**3GPP TSG-CT WG1 Meeting #133bis-eC1-221394**

**E-meeting, 17-21 January 2022 rev of C1-220828**

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **24.501** | **CR** | **3792** | **rev** | **4** | **Current version:** | **17.5.0** |  |
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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 | **X** |

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| ***Title:*** | PDU session establishment with the DNN/S-NSSAI for UAS service from the UE whch has valid aerial subscription but UUAA-MM is failed abnormally | | | | | | | | | |
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| ***Source to WG:*** | NEC | | | | | | | | | |
| ***Source to TSG:*** | C1 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | ID\_UAS | | | | |  | ***Date:*** | | | 2022-02-10 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **B** |  | | | | | ***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-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | Scenario:   * According to the operator policy, UUAA must be performed during Registration * Valid aerial subscription in the UE's subscription * The UE did not provide a CAA-Level UAV ID in the registration request * The AMF accepts the registration and stores the UE context that 'UUAA-MM has FAILED'. * The UE requests for PDU session establishment with DNN/S-NSSAI that network realizes they are for UAS service.   Fact:  Per TS23.256, in above case, the UE shall first perform UE-initiated Deregistration procedure to use aerial service via UUAA-MM as follow.  *"At a later point in time, if the UE wants to use the aerial services by providing the CAA Level UAV ID later on via UUAA-MM procedure, then the UE shall first perform UE-initiated Deregistration procedure as explained in clause 4.2.2.3.2 of TS 23.502 [3] followed by an Initial Registration to the 5GS including the CAA Level UAV ID in the registration request."*  Per TS23.256, if AMF stores 'UUAA-MM has FAILED' in the UE context, AMF rejects the PDU session establishment request.  *"If UUAA is configured in the AMF to be performed during 5GS registration, the UE did not provide a CAA-Level UAV ID in the registration request in step 1, but UE has aerial subscription in the UE subscription data retrieved from UDM in step 2, then the AMF accepts the registration and ensures that the UE is not allowed to access any aerial service by storing in the UE context that 'UUAA-MM has FAILED', and further rejecting PDU session establishment requests for aerial services (identified by DNN/S-NSSAI)."*  Objective:  To explicitly notifying to the UE what they need to do for successful UUAA i.e., invoke UE initiated de-registration procedure and then registration procedure with a CAA Level UAV ID, this CR proposes the specific UE and NW behavior. | | | | | | | | |
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| ***Summary of change:*** | | AMF shall not forward the PDU session establishment with the DNN/S-NSSAI for UAS service from the UE which has valid aerial subscription but UUAA-MM is failed abnormally. | | | | | | | | |
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| ***Consequences if not approved:*** | | Unauthorized UE requesting the establishment of PDU session for UAS service | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 5.4.5.2.4, 5.4.5.3.1, 5.4.5.3.2, 5.4.5.3.3 and 6.4.1.6 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | | Rev 4: This revision captures the 5GSM action when the 5GSM layer receives an indication that the 5GSM message was not forwarded because the UE is marked in the UE's 5GMM context that it is not allowed to request UAS services along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message.  It is proposed that the 5GSM layer abort the PDU session establishment procedure. | | | | | | | | |

\* \* \* First Change \* \* \* \*

##### 5.4.5.2.4 UE-initiated NAS transport of messages not accepted by the network

Upon reception of an UL NAS TRANSPORT message, if the Payload container type IE is set to "N1 SM information" and the UE is not configured for high priority access in selected PLMN, and:

a) if the Request type IE is set to "initial request", "existing PDU session" or "MA PDU request";

1) DNN based congestion control is activated for the DNN included in the UL NAS TRANSPORT message, or DNN based congestion control is activated for the selected DNN in case of no DNN included in the UL NAS TRANSPORT message, e.g. configured by operation and maintenance, the AMF shall send back to the UE the 5GSM message which was not forwarded, a back-off timer value and 5GMM cause #22 "congestion" as specified in subclause 5.4.5.3.1 case f);

