**3GPP TSG-CT WG1 Meeting #128-eC1-211220**

**Electronic meeting, 25 February – 5 March 2021 (was C1-210718)**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **24.501** | **CR** | **2984** | **rev** | **1** | **Current version:** | 17.1.0 |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network |  | Core Network |  |

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| ***Title:*** | Clarify UE handling of receiving DL NAS TRANSPORT message with 5GMM cause #28 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Qualcomm Incorporated, Ericsson, Nokia, Nokia Shanghai Bell | | | | | | | | | |
| ***Source to TSG:*** | C1 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | 5GProtoc17 | | | | |  | ***Date:*** | | | 2021-03-02 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **F** |  | | | | | ***Release:*** | | | Rel-17 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) Rel-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | The AMF might not forward a 5GSM message included in an UL NAS TRANSPORT message to the SMF due to service area restriction, and notifiy the UE that the messsage was not forwarded by sending a DL NAS TRANSPORT message with 5GMM cause #28 to the UE. In this case, the UE is required to perform the registration procedure for mobility and periodic registration update to get the latest service area restriction parameters. However, it is not clear if the UE needs to perform the registration over   1. Existing NAS signalling connection or 2. New NAS signalling connection as specified for receiving a SERVICE REJECT with 5GMM cause #28 where the UE starts timer T3540 timer and if the NAS signalling connection is not released by the exipry of T3540, the UE will locally release the NAS signalling connection and trigger the registration procedure for mobility and periodic registration update from 5GMM-IDLE mode.     The case of sending DL NAS TRANSPORT with 5GMM cause #28 should not be handled the same as SERVICE REJECT with 5GMM cause #28 because AMF might not necessary release the NAS signaling connection, therefore option a) is proposed. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | * When receiving a DL NAS TRANSPORT message with 5GMM cause #28, the UE does not wait for the release of the NAS signaling connection and triggers the registration procedure for mobility and periodic registration update from 5GMM-CONNECTED mode * There is a typo when referring to the correct subclasue for the mobility and periodic registration update. The correct subclause should be 5.5.1.3 and not 5.5.1.3.5 | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | Some UEs might copy behavior specified for SERVICE REJECT with 5GMM cause #28 for handling DL NAS TRANSPORT with 5GMM cause #28 which is incorrect implementation. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 5.3.1.3, 5.4.5.3.3 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

\*\*\*\*\* Next change \*\*\*\*\*

#### 5.3.1.3 Release of the N1 NAS signalling connection

The signalling procedure for the release of the N1 NAS signalling connection is initiated by the network.

In N1 mode, upon indication from lower layers that the access stratum connection has been released, the UE shall enter 5GMM-IDLE mode and consider the N1 NAS signalling connection released.

If the UE in 3GPP access is configured for eCall only mode as specified in 3GPP TS 31.102 [22] then:

- if the N1 NAS signalling connection that was released had been established for eCall over IMS, the UE shall start timer T3444; and

- if the N1 NAS signalling connection that was released had been established for a call to an HPLMN designated non-emergency MSISDN or URI for test or terminal reconfiguration service, the UE shall start timer T3445.

The UE shall start the timer T3447 if not already running when the N1 NAS signalling connection is released as specified in subclause 5.3.17.

To allow the network to release the N1 NAS signalling connection, the UE:

a) shall start the timer T3540 if the UE receives any of the 5GMM cause values #7, #11, #12, #13, #15, #27, #31, #62, #72, #73, #74, #75, #76;

b) shall start the timer T3540 for a UE in 3GPP access if:

1) the UE receives a REGISTRATION ACCEPT message which does not include a Pending NSSAI IE or UE radio capability ID deletion indication IE;

2) the UE has set the Follow-on request indicator to "No follow-on request pending" in the REGISTRATION REQUEST message;

3) the UE has not included the Uplink data status IE in the REGISTRATION REQUEST message, or the UE has included the Uplink data status IE in the REGISTRATION REQUEST message but the REGISTRATION ACCEPT message indicates that no user-plane resources of any PDU sessions are to be re-established;

