteristics in the frequency range from DC to 1218 MHz.

The nominal system impedance is 75Ω . This impedance is the reference impedance for all passive coaxial components such as cables, connectors and wall outlets in the specified frequency range. Impedance mismatch results in a lower return loss.

The DC contact resistance of the centre conductor junction of the type F connector with socket centre contact to male F centre conductor shall be less than $25 \text{ m}\Omega$ and the DC contact resistance shall be less than $10 \text{ m}\Omega$.

NOTE: The resulting contact resistance when using copper-clad steel conductors is typically greater than $10 \text{ m}\Omega$.

The minimum nominal return loss of the pNTP is given in the table below.

Table 2: Minimum Return Loss

Frequency Range [MHz]	Nominal ¹
5 to 47	$\geq 14 \text{ dB}$
47 to 1218	$14 \text{ dB} - 1.5 \text{ dB/octave}, \geq 10 \text{ dB}$

¹ see [6], [16]

5 Network RF Characteristics

This clause describes and defines the RF parameters and requirements at the customer's pNTP.

5.1 Downstream RF characteristics

5.1.1 Downstream Frequency Range

Downstream lower band edges other than those specified in [10] are not supported at the pNTP and MAY NOT be used.

See provider specific documentation.

5.1.2 Downstream RF performance

See provider specific documentation.

5.2 Upstream RF characteristics

5.2.1 Upstream Frequency Range

Upstream upper band edges other than those specified in [10] are not supported at the pNTP and MAY NOT be used.

See provider specific documentation.

5.2.2 Upstream RF performance

See provider specific documentation.

6 DOCSIS 3.1 Physical Interface Requirements

The following table describes the DOCSIS physical interface requirements at the pNTP based on and in line with [10].

TABLE 7

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x		x	
	1.4	Conventions	x		x	
	1.5	Organization of Document	x	x		
2		REFERENCES				
	2.1	Normative References	x	x		
	2.2	Informative References	x	x		
	2.3	Reference Acquisition	x	x		
3		TERMS AND DEFINITIONS	x		x	
4		ABBREVIATIONS AND ACRONYMS	x		x	
5		OVERVIEW AND FUNCTIONAL ASSUMPTIONS	x		x	
	5.1	Overview		x		
	5.2	Functional Assumptions		x		
	5.2.1	Equipment Assumptions		x		
	5.2.2	RF Channel Assumptions		x		
	5.2.3	Transmission Levels		x		
	5.2.4	Frequency Inversion		x		
6		PHY SUBLAYER FOR SC-QAM				
	6.1	Scope	x		x	
	6.2	Upstream Transmit and Receive	x		x	
	6.2.1	Overview	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
	6.2.2	Signal Processing Requirements	x		x	
	6.2.3	Modulation Formats	x		x	
	6.2.4	R-S Encode	x		x	
	6.2.5	Upstream R-S Frame Structure (Multiple Transmit Channel Mode Enabled)	x		x	
	6.2.6	Upstream R-S Frame Structure (Multiple Transmit Channel Mode Disabled)	x		x	
	6.2.7	TDMA Byte Interleaver	x		x	
	6.2.8	Scrambler (randomizer)	x		x	
	6.2.9	TCM Encoder		x		
	6.2.10	Preamble Prepend	x		x	
	6.2.11	Modulation Rates	x		x	
	6.2.12	S-CDMA Framer and Interleaver		x		
	6.2.13	S-CDMA Framer		x		
	6.2.14	Symbol Mapping	x		x	
	6.2.15	S-CDMA Spreader		x		
	6.2.16	Transmit Pre-Equalizer	x		x	
	6.2.17	Spectral Shaping	x		x	
	6.2.18	Relative Processing Delays		x		
	6.2.19	Transmit Power Requirements	x		x	
	6.2.20	Burst Profiles	x		x	
	6.2.21	Burst Timing Convention	x		x	
	6.2.22	Fidelity Requirements	x		x	
	6.2.23	Upstream Demodulator Input Power Characteristics	x	x		
	6.2.24	Upstream Electrical Output from the CM	x		x	
	6.2.25	Upstream CM Transmitter Capabilities	x		x	
6.3		Downstream Transmit		x		
	6.3.1	Downstream Protocol		x		
	6.3.2	Spectrum Format		x		
	6.3.3	Scalable Interleaving to Support Video and High-Speed Data Services		x		
	6.3.4	Downstream Frequency Plan		x		
	6.3.5	DRFI Output Electrical		x		
	6.3.6	CMTS or EQAM Clock Generation		x		
	6.3.7	Downstream Symbol Clock Jitter for Synchronous Operation		x		
	6.3.8	Downstream Symbol Clock Drift for Synchronous Operation		x		
	6.3.9	Timestamp Jitter		x		
6.4		Downstream Receive	x		x	
	6.4.1	Downstream Protocol and Interleaving Support	x		x	
	6.4.2	Downstream Electrical Input to the CM	x		x	
	6.4.3	CM BER Performance	x		x	
	6.4.4	Downstream Multiple Receiver Capabilities	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
	6.4.5	Non-Synchronous DS Channel Support	x		x	
7		PHY SUBLAYER FOR OFDM				
	7.1	Scope	x		x	
	7.2	Upstream and Downstream Frequency Plan	x		x	
	7.2.1	Downstream CM Spectrum	x		x	
	7.2.2	Downstream CMTS Spectrum	x	x		
	7.2.3	Upstream CM Spectrum	x		x	
	7.2.4	Upstream CMTS Spectrum	x	x		
	7.2.5	Channel Band Rules	x	x		
	7.3	OFDM Numerology	x		x	
	7.3.1	Downstream OFDM Numerology	x		x	
	7.3.2	Upstream OFDMA Numerology	x		x	