2) S-NSSAI and DNN based congestion control is activated for the S-NSSAI and DNN included in the UL NAS TRANSPORT message, or S-NSSAI and DNN based congestion control is activated for the S-NSSAI included in the UL NAS TRANSPORT message and the selected DNN in case of no DNN included in the UL NAS TRANSPORT message, or S-NSSAI and DNN based congestion control is activated for the selected S-NSSAI in case of no S-NSSAI included in the UL NAS TRANSPORT message and the DNN included in the UL NAS TRANSPORT message, or S-NSSAI and DNN based congestion control is activated for the selected S-NSSAI and the selected DNN in case of no S-NSSAI and no DNN included in the UL NAS TRANSPORT message, e.g. configured by operation and maintenance, the AMF shall send back to the UE the 5GSM message which was not forwarded, a back-off timer value and 5GMM cause #67 "insufficient resources for specific slice and DNN" as specified in subclause 5.4.5.3.1 case f);

3) S-NSSAI only based congestion control is activated for the S-NSSAI included in the UL NAS TRANSPORT message, or S-NSSAI based congestion control is activated for the selected S-NSSAI in case of no S-NSSAI included in the UL NAS TRANSPORT message, e.g. configured by operation and maintenance, the AMF shall send back to the UE the 5GSM message which was not forwarded, a back-off timer value and 5GMM cause #69 "insufficient resources for specific slice" as specified in subclause 5.4.5.3.1 case f);

b) void;

c) if the Request type IE is set to "modification request" and the PDU session is not an emergency PDU session;

1) DNN based congestion control is activated for the stored DNN, e.g. configured by operation and maintenance, the AMF shall send back to the UE the 5GSM message which was not forwarded, a back-off timer value and 5GMM cause #22 "congestion" as specified in subclause 5.4.5.3.1 case f);

2) S-NSSAI and DNN based congestion control is activated for the stored S-NSSAI and DNN, e.g. configured by operation and maintenance, the AMF shall send back to the UE the 5GSM message which was not forwarded, a back-off timer value and 5GMM cause #67 "insufficient resources for specific slice and DNN" as specified in subclause 5.4.5.3.1 case f);

3) S-NSSAI only based congestion control is activated for the stored S-NSSAI, e.g. configured by operation and maintenance, the AMF shall send back to the UE the 5GSM message which was not forwarded, a back-off timer value and 5GMM cause #69 "insufficient resources for specific slice" as specified in subclause 5.4.5.3.1 case f); or

d) the timer T3447 is running and the UE does not support service gap control:

1) the Request type IE:

i) is set to "initial request";

ii) is set to "existing PDU session"; or

iii) is set to "modification request" and the PDU session being modified is a non-emergency PDU session;

2) the current NAS signalling connection was not triggered by paging; and

3) mobile terminated signalling has not been sent or no user-plane resources have been established for any PDU session after the establishment of the current NAS signalling connection,

the AMF shall send back to the UE the message which was not forwarded, send the 5GMM cause #22 "Congestion", and may include a back-off timer set to the remaining time of the timer T3447 as specified in subclause 5.4.5.3.1 case f).

Upon reception of a UL NAS TRANSPORT message, if the Payload container type IE is set to "N1 SM information", the Request type IE is set to "initial request", "existing PDU session" or "MA PDU request", and the AMF determines that the PLMN's maximum number of PDU sessions has already been reached for the UE, the AMF shall send back to the UE the 5GSM message which was not forwarded and 5GMM cause #65 "maximum number of PDU sessions reached" as specified in subclause 5.4.5.3.1 case h).

Upon reception of a UL NAS TRANSPORT message, if the Payload container type IE is set to "N1 SM information", the Request type IE is set to "initial request", and

a) the UE is in NB-N1 mode;

b) the UE has indicated preference for user plane CIoT 5GS optimization;

c) the network accepted the use of user plane CIoT 5GS optimization; and

d) the AMF determines that there are user-plane resources established for a number of PDU sessions that is equal to the UE' s maximum number of supported user-plane resources (see 3GPP TS 23.501 [8]),

the AMF shall either:

a) send back to the UE the message which was not forwarded as specified in in subclause 5.4.5.3.1 case h1); or

b) proceed with the PDU session establishment and include the Control Plane CIoT 5GS Optimisation indication or Control Plane Only indicator to the SMF.