4) the UE has not included the Allowed PDU session status IE or has included the Allowed PDU session status IE indicating there is no PDU session(s) for which the UE allowed the user-plane resource to be re-established over 3GPP access in the REGISTRATION REQUEST message, or the UE has included the Allowed PDU session status IE in the REGISTRATION REQUEST message but the REGISTRATION ACCEPT message does not indicate that any user-plane resources of any PDU sessions are to be re-established;

5) the registration procedure has been initiated in 5GMM-IDLE mode;

6) the user-plane resources for PDU sessions have not been set up; and

7) the UE need not request resources for V2X communication over PC5 reference point (see 3GPP TS 23.287 [6C]);

NOTE 1: The lower layers indicate when the user-plane resources for PDU sessions are successfully established or released.

c) shall start the timer T3540 if the UE receives a REGISTRATION REJECT message indicating:

the 5GMM cause value #9 or #10;

d) shall start the timer T3540 if the UE receives a SERVICE REJECT message indicating:

the 5GMM cause value #9, #10 or #28;

e) shall start the timer T3540 if:

1) the UE receives a CONFIGURATION UPDATE COMMAND message containing the Configuration update indication IE with the Registration bit set to "registration requested" and with:

i) either new allowed NSSAI information or new configured NSSAI information or both included;

ii) the network slicing subscription change indication; or

iii) no other parameters;

2) the user-plane resources for PDU sessions have not been set up; and

3) no emergency PDU session has been established;

f) shall start the timer T3540 if:

1) the UE receives a SERVICE ACCEPT message;

2) the UE did not set the Service type IE to "signalling" or "high priority access", the UE has not included the Uplink data status IE in the SERVICE REQUEST message, or the UE has included the Uplink data status IE in the SERVICE REQUEST message but the SERVICE REQUEST message indicates that no user-plane resources of any PDU sessions are to be re-established;

3) the UE has not included the Allowed PDU session status IE or has included the Allowed PDU session status IE indicating there is no PDU session(s) for which the UE allowed the user-plane resource to be re-established over 3GPP access in the SERVICE ACCEPT message, or the UE has included the Allowed PDU session status IE in the SERVICE REQUEST message but the SERVICE ACCEPT message does not indicate that any user-plane resources of any PDU sessions are to be re-established;

4) the service request procedure has been initiated in 5GMM-IDLE mode;

5) the user-plane resources for PDU sessions have not been set up; and

6) the UE need not request resources for V2X communication over PC5 reference point (see 3GPP TS 23.287 [6C]);

NOTE 2: The lower layers indicate when the user-plane resources for PDU sessions are successfully established or released.

g) may start the timer T3540 if the UE receives any of the 5GMM cause values #3 or #6 or if it receives an AUTHENTICATION REJECT message; or

h) shall start the timer T3540 upon completion of the configuration update procedure if the UE does not have an emergency PDU session and:

1) the UE received a CONFIGURATION UPDATE COMMAND message while camping on a CAG cell and the entry for the current PLMN in the received "CAG information list" does not include any of the CAG-ID(s) supported by the current CAG cell; or

2) the UE received a CONFIGURATION UPDATE COMMAND message while camping on a non-CAG cell and the entry for the current PLMN in the received "CAG information list" includes an "indication that the UE is only allowed to access 5GS via CAG cells"

Upon expiry of T3540,

- in cases a), b), f), g) and h) the UE shall locally release the established N1 NAS signalling connection;

- in cases c),and d) the UE shall locally release the established N1 NAS signalling connection and the UE shall initiate the registration procedure as described in subclause 5.5.1.3 or  5.6.1.5; or

- in case e), the UE shall locally release the established N1 NAS signalling connection and perform a new registration procedure as specified in subclause 5.5.1.3.2.

In case a),

- upon receiving a request from the upper layers to perform emergency services fallback only for a UE in 3GPP access or establishing an emergency PDU session, the UE shall stop timer T3540 and shall locally release the N1 NAS signalling connection, before proceeding as specified in subclause 5.5.1.