	7.3.3	Subcarrier Clocking	x		x	
	7.4	Upstream Transmit and Receive	x		x	
	7.4.1	Signal Processing Requirements	x		x	
	7.4.2	Time and Frequency Synchronization	x		x	
	7.4.3	Forward Error Correction	x		x	
	7.4.4	Data Randomization	x		x	
	7.4.5	Time and Frequency Interleaving and De-interleaving	x		x	
	7.4.6	Mapping of Bits to Cell Words	x		x	
	7.4.7	Mapping and De-mapping Bits to/from QAM Subcarriers	x		x	
	7.4.8	REQ Messages	x		x	
	7.4.9	IDFT	x		x	
	7.4.10	Cyclic Prefix and Windowing	x		x	
	7.4.11	Burst Timing Convention	x		x	
	7.4.12	Fidelity Requirements	x		x	
	7.4.13	Cable Modem Transmitter Output Requirements	x		x	
	7.4.14	CMTS Receiver Capabilities	x	x		
	7.4.15	Ranging	x		x	
	7.4.16	Upstream Pilot Structure	x		x	
	7.4.17	Upstream Pre-Equalization	x		x	
	7.5	Downstream Transmit and Receive	x		x	
	7.5.1	Overview	x		x	
	7.5.2	Signal Processing	x		x	
	7.5.3	Time and Frequency Synchronization	x		x	
	7.5.4	Downstream Forward Error Correction	x		x	
	7.5.5	Mapping Bits to QAM Constellations	x		x	
	7.5.6	Interleaving and De-interleaving	x		x	
	7.5.7	IDFT	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
	7.5.8	Cyclic Prefix and Windowing	x		x	
	7.5.9	Fidelity Requirements	x	x		
	7.5.10	Independence of Individual Channels Within Multiple Channels on a Single RF Port	x	x		
	7.5.11	Cable Modem Receiver Input Requirements	x		x	
	7.5.12	Cable Modem Receiver Capabilities	x		x	
	7.5.13	Physical Layer Link Channel (PLC)	x		x	
	7.5.14	Next Codeword Pointer	x		x	
	7.5.15	Downstream Pilot Patterns	x		x	
8		PHY-MAC CONVERGENCE				
	8.1	Scope	x		x	
	8.2	Upstream	x		x	
	8.2.1	Profiles	x		x	
	8.2.2	Upstream Subcarrier Numbering Conventions	x		x	
	8.2.3	Minislots	x		x	
	8.2.4	Subslots	x		x	
	8.3	Downstream	x		x	
	8.3.1	Operation	x		x	
	8.3.2	MAC Frame to Codewords	x		x	
	8.3.3	Subcarrier Numbering Conventions	x		x	
	8.3.4	Next Codeword Pointer	x		x	
9		PROACTIVE NETWORK MAINTENANCE				
	9.1	Scope	x		x	
	9.2	System Description	x		x	
	9.3	Downstream PNM Requirements	x		x	
	9.3.1	Downstream Symbol Capture	x		x	
	9.3.2	Downstream Wideband Spectrum Analysis	x		x	
	9.3.3	Downstream Noise Power Ratio (NPR) Measurement	x	x		
	9.3.4	Downstream Channel Estimate Coefficients	x		x	
	9.3.5	Downstream Constellation Display	x		x	
	9.3.6	Downstream Receive Modulation Error Ratio (RxMER) Per Subcarrier	x		x	
	9.3.7	Downstream FEC Statistics	x		x	
	9.3.8	Downstream Histogram	x		x	
	9.3.9	Downstream Received Power	x		x	
	9.4	Upstream PNM Requirements	x		x	
	9.4.1	Upstream Capture for Active and Quiet Probe	x	x		
	9.4.2	Upstream Triggered Spectrum Analysis	x	x		
	9.4.3	Upstream Impulse Noise Statistics	x	x		
	9.4.4	Upstream Equalizer Coefficients	x		x	
	9.4.5	Upstream FEC Statistics	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
	9.4.6	Upstream Histogram	x	x		
	9.4.7	Upstream Channel Power	x	x		
	9.4.8	Upstream Receive Modulation Error Ratio (RxMER) Per Subcarrier	x	x		
ANNEX A		QAM CONSTELLATION MAPPINGS (NORMATIVE)				
	A.1	QAM Constellations	x		x	
	A.2	QAM Constellation Scaling	x		x	
ANNEX B		RFOG OPERATING MODE (NORMATIVE)	x	x		
ANNEX C		ADDITIONS AND MODIFICATIONS FOR EUROPEAN SPECIFICATION WITH SC-QAM OPERATION (NORMATIVE)	x		x	
ANNEX D		ADDITIONS AND MODIFICATIONS FOR CHINESE SPECIFICATION WITH SC-QAM OPERATION (NORMATIVE)	x	x		
ANNEX E		24-BIT CYCLIC REDUNDANCY CHECK (CRC) CODE (NORMATIVE)	x		x	
APPENDIX I		DOWNSTREAM FREQUENCY INTERLEAVER SAMPLE C CODE (INFORMATIVE)	x	x		
APPENDIX II		USE CASES: MAXIMUM NUMBER OF SIMULTANEOUS TRANSMITTERS (INFORMATIVE)	x	x		
APPENDIX III		UPSTREAM TIME AND FREQUENCY INTERLEAVER SAMPLE C CODE (INFORMATIVE)	x	x		
APPENDIX IV		FEC CODEWORD SELECTION ALGORITHM UPSTREAM TIME AND FREQUENCY INTERLEAVER SAMPLE C CODE (INFORMATIVE)	x	x		
APPENDIX V		CMTS PROPOSED CONFIGURATION PARAMETERS (INFORMATIVE)	x	x		
APPENDIX VI		SUGGESTED ALGORITHM TO COMPUTE SIGNAL-TO-NOISE RATIO (SNR) MARGIN FOR CANDIDATE PROFILE (INFORMATIVE)	x	x		
APPENDIX VII		ACKNOWLEDGEMENTS (INFORMATIVE)	x	x		
APPENDIX VIII		REVISION HISTORY (INFORMATIVE)	x	x		
VIII.1		Engineering Change for CM-SP-PHYv3.1-I02-140320	x	x		
VIII.2		Engineering Change for CM-SP-PHYv3.1-I03-140606	x	x		
VIII.3		Engineering Changes for CM-SP-PHYv3.1-I04-141218	x	x		
VIII.4		Engineering Changes for CM-SP-PHYv3.1-I05-150326	x	x		
VIII.5		Engineering Changes for CM-SP-PHYv3.1-I06-150611	x	x		
VIII.6		Engineering Changes for CM-SP-PHYv3.1-I07-150910	x	x		
VIII.7		Engineering Change for CM-SP-PHYv3.1-I08-151210	x	x		
VIII.8		Engineering Changes for CM-SP-PHYv3.1-I09-160602	x	x		
VIII.9		Engineering Changes for CM-SP-PHYv3.1-I10-170111	x	x		
VIII.10		Engineering Changes for CM-SP-PHYv3.1-I11-170512	x	x		