In case b) and f),

- upon an indication from the lower layers that the user-plane resources for PDU sessions are set up, the UE shall stop timer T3540 and may send uplink signalling via the existing N1 NAS signalling connection or user data via user plane. If the uplink signalling is associated with emergency services fallback only for a UE in 3GPP access or establishing an emergency PDU session, the UE shall stop timer T3540 and send the uplink signalling via the existing N1 NAS signalling connection;

- upon receipt of a DEREGISTRATION REQUEST message, the UE shall stop timer T3540 and respond to the network-initiated de-registration request via the existing N1 NAS signalling connection as specified in subclause 5.5.2.3;

- upon receipt of a message of a network-initiated 5GMM common procedure, the UE shall stop timer T3540 and respond to the network-initiated 5GMM common procedure via the existing N1 NAS signalling connection as specified in subclause 5.4;

- if there is no user-plane resources established for PDU sessions, upon receiving a request from the upper layers to perform emergency services fallback only for a UE in 3GPP access or establishing an emergency PDU session, the UE shall stop timer T3540 and shall locally release the N1 NAS signalling connection, before proceeding as specified in subclause 5.6.1;

- if there is no user-plane resources established for PDU sessions, upon receiving a request from the upper layers to perform services other than emergency services fallback only for a UE in 3GPP access or establishing an emergency PDU session, the UE shall wait for the local release of the established N1 NAS signalling connection upon expiry of timer T3540 or wait for timer T3540 being stopped, before initiating NAS signalling; or

- upon receipt of a DL NAS TRANSPORT message, the UE shall stop timer T3540 and may send uplink signalling via the existing N1 NAS signalling connection.

In case c) and d),

- upon an indication from the lower layers that the access stratum connection has been released, the UE shall stop timer T3540 and perform a new registration procedure as specified in subclause 5.5.1.3.5 or 5.6.1.5.

- upon receiving a request from the upper layers to perform emergency services fallback only for a UE in 3GPP access or establishing an emergency PDU session, the UE shall stop timer T3540 and shall locally release the N1 NAS signalling connection, before proceeding as specified in subclause 5.5.1.

In case e),

- upon an indication from the lower layers that the access stratum connection has been released, the UE shall stop timer T3540 and perform a new registration procedure as specified in subclause 5.5.1.3.2.

- upon an indication from the lower layers that the user-plane resources for PDU sessions are set up, the UE shall stop timer T3540 and may send user data via user plane.

NOTE 3: In this case, the new registration procedure is performed when the UE moves to the 5GMM-IDLE mode.

- upon receiving a request from the upper layers to perform emergency services fallback only for a UE in 3GPP access or establishing an emergency PDU session, the UE shall stop timer T3540 and shall locally release the N1 NAS signalling connection, before proceeding as specified in subclause 5.5.1.

If the UE had set the Follow-on request indicator to "Follow-on request pending" in the REGISTRATION REQUEST message due to pending uplink signalling but cannot send the pending signalling due to new service area restrictions received or due to network not supporting the feature as indicated in the REGISTRATION ACCEPT message (for example UE set the "Follow-on request pending" to send SMS over NAS but AMF notified "SMS over NAS not allowed") and if there is no further pending data or signalling and user plane resources have not been set up, the UE may locally release the established N1 NAS signalling connection upon completion of the registration procedure.

\*\*\*\*\* Next change \*\*\*\*\*

##### 5.4.5.3.3 Network-initiated NAS transport of messages

Upon reception of a DL NAS TRANSPORT message, the UE shall stop the timer T3346 if running.

Upon reception of a DL NAS TRANSPORT message, if the Payload container type IE is set to:

a) "N1 SM information" and the 5GMM cause IE is not included in the DL NAS TRANSPORT message, the 5GSM message in the Payload container IE and the PDU session ID are handled in the 5GSM procedures specified in clause 6;

b) "SMS", the UE shall forward the content of the Payload container IE to the SMS stack entity;

c) "LTE Positioning Protocol (LPP) message container", the UE shall forward the payload container type, the content of the Payload container IE and the routing information included in the Additional information IE to the upper layer location services application;

d) "SOR transparent container" and if the Payload container IE:

1) successfully passes the integrity check (see 3GPP TS 33.501 [24]), the ME shall store the received SOR counter as specified in annex C and proceed as follows: If the Payload container IE indicates a list of preferred PLMN/access technology combinations is provided and the list type indicates:

i) "PLMN ID and access technology list", then the ME shall replace the highest priority entries in the "Operator Controlled PLMN Selector with Access Technology" list stored in the ME; or

ii) "secured packet", then the ME shall behave as if a SMS is received with protocol identifier set to SIM data download, data coding scheme set to class 2 message and SMS payload as secured packet contents of SOR transparent container IE. The SMS payload is forwarded to UICC as specified in 3GPP TS 23.040 [4A]

If the ACK bit of the SOR header for SOR data type in the SOR transparent container is set to "acknowledgement requested", the ME shall send an acknowledgement in the Payload container IE of an UL NAS TRANSPORT message with Payload type IE set to "SOR transparent container" as specified in subclause 5.4.5.2.2.

The UE shall proceed with the behaviour as specified in 3GPP TS 23.122 [5] annex C; or

2) does not successfully pass the integrity check (see 3GPP TS 33.501 [24]) then the UE shall proceed with the behaviour as specified in 3GPP TS 23.122 [5] annex C.

e) Void;

f) Void;

g) "N1 SM information" and:

1) the 5GMM cause IE is set to the 5GMM cause #22 "Congestion", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded due to DNN based congestion control along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message, and the time value from the Back-off timer value IE;

2) the 5GMM cause IE is set to the 5GMM cause #28 "Restricted service area", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded due to service area restrictions along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message, enters the state 5GMM-REGISTERED.NON-ALLOWED-SERVICE and, if the DL NAS TRANSPORT message is received over 3GPP access, performs the registration procedure for mobility and periodic registration update without waiting for the release of the N1 NAS signalling connection (see subclauses 5.3.5 and 5.5.1.3);

3) the 5GMM cause IE is set to the 5GMM cause #65 "maximum number of PDU sessions reached", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded because the PLMN's maximum number of PDU sessions has been reached, along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message;

4) the 5GMM cause IE is set to the 5GMM cause #67 "insufficient resources for specific slice and DNN", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded due to S-NSSAI and DNN based congestion control along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message, and the time value from the Back-off timer value IE;

5) the 5GMM cause IE is set to the 5GMM cause #69 "insufficient resources for specific slice", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded due to S-NSSAI only based congestion control along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message, and the time value from the Back-off timer value IE;

6) the 5GMM cause IE is set to the 5GMM cause #90 "payload was not forwarded", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded due to routing failure along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message;

7) the 5GMM cause IE is set to the 5GMM cause #91 "DNN not supported or not subscribed in the slice", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded because the DNN is not supported or not subscribed in a slice along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message;

8) the 5GMM cause IE is set to the 5GMM cause #92 "insufficient user-plane resources for the PDU session", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded due to insufficient user-plane resources along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message.

h) "UE policy container", the UE policy container in the Payload container IE is handled in the UE policy delivery procedures specified in Annex D;

i) "UE parameters update transparent container" and if the Payload container IE

1) successfully passes the integrity check (see 3GPP TS 33.501 [24]), the ME shall store the received UE parameter update counter as specified in annex C and proceed as follows:

i) if the UE parameters update list includes a UE parameters update data set with UE parameters update data set type indicating "Routing indicator update data",

A) the ME shall behave as if an SMS is received with protocol identifier set to SIM data download, data coding scheme set to class 2 message and SMS payload as secured packet contents of UE parameters update transparent container IE. The SMS payload is forwarded to UICC as specified in 3GPP TS 23.040 [4A]; and

B) if the ACK bit of the UE parameters update header in the UE parameters update transparent container is set to "acknowledgment requested" and if the ME receives status bytes from the UICC indicating that the UICC has received the secured packet successfully, the ME shall send an acknowledgement in the Payload container IE of an UL NAS TRANSPORT message with Payload type IE set to "UE parameters update transparent container" as specified in subclause 5.4.5.2.2; and

C) if the ME receives a REFRESH command from the UICC as specified in 3GPP TS 31.111 [22A] and if the REG bit of the UE parameters update header in the UE parameters update transparent container IE is set to "re-registration requested", and:

C1) the UE is registered over 3GPP access, then the UE shall wait until it enters 5GMM-IDLE mode over 3GPP access or 5GMM-CONNECTED mode with RRC inactive indication, and then perform a de-registration procedure, delete its 5G-GUTI and initiate a registration procedure for initial registration as specified in subclause 5.5.1.2;