7 DOCSIS 3.1 MULPI Interface Requirements

The following table describes the DOCSIS MULPI interface requirements at the pNTP based on and in line with [11].

TABLE 8

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x		x	
	1.4	Conventions	x		x	
	1.5	Organization of Document	x	x		
2		REFERENCES				
	2.1	Normative References	x		x	
	2.2	Informative References	x	x		
	2.3	Reference Acquisition	x	x		
3		TERMS AND DEFINITIONS	x		x	
4		ABBREVIATIONS AND ACRONYMS	x		x	
5		OVERVIEW AND THEORY OF OPERATIONS				
	5.1	MULPI Key Features	x	x		
	5.2	Technical Overview	x	x		
	5.2.1	CMTS and CM Models	x	x		
	5.2.2	Downstream Convergence Layer	x		x	
	5.2.3	OFDMA Upstream	x		x	
	5.2.4	QoS	x		x	
	5.2.5	Multicast Operation	x		x	
	5.2.6	Network and Higher Layer Protocols	x		x	
	5.2.7	CM and CPE Provisioning and Management	x		x	
	5.2.8	Enhanced Support for Timing Protocol mandatory or informative	x	x		
	5.2.9	Energy Management mandatory or informative	x			x
	5.2.10	Relationship to the Physical HFC Plant Topology	x		x	
	5.2.11	Cable Modem Service Group (CM-SG)	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	5.2.12	CMTS Downstream Service Model Example	x	x		
6		MEDIA ACCESS CONTROL SPECIFICATION				
	6.1	Introduction	x	x		
	6.1.1	Overview	x		x	
	6.1.2	Definitions	x		x	
	6.1.3	Future Use	x	x		
	6.2	MAC Frame Formats	x		x	
	6.2.1	Generic MAC Frame Format	x		x	
	6.2.2	Packet-Based MAC Frames	x		x	
	6.2.3	MAC Frames with FC_TYPE 0x01	x		x	
	6.2.4	MAC-Specific Headers	x		x	
	6.2.5	Extended MAC Frame Length	x		x	
	6.2.6	Extended MAC Headers	x		x	
	6.3	Segment Header Format	x		x	
	6.4	MAC Management Messages	x		x	
	6.4.1	MAC Management Message Header	x		x	
	6.4.2	Time Synchronization (SYNC)	x		x	
	6.4.3	Upstream Channel Descriptor (UCD)	x		x	
	6.4.4	Upstream Bandwidth Allocation Map (MAP)	x		x	
	6.4.5	Ranging Request Messages	x		x	
	6.4.6	Ranging Response (RNG-RSP)	x		x	
	6.4.7	Registration Request Messages	x		x	
	6.4.8	Registration Response Messages	x		x	
	6.4.9	Registration Acknowledge (REG-ACK)	x		x	
	6.4.10	Upstream Channel Change Request (UCC-REQ)	x		x	
	6.4.11	Upstream Channel Change Response (UCC-RSP)	x		x	
	6.4.12	Dynamic Service Addition - Request (DSA-REQ)	x		x	
	6.4.13	Dynamic Service Addition - Response (DSA-RSP)	x		x	
	6.4.14	Dynamic Service Addition - Acknowledge (DSA-ACK)	x		x	
	6.4.15	Dynamic Service Change - Request (DSC-REQ)	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	6.4.16	Dynamic Service Change - Response (DSC-RSP)	x		x	
	6.4.17	Dynamic Service Change - Acknowledge (DSC-ACK)	x		x	
	6.4.18	Dynamic Service Deletion - Request (DSD-REQ)	x		x	
	6.4.19	Dynamic Service Deletion - Response (DSD-RSP)	x		x	
	6.4.20	Dynamic Channel Change - Request (DCC-REQ)	x		x	
	6.4.21	Dynamic Channel Change - Response (DCC-RSP)	x		x	
	6.4.22	Dynamic Channel Change - Acknowledge (DCC-ACK)	x		x	
	6.4.23	Device Class Identification Request (DCI-REQ)	x		x	
	6.4.24	Device Class Identification Response (DCI-RSP)	x		x	
	6.4.25	Upstream Transmitter Disable (UP-DIS)	x	x		
	6.4.26	Test Request (TST-REQ)	x	x		
	6.4.27	Downstream Channel Descriptor (DCD)	x		x	
	6.4.28	MAC Domain Descriptor (MDD)	x		x	
	6.4.29	Dynamic Bonding Change Request (DBC-REQ)	x		x	
	6.4.30	Dynamic Bonding Change Response (DBC-RSP)	x		x	
	6.4.31	Dynamic Bonding Change Acknowledge (DBC-ACK)	x		x	
	6.4.32	DOCSIS Path Verify Request (DPV-REQ)	x	x		
	6.4.33	DOCSIS Path Verify Response (DPV-RSP)	x	x		
	6.4.34	Status Report (CM-STATUS)	x		x	
	6.4.35	CM Control Request (CM-CTRL-REQ)	x		x	
	6.4.36	CM Control Response (CM-CTRL-RSP)	x		x	
	6.4.37	Energy Management Request (EM-REQ) mandatory or informative	x			x
	6.4.38	Energy Management Response (EM-RSP) mandatory or informative	x			x
	6.4.39	Status Report Acknowledge (CM-STATUS-ACK)	x		x	
	6.4.40	OFDM Channel Descriptor (OCD)	x		x	
	6.4.41	Downstream Profile Descriptor (DPD)	x		x	
	6.4.42	OFDM Downstream Spectrum Request Message (ODS-REQ)	x	x		
	6.4.43	OFDM Downstream Spectrum Response (ODS-RSP)	x	x		
	6.4.44	OFDM Downstream Profile Test Request (OPT-REQ)	x		x	
	6.4.45	OFDM Downstream Profile Test Response (OPT-RSP)	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	6.4.46	OFDM Downstream Profile Test Acknowledge (OPT-ACK)	x		x	
	6.4.47	DOCSIS Time Protocol - Request (DTP-REQ)	x			x
	6.4.48	DOCSIS Time Protocol - Response (DTP-RSP)	x			x
	6.4.49	DOCSIS Time Protocol - Info (DTP-INFO)	x			x
	6.4.50	DOCSIS Time Protocol - Acknowledge (DTP-ACK)	x			x
	6.5	PHY Link Channel	x		x	
	6.5.1	PLC Structure	x		x	
	6.5.2	Timestamp Message Block	x		x	
	6.5.3	Energy Management Message Block	x		x	
	6.5.4	Message Channel Message Block	x		x	
	6.5.5	Trigger Message Block	x		x	
	6.5.6	Future Use Message Blocks	x		x	
7		MEDIA ACCESS CONTROL PROTOCOL OPERATION				
	7.1	Timing and Synchronization	x		x	
	7.1.1	Global Timing Reference	x		x	
	7.1.2	CM Synchronization	x		x	
	7.1.3	Ranging	x		x	
	7.1.4	Timing Units and Relationships	x		x	
	7.1.5	Extended Timestamp	x		x	
	7.1.6	Timestamp Rules for Systems with both Primary Capable OFDM Channels and Primary Capable SC-QAM Channels	x		x	
	7.2	Upstream Data Transmission	x		x	
	7.2.1	Upstream Bandwidth Allocation	x		x	
	7.2.2	Upstream Transmission and Contention Resolution	x		x	
	7.2.3	Upstream Service Flow Scheduling Services	x		x	
	7.2.4	Continuous Concatenation and Fragmentation	x		x	
	7.2.5	Pre-3.0 DOCSIS Concatenation and Fragmentation	x	x		
	7.3	Upstream - Downstream Channel Association within a MAC Domain	x		x	
	7.3.1	Primary Downstream Channels	x		x	
	7.3.2	MAP and UCD Messages	x		x	
	7.3.3	Multiple MAC Domains	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	7.4	DSID Definition	x		x	
	7.5	Quality of Service	x		x	
	7.5.1	Concepts	x		x	
	7.5.2	Object Model	x	x		
	7.5.3	Service Classes	x		x	
	7.5.4	Authorization	x		x	
	7.5.5	States of Service Flows	x		x	
	7.5.6	Service Flows and Classifiers	x		x	
	7.5.7	General Operation	x	x		
	7.5.8	QoS Support for Joined IP Multicast Traffic	x		x	
	7.5.9	Other Multicast and Broadcast Traffic	x	x		
	7.5.10	Hierarchical QoS	x		x	
	7.6	Packet Queuing	x		x	
	7.6.1	Downstream Traffic Priority	x		x	
	7.6.2	Active Queue Management	x		x	
	7.7	Data Link Encryption Support	x		x	
	7.7.1	MAC Messages	x		x	
	7.7.2	Framing	x		x	
	7.7.3	Multiple Transmit Channel Mode Operation and Packet Encryption	x		x	
	7.8	Downstream Profiles	x		x	
	7.8.1	CM and CMTS Profile Support	x		x	
	7.8.2	Changes to the Profiles	x		x	
	7.8.3	Service Flow to Profile Mapping	x		x	
8		CHANNEL BONDING				
	8.1	Upstream and Downstream Common Aspects	x	x		
	8.1.1	Service Flow Assignment mandatory or informative				
	8.1.2	CMTS Bonding and Topology Requirements	x	x		
	8.2	Downstream Channel Bonding	x		x	
	8.2.1	Multiple Downstream Channel Overview	x		x	
	8.2.2	CMTS Downstream Bonding Operation	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	8.2.3	Sequenced Downstream Packets	x		x	
	8.2.4	Cable Modem Physical Receive Channel Configuration	x		x	
	8.2.5	QoS for Downstream Channel Bonding	x		x	
	8.3	Upstream Channel Bonding	x		x	
	8.3.1	Granting Bandwidth	x		x	
	8.3.2	Upstream Transmissions with Upstream Channel Bonding	x		x	
	8.3.3	Dynamic Range Window	x		x	
	8.4	Partial Service	x		x	
9		DATA FORWARDING				
	9.1	General Forwarding Requirements	x		x	
	9.1.1	CMTS Forwarding Rules	x	x		
	9.1.2	CM Address Acquisition, Filtering and Forwarding Rules	x		x	
	9.2	Multicast Forwarding	x		x	
	9.2.1	Introduction Multicast Forwarding	x	x		
	9.2.2	Downstream Multicast Forwarding	x		x	
	9.2.3	Downstream Multicast Traffic Encryption	x	x		
	9.2.4	Static Multicast Session Encodings	x	x		
	9.2.5	IGMP and MLD Support	x		x	
	9.2.6	Encrypted Multicast Downstream Forwarding Example	x	x		
	9.2.7	IP Multicast Join Authorization	x	x		
	9.2.8	Multicast in a DOCSIS 3.1 OFDM Channel with Multiple Downstream Profiles	x		x	
10		CABLE MODEM - CMTS INTERACTION				
	10.1	CMTS Initialization	x	x		
	10.2	Cable Modem Initialization and Reinitialization	x		x	
	10.2.1	Scan for Downstream Channel	x		x	
	10.2.2	Continue Downstream Scanning	x		x	
	10.2.3	Service Group Discovery and Initial Ranging	x		x	
	10.2.4	Authentication	x		x	
	10.2.5	Establishing IP Connectivity	x		x	
	10.2.6	Registration with the CMTS	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	10.2.7	Baseline Privacy Initialization	x		x	
	10.2.8	Service IDs During CM Initialization	x		x	
	10.3	Periodic Maintenance	x		x	
	10.4	OFDM Profile Usability Testing Process	x		x	
	10.4.1	Downstream Profile Usability Testing Process	x		x	
	10.5	Upstream OFDMA Data Profile Assignment and Testing	x		x	
	10.5.1	Assignment of OFDMA Upstream Data Profile (OUDP) IUCs	x		x	
	10.6	Fault Detection and Recovery	x		x	
	10.6.1	CM Downstream Channel Lost Lock Handling	x		x	
	10.6.2	MAC Layer Error-Handling	x		x	
	10.6.3	Partial Channel Mode of OFDM Downstream Channel	x		x	
	10.6.4	CM Status Report	x		x	
	10.7	DOCSIS Path Verification	x	x		
	10.7.1	DPV Overview	x	x		
	10.7.2	DPV Reference Points	x	x		
	10.7.3	DPV Math	x	x		
	10.7.4	DPV Per Path Operation	x	x		
	10.7.5	DPV Per Packet Operation	x	x		
	10.8	DOCSIS Time Protocol	x			x
	10.8.1	DTP Overview	x			x
	10.8.2	DOCSIS and PTP	x			x
	10.8.3	True Ranging Offset	x			x
	10.8.4	DTP Math	x			x
	10.8.5	DTP Example	x			x
	10.8.6	DTP Signaling	x			x
	10.8.7	DTP Configuration	x			x
	10.8.8	DTP System Level Performance	x	x		
11		DYNAMIC OPERATIONS				
	11.1	Upstream Channel Descriptor Changes	x		x	
	11.2	Dynamic Service Flow Changes	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	11.2.1	Dynamic Service Flow State Transitions	x		x	
	11.2.2	Dynamic Service Addition	x		x	
	11.2.3	Dynamic Service Change	x		x	
	11.2.4	Dynamic Service Deletion	x		x	
	11.3	Pre-3.0 DOCSIS Upstream Channel Changes	x	x		
	11.4	Dynamic Downstream and/or Upstream Channel Changes	x		x	
	11.4.1	DCC General Operation	x		x	
	11.4.2	DCC Exception Conditions	x		x	
	11.4.3	DCC State Transition Diagrams	x		x	
	11.5	Dynamic Bonding Change (DBC)	x		x	
	11.5.1	DBC General Operation	x		x	
	11.5.2	Exception Conditions	x		x	
	11.5.3	DBC State Transition Diagrams	x		x	
	11.6	Autonomous Load Balancing		x		
	11.6.1	Load Balancing Groups		x		
	11.6.2	CMTS Load Balancing Operation		x		
	11.6.3	Multiple Channel Load Balancing		x		
	11.6.4	Initialization Techniques during Autonomous Load Balancing		x		
	11.6.5	Load Balancing Policies		x		
	11.6.6	Load Balancing Priorities		x		
	11.6.7	Load Balancing and Multicast		x		
	11.6.8	Externally-Directed Load Balancing		x		
	11.7	Energy Management Operations	x		x	
	11.7.1	Energy Management Features	x		x	
	11.7.2	Entry and Exit for Energy Management Modes	x		x	
	11.7.3	Energy Management 1x1 Feature	x		x	
	11.7.4	DOCSIS Light Sleep (DLS) Feature	x		x	
	11.7.5	Interaction between Battery Backup and DLS		x		
	11.8	Downstream Profile Descriptor Changes	x		x	
12		SUPPORTING FUTURE NEW CABLE MODEM CAPABILITIES				