C2) the UE is registered over non-3GPP access and does not have emergency services ongoing over non-3GPP access, then the UE shall locally release the N1 NAS signalling connection and enter 5GMM-IDLE mode over non-3GPP access, perform a de-registration procedure, delete its 5G-GUTI if the UE is registered to different PLMN on 3GPP access or the UE is not registered over 3GPP access, and then initiate a registration procedure for initial registration as specified in subclause 5.5.1.2; and

C3) the UE is registered over non-3GPP access and has an emergency services ongoing over non-3GPP access, then the UE shall wait until the emergency services are completed before locally releasing the N1 NAS signalling connection and enter 5GMM-IDLE mode over non-3GPP access, perform a de-registration procedure, delete its 5G-GUTI if the UE is registered to different PLMN on 3GPP access or if the UE is not registered over 3GPP access, and then initiate a registration procedure for initial registration as specified in subclause 5.5.1.2.

ii) if the UE parameters update list includes a UE parameters update data set with UE parameters update data set type indicating "Default configured NSSAI update data",

A) if the ACK bit of the UE parameters update header in the UE parameters update transparent container is set to "acknowledgment requested" and if the UE parameters update list does not include a UE parameters update data set with UE parameters update data set type indicating "Routing indicator update data", the ME shall send an acknowledgement in the Payload container IE of an UL NAS TRANSPORT message with Payload type IE set to "UE parameters update transparent container" as specified in subclause 5.4.5.2.2

B) the ME shall replace the stored default configured NSSAI with the default configured NSSAI included in the default configured NSSAI update data; and

C) if the REG bit of the UE parameters update header in the UE parameters update transparent container is set to "re-registration requested" and the UE parameters update list does not include a UE parameters update data set with UE parameters update data set type indicating "Routing indicator update data", the UE shall wait until it enters 5GMM-IDLE mode and then the UE shall initiate a registration procedure for mobility registration update as specified in subclause 5.5.1.3.

if the UE parameters update list does not include a UE parameters update data set with UE parameters update data set type indicating "Routing indicator update data", the UE used the old default configured NSSAI to create the requested NSSAI in a REGISTRATION REQUEST message, the UE does not have a configured NSSAI for the current PLMN and the UE has an allowed NSSAI for the current PLMN which contains one or more S-NSSAIs that are not included in the new default configured NSSAI, the UE shall wait until it enters 5GMM-IDLE mode and then the UE shall initiate a registration procedure for mobility and periodic registration update as specified in subclause 5.5.1.3; and

2) does not successfully pass the integrity check (see 3GPP TS 33.501 [24]) then the UE shall discard the content of the payload container IE;

j) "Location services message container" and the 5GMM cause IE is not included in the DL NAS TRANSPORT message, the UE shall forward the payload container type, the content of the Payload container IE and the routing information in the Additional information IE if included to the upper layer location services application;

k) "CIoT user data container", the UE shall forward the content of the Payload container IE and the PDU session ID to the 5GSM sublayer; and

l) "CIoT user data container" and:

1) the 5GMM cause IE is set to the 5GMM cause #22 "Congestion", the UE passes to the 5GSM sublayer an indication that the CIoT user data was not forwarded due to DNN based congestion control along with the CIoT user data from the Payload container IE of the DL NAS TRANSPORT message, and the time value from the Back-off timer value IE.

2) the 5GMM cause IE is set to the 5GMM cause #90 "payload was not forwarded", the UE passes to the 5GSM sublayer an indication that the user data container was not forwarded due to routing failure along with the user data container from the Payload container IE and the PDU session ID from the PDU session ID IE of the DL NAS TRANSPORT message.

m) "Multiple payloads", the UE shall first decode the content of the Payload container IE (see subclause 9.11.3.39) to obtain the number of payload container entries and for each payload container entry, the UE shall:

1) decode the payload container type field;

2) decode the optional IE fields and the payload container contents field in the payload container entry; and

3) handle the content of each payload container entry the same as the content of the Payload container IE and the associated optional IEs as specified in bullets a) to l) above according to the payload container type field.

\*\*\*\*\* End of changes \*\*\*\*\*