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	12.1	Downloading Cable Modem Operating Software	x		x	
	12.2	Future Capabilities	x		x	
ANNEX A		WELL-KNOWN ADDRESSES (NORMATIVE)				
	A.1	Addresses	x		x	
	A.1.1	General MAC Addresses	x		x	
	A.2	MAC Service IDs	x		x	
	A.2.1	All CMs and No CM Service IDs	x		x	
	A.2.2	Well-Known Multicast Service IDs	x		x	
	A.2.3	Priority Request Service IDs	x		x	
	A.3	MPEG PID	x		x	
	A.4	Well-Known Downstream Service ID	x		x	
ANNEX B		PARAMETERS AND CONSTANTS (NORMATIVE)	x		x	
ANNEX C		COMMON TLV ENCODINGS (NORMATIVE)	x		x	
	C.1	Encodings for Configuration and MAC-Layer Messaging	x		x	
	C.1.1	Configuration File and Registration Settings	x		x	
	C.1.2	Configuration-File-Specific Settings	x		x	
	C.1.3	Registration-Request/Response-Specific Encodings	x		x	
	C.1.4	Dynamic-Message-Specific Encodings	x		x	
	C.1.5	Registration, Dynamic Service, and Dynamic Bonding Settings	x		x	
	C.1.6	DOCSIS Time Protocol Encodings	x		x	
	C.2	Quality-of-Service-Related Encodings	x		x	
	C.2.1	Packet Classification Encodings	x		x	
	C.2.2	Service Flow Encodings	x		x	
	C.2.3	Payload Header Suppression	x		x	
	C.2.4	Payload Header Suppression Error Encodings	x		x	
	C.3	Encodings for Other Interfaces	x		x	
	C.3.1	Baseline Privacy Configuration Settings Option	x		x	
	C.3.2	eSAFE Configuration Settings Option	x		x	
	C.3.3	Unidirectional (UNI) Control Encodings	x		x	
	C.4	Confirmation Code	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
ANNEX D		CM CONFIGURATION INTERFACE SPECIFICATION (NORMATIVE)	x		x	
	D.1	CM Configuration	x		x	
	D.1.1	CM Binary Configuration File Format	x		x	
	D.1.2	Configuration File Settings	x		x	
	D.1.3	Configuration File Creation	x		x	
	D.2	Configuration Verification	x		x	
	D.2.1	CMTS MIC Calculation	x		x	
ANNEX E		STANDARD RECEIVE CHANNEL PROFILE ENCODINGS (NORMATIVE)	x		x	
ANNEX F		THE DOCSIS MAC/PHY INTERFACE (DMPI)			x	
ANNEX G		COMPATIBILITY WITH PREVIOUS VERSIONS OF DOCSIS (NORMATIVE)	x		x	
	G.1	General Interoperability Issues	x		x	
	G.1.1	Initial Ranging	x		x	
	G.1.2	Topology Resolution	x		x	
	G.1.3	Early Authentication and Encryption (EAE)	x		x	
	G.1.4	Provisioning	x		x	
	G.1.5	Registration	x		x	
	G.1.6	Requesting Bandwidth	x		x	
	G.1.7	Encryption Support	x		x	
	G.1.8	Downstream Channel Bonding	x		x	
	G.1.9	Upstream Channel Bonding and Transmit Channel Configuration Support	x		x	
	G.1.10	Dynamic Service Establishment	x		x	
	G.1.11	Fragmentation	x		x	
	G.1.12	Multicast Support	x		x	
	G.1.13	Changing Upstream Channels	x		x	
	G.1.14	Changing Downstream Channels	x		x	
	G.1.15	Concatenation support	x		x	
	G.1.16	PHS support	x		x	
	G.1.17	IP/LLC filtering support	x		x	
	G.1.18	Differences in downstream lower frequency band edge support	x		x	
	G.2	Upstream Physical Layer Interoperability	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	G.2.1	DOCSIS 2.0 TDMA Interoperability	x		x	
	G.2.2	DOCSIS 2.0 S-CDMA Interoperability	x		x	
	G.2.3	DOCSIS 3.0 Interoperability	x		x	
	G.3	Multicast Support for Interaction with Pre-3.0 DOCSIS Devices	x		x	
	G.3.1	Multicast DSID Forwarding (MDF) Capability Exchange	x		x	
	G.3.2	GMAC-Explicit Multicast DSID Forwarding Mode	x		x	
	G.3.3	MDF Mode 0	x		x	
ANNEX H		DHCPV6 VENDOR SPECIFIC INFORMATION OPTIONS FOR DOCSIS 3.0 (NORMATIVE)	x		x	
ANNEX I		(SET ASIDE)		x		
ANNEX J		DHCPV4 VENDOR IDENTIFYING VENDOR SPECIFIC OPTIONS FOR DOCSIS 3.0 (NORMATIVE)	x		x	
ANNEX K		THE DATA-OVER-CABLE SPANNING TREE PROTOCOL (NORMATIVE)	x		x	
	K.1	Background	x		x	
	K.2	Public Spanning Tree	x		x	
	K.3	Public Spanning Tree Protocol Details	x		x	
	K.4	Spanning Tree Parameters and Defaults	x		x	
	K.4.1	Path Cost	x		x	
	K.4.2	Bridge Priority	x		x	
ANNEX L		ADDITIONS AND MODIFICATIONS FOR CHINESE SPECIFICATION (NORMATIVE)729		x		
ANNEX M		PROPORTIONAL-INTEGRAL-ENHANCED ACTIVE QUEUE MANAGEMENT ALGORITHM (NORMATIVE)			x	
	M.1	PIE AQM Constants and Variables				x
	M.2	PIE AQM Control Path				x
	M.3	PIE AQM Data Path				x
APPENDIX I		MAC SERVICE DEFINITION (INFORMATIVE) mandatory or informative	x	x		
	I.1	MAC Service Overview	x	x		
	I.1.1	MAC Service Parameters	x	x		
	I.2	MAC Data Service Interface	x	x		
	I.2.1	MAC_DATA_INDIVIDUAL.request	x	x		
	I.2.2	MAC_DATA_GROUP.request	x	x		
	I.2.3	MAC_DATA_INTERNAL.request	x	x		
	I.2.4	MAC_GRANT_SYNCHRONIZE.indicate	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.2.5	MAC_CMTS_MASTER_CLOCK_SYNCHRONIZE.indicate	x	x		
	I.3	MAC Control Service Interface	x	x		
	I.3.1	MAC_REGISTRATION_RESPONSE.indicate	x	x		
	I.3.2	MAC_CREATE_SERVICE_FLOW.request	x	x		
	I.3.3	MAC_CREATE_SERVICE_FLOW.response	x	x		
	I.3.4	MAC_CREATE_SERVICE_FLOW.indicate	x	x		
	I.3.5	MAC_DELETE_SERVICE_FLOW.request	x	x		
	I.3.6	MAC_DELETE_SERVICE_FLOW.response	x	x		
	I.3.7	MAC_DELETE_SERVICE_FLOW.indicate	x	x		
	I.3.8	MAC_CHANGE_SERVICE_FLOW.request	x	x		
	I.3.9	MAC_CHANGE_SERVICE_FLOW.response	x	x		
	I.3.10	MAC_CHANGE_SERVICE_FLOW.indicate	x	x		
	I.4	MAC Service Usage Scenarios	x	x		
	I.4.1	Transmission of PDUs from Upper Layer Service to MAC DATA Service	x	x		
	I.4.2	Reception of PDUs to Upper Layer Service from MAC DATA Service	x	x		
	I.4.3	Sample Sequence of MAC Control and MAC Data Services	x	x		
APPENDIX II		PLANT TOPOLOGIES (INFORMATIVE)	x	x		
	II.1	Single Downstream and Single Upstream per Cable Segment	x	x		
	II.2	Multiple Downstreams and Multiple Upstreams per Cable Segment	x	x		
	II.2.1	HFC Plant Topologies	x	x		
	II.2.2	Normal Operation	x	x		
	II.2.3	Initial Ranging	x	x		
	II.2.4	Dynamic Channel Change	x	x		
APPENDIX III		DOCSIS TRANSMISSION AND CONTENTION RESOLUTION (INFORMATIVE)	x	x		
	III.1	Multiple Transmit Channel Mode	x	x		
	III.1.1	Introduction	x	x		
	III.1.2	Variable Definitions	x	x		
	III.1.3	State Examples	x	x		
	III.1.4	Function Examples	x	x		
	III.2	Non-Multiple Transmit Channel Mode	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	III.2.1	Introduction	x	x		
	III.2.2	Variable Definitions	x	x		
	III.2.3	State Examples	x	x		
	III.2.4	Function Examples	x	x		
APPENDIX IV		UNSOLICITED GRANT SERVICES (INFORMATIVE) - mandatory or informative	x	x		
	IV.1	Unsolicited Grant Service (UGS)	x	x		
	IV.1.1	Introduction	x	x		
	IV.1.2	Configuration Parameters	x	x		
	IV.1.3	Operation	x	x		
	IV.1.4	Jitter	x	x		
	IV.1.5	Synchronization Issues	x	x		
	IV.2	Unsolicited Grant Service with Activity Detection (UGS-AD)	x	x		
	IV.2.1	Introduction	x	x		
	IV.2.2	MAC Configuration Parameters	x	x		
	IV.2.3	Operation	x	x		
	IV.2.4	Example	x	x		
	IV.2.5	Talk Spurt Grant Burst	x	x		
	IV.2.6	Admission Considerations	x	x		
	IV.3	Multiple Transmit Channel Mode Considerations for Unsolicited Grant Services	x	x		
APPENDIX V		ERROR RECOVERY EXAMPLES (INFORMATIVE)	x	x		
APPENDIX VI		SDL NOTATION (INFORMATIVE)	x	x		
APPENDIX VII		NOTES ON ADDRESS CONFIGURATION IN DOCSIS 3.1 (INFORMATIVE)	x	x		
APPENDIX VIII		IP MULTICAST REPLICATION EXAMPLES (INFORMATIVE)	x	x		
	VIII.1	Scenario I: First Multicast Client joiner to a multicast session (Start of a new Multicast Session)	x	x		
	VIII.1.1	Scenario 1 - Case 1	x	x		
	VIII.1.2	Scenario 1 - Case 2	x	x		
	VIII.1.3	Scenario I - Case 3	x	x		
	VIII.2	Scenario II: A Multicast Client joining an existing multicast session that is being forwarded bonded,with FC-Type 10 (Typical 3.0 Multicast Mode of Operation)	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	DOCSIS Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	VIII.2.1	Scenario II - Case 1	x	x		
	VIII.2.2	Scenario II - Case 2	x	x		
	VIII.2.3	Scenario II - Case 3	x	x		
APPENDIX IX		IGMP EXAMPLE FOR DOCSIS 2.0 BACKWARDS COMPATIBILITY MODE (INFORMATIVE)779	x	x		
	IX.1	Events	x	x		
	IX.2	Actions	x	x		
APPENDIX X		CM MULTICAST DSID FILTERING SUMMARY (INFORMATIVE)	x	x		
APPENDIX XI		EXAMPLE DHCPV6 SOLICIT MESSAGE CONTENTS (INFORMATIVE)	x	x		
APPENDIX XII		DYNAMIC OPERATIONS EXAMPLES (INFORMATIVE)	x	x		
	XII.1	Dynamic Bonding Change Example Operation	x	x		
	XII.1.1	Change to Transmit Channel Set and Service Flow SID Cluster Assignments	x	x		
	XII.1.2	Change to Receive Channel Set and Downstream Resequencing Channel List	x	x		
	XII.1.3	Change to Move Service Flows Between Downstream Profiles	x	x		
	XII.2	Autonomous Load Balancing Example	x	x		
	XII.3	Downstream Profile Descriptor Change	x	x		
	XII.3.1	DPD Change to Profile A	x	x		
	XII.3.2	DPD Change to the NCP Profile	x	x		
APPENDIX XIII		ACKNOWLEDGEMENTS (INFORMATIVE)	x	x		
APPENDIX XIV		REVISION HISTORY (INFORMATIVE)	x	x		

8 DOCSIS 3.1 OSSI Interface Requirements

The following table describes the DOCSIS OSSI interface requirements at the pNTP based on and in line with [12].

TABLE 9

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
	1.5	Organization of Document	x	x		
	1.5.1	Annexes (Normative)	x	x		
	1.5.2	Appendices (Informative)	x	x		
2		REFERENCES	x	x		
	2.1	Normative References	x	x		
	2.2	Informative References	x	x		
	2.3	Reference Acquisition	x	x		
3		TERMS AND DEFINITIONS		x		
4		ABBREVIATIONS AND ACRONYMS		x		
5		OVERVIEW		x		
	5.1	DOCSIS 3.1 OSSI Key Features	x		x	
	5.1.1	Fault Management Features	x		x	
	5.1.2	Configuration Management Features	x		x	
	5.1.3	Performance Management Features	x		x	
	5.1.4	Security Management Features	x		x	
	5.1.5	Accounting Management Features		x		
	5.2	Technical Overview		x		
	5.2.1	Architectural Overview	x	x		
	5.2.2	Management Protocols	x	x		
	5.2.3	Information Models	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
	1.5	Organization of Document	x	x		
	1.5.1	Annexes (Normative)	x	x		
	1.5.2	Appendices (Informative)	x	x		
6		OSSI MANAGEMENT PROTOCOLS				
	6.1	SNMP Protocol	x	x		
	6.1.1	Requirements for IPv6	x	x		
7		OSSI MANAGEMENT OBJECTS	x			
	7.1	SNMP Management Information Bases (MIBS)	x		x	
	7.1.1	CableLabs MIB Modules	x		x	
	7.1.2	IETF RFC MIB Modules	x		x	
	7.1.3	Managed objects requirements	x	x		
8		OSSI FOR PHY, MAC AND NETWORK LAYERS				
	8.1	Fault Management	x	x		
	8.1.1	SNMP Usage	x		x	
	8.1.2	Event Notification	x		x	
	8.1.3	Throttling, Limiting and Priority for Event, Trap and Syslog	x		x	
	8.1.4	SNMPv3 Notification Receiver config file TLV	x		x	
	8.1.5	Non-SNMP Fault Management Protocols	x		x	
	8.2	Configuration Management	x	x		
	8.2.1	Version Control	x		x	
	8.2.2	System Configuration	x		x	
	8.2.3	Secure Software Download	x		x	
	8.2.4	CM configuration files, TLV-11 and MIB OIDs/values	x		x	
	8.3	Accounting Management	x	x		
	8.3.1	Subscriber Usage Billing and class of services	x	x		
	8.4	Performance Management	x		x	
	8.4.1	Treatment and interpretation of MIB counters	x		x	
	8.5	Security Management	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
	1.5	Organization of Document	x	x		
	1.5.1	Annexes (Normative)	x	x		
	1.5.2	Appendices (Informative)	x	x		
	8.5.1	CM SNMP Modes of Operation	x		x	
	8.5.2	CM SNMP Access Control Configuration	x	x		
9		OSSI FOR CMCI				
	9.1	SNMP Access via CMCI		x		
	9.2	Console Access		x		
	9.3	CM Diagnostic Capabilities	x			x
	9.4	Protocol Filtering	x			x
10		OSSI FOR LED INDICATORS				
	10.1	CM LED Requirements and Operation		vendor specific		
	10.1.1	Power On, Software Application Image Validation and Self Test		vendor specific		
	10.1.2	Scan for Downstream Channel		vendor specific		
	10.1.3	Resolve CM-SG and Range		vendor specific		
	10.1.4	Operational		vendor specific		
	10.1.5	Data Link and Activity		vendor specific		
	10.2	Additional CM Operational Status Visualization Features		vendor specific		
	10.2.1	Secure Software Download		vendor specific		
ANNEX A		DETAILED MIB REQUIREMENTS (NORMATIVE)				
	A.1	MIB-Object Details	x		x	
	A.2	[RFC 2863] ifTable/ifXTable MIB-Object Details	x		x	
ANNEX B		IP PROTOCOL AND LLC FILTERING AND CLASSIFICATION (NORMATIVE)				
	B.1	Filtering Mechanisms	x	x		
	B.1.1	LLC Filters	x	x		
	B.1.2	Special filters	x	x		
	B.1.3	IP Protocol Filtering	x	x		
	B.1.4	Protocol Classification through Upstream Drop Classifiers	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
	1.5	Organization of Document	x	x		
	1.5.1	Annexes (Normative)	x	x		
	1.5.2	Appendices (Informative)	x	x		
ANNEX C		FORMAT AND CONTENT FOR EVENT, SYSLOG, AND SNMP NOTIFICATION (NORMATIVE)				
ANNEX D		PROACTIVE NETWORK MAINTENANCE REQUIREMENTS (NORMATIVE)				
	D.1	Overview		x		
	D.2	Enhanced Signal Quality Monitoring Object Definitions		x		
	D.2.1	Type Definitions		x		
	D.2.2	PnmCaptureFile Object		x		
	D.2.3	PNM CM Control Object		x		
	D.2.4	CM Spectrum Analysis Objects		x		
	D.2.5	CmSymbolCapture Object		x		
	D.2.6	CmOfdmChanEstimateCoef Object		x		
	D.2.7	CmDsConstDispMeas Object		x		
	D.2.8	CmDsOfdmRxMer Object		x		
	D.2.9	CmDsOfdmMerMargin Object		x		
	D.2.10	CmDsOfdmFecSummary Object		x		
	D.2.11	CmDsOfdmRequiredQamMer Object		x		
	D.2.12	CmDsHist Object		x		
	D.2.13	CmUsPreEq Object		x		
	D.2.14	CmDsOfdmModProfile Objects		x		
	D.3	Slope and Ripple Algorithms		x		
	D.3.1	Overview		x		
	D.3.2	Best-Fit Equations		x		
	D.3.3	Magnitude Summary Metrics		x		
	D.3.4	Group Delay Summary Metrics		x		
	D.3.5	Group Delay Summary Metrics		x		
	D.4	Bulk Data Transfer		x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
	1.5	Organization of Document	x	x		
	1.5.1	Annexes (Normative)	x	x		
	1.5.2	Appendices (Informative)	x	x		
	D.4.1	CM Bulk Data Transfer Requirements		x		
	D.4.2	CM Data-File and Storage Requirements		x		
	D.4.3	Bulk Data Objects		x		
ANNEX E		DOCSIS 3.1 DATA TYPE DEFINITIONS (NORMATIVE)				
	E.1	Overview		x		
	E.2	Data Type Mapping		x		
	E.2.1	Data Type Requirements and Classification		x		
	E.2.2	Data Type Mapping Methodology		x		
	E.2.3	General Data Types		x		
	E.2.4	Extended Data Types		x		
ANNEX F		CM STATUS REPORTING REQUIREMENTS (NORMATIVE)				
	F.1	Overview		x		
	F.2	CM Operational Status Object Definitions		x		
	F.2.1	Overview		x		
	F.2.2	Type Definitions		x		
	F.2.3	CM Operational Status Objects		x		
	F.3	CM Downstream and Upstream Interfaces Information Models		x		
	F.3.1	DS US Common Data Type Definitions		x		
	F.3.2	CM Downstream Interface Information Model		x		
	F.3.3	CM Upstream Interface Information Model		x		
ANNEX G		MAC AND UPPER LAYER PROTOCOLS INTERFACE (MULPI) REQUIREMENTS (NORMATIVE)				
	G.1	Overview		x		
	G.1.1	Cable Modem Service Groups (CM-SGs)		x		
	G.1.2	Downstream Bonding Group (DBG)		x		
	G.1.3	Upstream Bonding Group (UBG)		x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
	1.5	Organization of Document	x	x		
	1.5.1	Annexes (Normative)	x	x		
	1.5.2	Appendices (Informative)	x	x		
	G.2	Object Definitions		x		
	G.2.1	Type Definitions		x		
	G.2.2	RCC Status Objects		x		
	G.2.3	DOCSIS QoS Objects		x		
	G.2.4	QoS Statistics Objects		x		
	G.2.5	DSID Objects		x		
	G.2.6	CM Provisioning Objects		x		
APPENDIX I		SPECTRUM ANALYSIS USE CASES (INFORMATIVE)				
	I.1	Normalization of RF Impairment Measurements		x		
	I.1.1	Use Case 1: Figure of Merit Estimation for Logical Upstream Channel		x		
	I.1.2	Use Case 2: Figure of Merit Estimation per CM		x		
	I.1.3	Use Case 3: Absolute Noise and Interference Estimation		x		
APPENDIX II		INFORMATION MODEL NOTATION (INFORMATIVE)				
	II.1	Overview		x		
	II.2	Information Model Diagram		x		
	II.2.1	Classes		x		
	II.2.2	Associations		x		
	II.2.3	Generalization		x		
	II.2.4	Dependencies		x		
	II.2.5	Comment		x		
	II.2.6	Diagram Notation		x		
	II.3	Object Instance Diagram		x		
	II.4	ObjectA Definition Example		x		
	II.4.1	AttributeA1		x		
	II.4.2	AttributeA2		x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE				
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
	1.5	Organization of Document	x	x		
	1.5.1	Annexes (Normative)	x	x		
	1.5.2	Appendices (Informative)	x	x		
	II.4.3	AttributeA3		x		
	II.5	Common Terms Shortened		x		
	II.5.1	Exceptions		x		
APPENDIX III		ACKNOWLEDGEMENTS (INFORMATIVE)				
APPENDIX IV		REVISION HISTORY				

9 DOCSIS 3.1 SEC Interface Requirements

The following table describes the DOCSIS SEC interface requirements at the pNTP based on and in line with [13].

TABLE 10

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE	x	x		
	1.1	Introduction and Purpose	x	x		
	1.2	Background	x	x		
	1.2.1	Broadband Access Network	x	x		
	1.2.2	Network and System Architecture	x	x		
	1.2.3	Service Goals	x	x		
	1.2.4	Statement of Compatibility	x	x		
	1.2.5	Reference Architecture	x	x		
	1.2.6	DOCSIS 3.1 Documents	x	x		
	1.3	Requirements	x	x		
	1.4	Conventions	x	x		
2		REFERENCES	x		x	
	2.1	Normative References	x		x	
	2.2	Informative References	x	x		
	2.3	Reference Acquisition	x		x	
3		TERMS AND DEFINITIONS	x		x	
4		ABBREVIATIONS AND ACRONYMS	x		x	
5		OVERVIEW	x		x	
	5.1	New DOCSIS 3.1 Security Features	x		x	
	5.1.1	BPI+ Architecture	x		x	
	5.1.2	Secure Provisioning	x		x	
	5.2	Operation	x		x	
	5.2.1	Cable Modem Initialization	x		x	
	5.2.2	Cable Modem Key Update Mechanism	x		x	
	5.2.3	Cable Modem Secure Software Download	x		x	
6		ENCRYPTED DOCSIS MAC FRAME FORMATS				
	6.1	CM Requirements	x		x	
	6.2	CMTS Requirements	x	x		
	6.3	Variable-Length PDU MAC Frame Format	x		x	
	6.3.1	Baseline Privacy Extended Header Formats	x		x	

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE	x	x		
	1.1	Introduction and Purpose	x	x		
	6.4	Fragmentation MAC Frame Format	x		x	
	6.5	Registration Request (REG-REQ-MP) MAC Management Messages	x		x	
	6.6	Use of the Baseline Privacy Extended Header in the MAC Header	x		x	
7		BASELINE PRIVACY KEY MANAGEMENT (BPKM) PROTOCOL				
	7.1	State Models	x		x	
	7.1.1	Introduction	x		x	
	7.1.2	Encrypted Multicast	x		x	
	7.1.3	Selecting Cryptographic Suites	x		x	
	7.1.4	Authorization State Machine	x		x	
	7.1.5	TEK State Machine	x		x	
	7.2	Key Management Message Formats	x		x	
	7.2.1	Packet Formats	x		x	
	7.2.2	BPKM Attributes	x		x	
8		EARLY AUTHENTICATION AND ENCRYPTION (EAE)				
	8.1	Introduction	x		x	
	8.2	EAE Signaling	x		x	
	8.3	EAE Encryption	x		x	
	8.4	EAE Enforcement	x		x	
	8.4.1	CMTS and CM Behaviors when EAE is Enabled	x		x	
	8.4.2	EAE Enforcement Determination	x		x	
	8.4.3	EAE Enforcement of DHCP Traffic	x		x	
	8.4.4	CMTS and CM Behavior when EAE is Disabled	x		x	
	8.4.5	EAE Exclusion List	x		x	
	8.4.6	Interoperability Issues	x		x	
	8.5	Authentication Reuse	x		x	
	8.6	BPI+ Control by Configuration File	x		x	
	8.6.1	EAE Enabled	x		x	
	8.6.2	EAE Disabled	x		x	
9		SECURE PROVISIONING				
	9.1	Introduction	x	x		
	9.2	Encryption of Provisioning Messages	x		x	
	9.3	Securing DHCP	x		x	
	9.3.1	Securing DHCP on the Cable Network Link	x		x	
	9.3.2	DHCPv6	x		x	
	9.4	TFTP Configuration File Security		x		
	9.4.1	Introduction		x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE	x	x		
	1.1	Introduction and Purpose	x	x		
	9.4.2	CMTS Security Features for Configuration File Download		x		
	9.5	Securing REG-REQ-MP Messages	x		x	
	9.6	Source Address Verification		x		
	9.7	Address Resolution Security Considerations	x	x		
10		USING CRYPTOGRAPHIC KEYS				
	10.1	CMTS	x	x		
	10.2	Cable Modem	x		x	
	10.3	Authentication of Dynamic Service Requests	x		x	
	10.3.1	CM	x		x	
	10.3.2	CMTS	x	x		
11		CRYPTOGRAPHIC METHODS				
	11.1	Packet Data Encryption	x		x	
	11.2	Encryption of the TEK	x		x	
	11.3	HMAC-Digest Algorithm	x		x	
	11.4	TEKs, KEKs, and Message Authentication Keys	x		x	
	11.5	Public-Key Encryption of Authorization Key	x		x	
	11.6	Digital Signatures	x		x	
	11.7	The MMH-MIC	x		x	
	11.7.1	The MMH Function	x		x	
	11.7.2	Definition of MMH-MAC	x		x	
	11.7.3	Calculating the DOCSIS MMH-MAC	x		x	
	11.7.4	MMH Key Derivation for CMTS Extended MIC				
	11.7.5	Shared Secret Recommendations	x	x		
	11.7.6	Key Generation Function	x		x	
12		PHYSICAL PROTECTION OF KEYS IN THE CM	x		x	
13		BPI+ X.509 CERTIFICATE PROFILE AND MANAGEMENT	x		x	
	13.1	BPI+ Certificate Management Architecture Overview	x		x	
	13.2	Cable Modem Certificate Storage and Management in the CM	x		x	
	13.3	Certificate Processing and Management in the CMTS				
	13.3.1	CMTS Certificate Management Model				
	13.3.2	Certificate Validation				
	13.4	Certificate Revocation				
	13.4.1	Certificate Revocation Lists				
	13.4.2	Online Certificate Status Protocol				

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE	x	x		
	1.1	Introduction and Purpose	x	x		
14		SECURE SOFTWARE DOWNLOAD (SSD)	x	x		
	14.1	Introduction	x	x		
	14.2	Overview	x	x		
	14.3	Software Code Upgrade Requirements	x		x	
	14.3.1	Code File Processing Requirements	x		x	
	14.3.2	Code File Access Controls	x		x	
	14.3.3	Cable Modem Code Upgrade Initialization	x		x	
	14.3.4	Code Signing Guidelines	x		x	
	14.3.5	Code Verification Requirements	x		x	
	14.3.6	DOCSIS Interoperability	x		x	
	14.3.7	Error Codes	x		x	
	14.4	Security Considerations (Informative)	x	x		
ANNEX A		TFTP CONFIGURATION FILE EXTENSIONS (NORMATIVE)	x	x		
	A.1	Encodings	x		x	
	A.1.1	Baseline Privacy Configuration Setting	x		x	
	A.2	Parameter Guidelines	x		x	
ANNEX B		TFTP OPTIONS (NORMATIVE)				
ANNEX C		DOCSIS 1.1/2.0 DYNAMIC SECURITY ASSOCIATIONS (NORMATIVE)	x		x	
	C.1	Introduction	x	x		
	C.2	Theory of Operation	x		x	
	C.3	SA Mapping State Model	x		x	
ANNEX D		ADDITIONS AND MODIFICATIONS FOR CHINESE SPECIFICATION (NORMATIVE)130				
	D.1	Security Requirement Differences for C-DOCSIS	x	x		
APPENDIX I		EXAMPLE MESSAGES, CERTIFICATES, PDUS AND CODE FILE (INFORMATIVE) 131				
	I.1	Notation	x	x		
	I.2	Authentication Info	x	x		
	I.2.1	Device CA Certificate Details	x	x		
	I.3	Authorization Request	x	x		
	I.3.1	CM Device Certificate Details	x	x		
	I.4	Authorization Reply	x	x		
	I.4.1	Derivation of the Encryption Keys	x	x		
	I.4.2	Encryption of the Authorization Key	x	x		
	I.4.3	Hashing Details	x	x		
	I.5	Key Request	x	x		
	I.5.1	HMAC Digest Details	x	x		
	I.6	Key Reply	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE	x	x		
	1.1	Introduction and Purpose	x	x		
	I.6.1	TEK Encryption Details	x	x		
	I.6.2	HMAC Details	x	x		
	I.7	Packet PDU Encryption (DES)	x	x		
	I.7.1	CBC Only	x	x		
	I.7.2	CBC with Residual Block Processing	x	x		
	I.7.3	Runt Frame	x	x		
	I.7.4	40-bit Key	x	x		
	I.8	Encryption of PDU with Payload Header Suppression (DES)	x	x		
	I.8.1	Downstream	x	x		
	I.8.2	Upstream	x	x		
	I.9	Fragmented Packet Encryption (DES)	x	x		
	I.10	Packet PDU Encryption (AES)	x	x		
	I.10.1	CBC Only	x	x		
	I.10.2	CBC with Residual Block Processing	x	x		
	I.10.3	Runt Frame	x	x		
	I.11	Encryption of PDU with Payload Header Suppression (AES)	x	x		
	I.11.1	Downstream	x	x		
	I.11.2	Upstream	x	x		
	I.12	Fragmented Packet Encryption (AES)	x	x		
	I.13	Secure Software Download CM Code File	x	x		
APPENDIX II		EXAMPLE OF MULTILINEAR MODULAR HASH (MMH) ALGORITHM IMPLEMENTATION (INFORMATIVE)	x	x		
APPENDIX III		CERTIFICATION AUTHORITY AND PROVISIONING GUIDELINES (INFORMATIVE) ¹⁸⁶				
	III.1	Certificate Format and Extensions	x		x	
	III.2	CableLabs Root CA Certificate	x		x	
	III.3	CableLabs Device CACertificate	x		x	
	III.4	CM Device Certificate	x		x	
	III.5	CableLabs DOCSIS CVC CA Certificate	x		x	
	III.6	Code Verification Certificate	x		x	
	III.7	Certificate Installation	x		x	
	III.8	CM Code File Signing Policy and Format	x		x	
	III.8.1	Manufacturer CM Code File Signing Policy	x		x	
	III.8.2	Operator CM Code File Signing Policy	x		x	
	III.8.3	CM Code File Format	x		x	
APPENDIX IV		ACKNOWLEDGEMENTS (INFORMATIVE)	x	x		
APPENDIX		REVISION HISTORY (INFORMATIVE)	x	x		

Index		Description	relevant for IF Spec	informative	mandatory	optional
1		SCOPE	x	x		
	1.1	Introduction and Purpose	x	x		
V						
	V.1	Engineering Change for CM-SP-SECv3.1-I02-150326	x	x		
	V.2	Engineering Change for CM-SP-SECv3.1-I03-150611	x	x		
	V.3	Engineering Change for CM-SP-SECv3.1-I04-150910	x	x		
	V.4	Engineering Change for CM-SP-SECv3.1-I05-151210	x	x		
	V.5	Engineering Change for CM-SP-SECv3.1-I06-160202	x	x		
	V.6	Engineering Changes for CM-SP-SECv3.1-I07-170111	x	x		

Annex 1 (informative): Implementation Advice

1.1 Coaxial cable assemblies

Successful operation of cable modems attached to the cable network requires the consideration of environmental conditions such as electromagnetic fields and handling habits of the customer.

Examples of working coaxial cable assemblies no longer than 3 m operating in the transverse electromagnetic mode (TEM) are given in [i.3] with the following recommended parameters and exemptions:

Downstream signal levels at the cable modem RF port are reduced according to the frequency dependent attenuation of the cable assemblies. Other quality parameters could be affected by the length of the cable assembly if the total cable length of the cable assembly is greater than 300 cm [i.6, 5.3.2].

The cable assembly should be specified over the frequency range DC to 2400 MHz.

The use of type F screw connectors is discouraged as customers cannot be expected to adjust the required tightening torque of 3.4 Nm. Therefore, the use of connectors in accordance with [i.5] is strongly recommended.

The screening effectiveness requirements for cable assemblies are highly OPERATOR network specific. A typical calculation results in the following requirements:

Table 12: OPERATOR specific Screening Effectiveness of coaxial cable assemblies (calculated)

Frequency [MHz]	Value [dB]
30 to 80	75
108 to 790	75
790 to 862	83

Table 13: OPERATOR specific Transfer Impedance of coaxial cable assemblies (calculated)

Frequency [MHz]	Value [mΩ/m]
5 to 12	≤ 5.2
12 to 30	≤ 5.0

Table 14: OPERATOR specific parameters for coaxial cable assemblies

Parameter	Value
Cable length	≤ 300 cm
Frequency range	5 to 2400 MHz
Screening effectiveness	N/A
Connector	According to [i.4]
One end	90 degrees angled
Other end	Straight
Attenuation	
5 to 1006 MHz	≤ 0.6 dB/m
1006 to 2400 MHz	≤ 0.9 dB/m
Return Loss	
5 to 12 MHz	≥ 20 dB
12 to 30 MHz	≥ 25 dB
30 to 300 MHz	≥ 25 dB
300 to 470 MHz	≥ 23 dB
470 to 1006 MHz	≥ 18 dB
1006 to 1700 MHz	≥ 15 dB
1700 to 2400 MHz	≥ 12 dB
Cable bend radius	≤ 30 mm
Cable stress test	According to [i.7]
Pull off/ push on force	≥ 40 N
Inner conductor	0.74 to 1.13 mm
Color mark on the connector	Red

The cable assemblies shall comply to RoHS and WEEE environmental regulations as defined by the EU.

1.2 Cable Modem RF Port Characteristics

For successful operation at many compatible pNTPs the cable modem/cable assembly has to fulfil all requirements described in [10], [i.1] or later. OPERATOR supplied cable modems could be tested against more challenging parameters. The determination of suitable RF port characteristics for the cable modem is left to the manufacturer.

Annex 2 (informative): Change History

Date	Version	Information about changes

History

Document history		
<Version>	<Date>	<Milestone>
1	2018/06/15	Initial version V1.0 (2018-6)