Upon reception of an UL NAS TRANSPORT message, if the Payload container type IE is set to "CIoT user data container", the UE is not configured for high priority access in selected PLMN, and:

a) the timer T3447 is running and the UE does not support service gap control;

b) the current NAS signalling connection was not triggered by paging; and

c) mobile terminated signalling has not been sent or no user-plane resources have been established for any PDU session after the establishment of the current NAS signalling connection;

the AMF shall send back to the UE the CIoT user data which was not forwarded, send the 5GMM cause #22 "Congestion", and include a back-off timer set to the remaining time of the timer T3447 as specified in subclause 5.4.5.3.1 case l2).

Upon reception of a UL NAS TRANSPORT message, if the Payload container type IE is set to "N1 SM information", the Request type IE is set to "existing PDU session", and

a) the UE is in NB-N1 mode;

b) the UE has indicated preference for user plane CIoT 5GS optimization;

c) the network accepted the use of user plane CIoT 5GS optimization; and

d) the AMF determines that there are user-plane resources established for a number of PDU sessions that equals to the UE's maximum number of supported user-plane resources (see 3GPP TS 23.501 [8]),

the AMF shall send back to the UE the message which was not forwarded as specified in in subclause 5.4.5.3.1 case h1).

Upon reception of an UL NAS TRANSPORT message, if the Payload container type IE is set to "N1 SM information", the Request type IE is set to "initial request" or "modification request", the associated S-NSSAI that the AMF determined through the S-NSSAI IE or the PDU session ID IE is an S-NSSAI for which the AMF is performing NSSAA, and the AMF determines to not forward the 5GSM message to the SMF based on local policy, the AMF shall send back to the UE the 5GSM message which was not forwarded as specified in subclause 5.4.5.3.1 case h2).

Upon reception of an UL NAS TRANSPORT message, if the Payload container type IE is set to "SMS" or "LTE Positioning Protocol (LPP) message container", the UE is not configured for high priority access in selected PLMN, and:

a) the timer T3447 is running and the UE does not support service gap control;

b) the current NAS signalling connection was not triggered by paging; and

c) mobile terminated signalling has not been sent or no user-plane resources have been established for any PDU session after the establishment of the current NAS signalling connection;

the AMF shall abort the procedure.

NOTE 1: In this state the NAS signalling connection can be released by the network.

Upon reception of an UL NAS TRANSPORT message, if the Payload container type IE is set to "N1 SM information", the Request type IE is set to "initial request", and:

a) the determined DNN, S-NSSAI or both DNN and S-NSSAI are identified for UAS services; and

b) the UE is marked in the UE's 5GMM context that it is not allowed to request UAS services;

the AMF shall send back to the UE the 5GSM message which was not forwarded as specified in subclause 5.4.5.3.1 case h4).

NOTE 2: The UE marked in the UE's 5GMM context as not allowed to request UAS services happens in the case that the UUAA-MM procedure needs to be performed during the registration procedure according to operator policy.

\* \* \* Netxt Change \* \* \* \*

##### 5.4.5.3.1 General

The purpose of the network-initiated NAS transport procedure is to provide a transport of:

a) a single 5GSM message;

b) SMS;

c) an LPP message;

d) an SOR transparent container;

e) a single uplink 5GSM message which was not forwarded due to routing failure;

f) a single uplink 5GSM message which was not forwarded due to congestion control;

g) a UE policy container;

h) a single uplink 5GSM message which was not forwarded, because the PLMN's maximum number of PDU sessions has been reached;

h1) a single uplink 5GSM message which was not forwarded, because the maximum number of PDU sessions with active user-plane resources has been reached;

h2) a single uplink 5GSM message which was not forwarded, because of ongoing network slice-specific authentication and authorization procedure for the S-NSSAI that is requested;

h3) a single uplink 5GSM message which was not forwarded, because the UE requested to establish an MA PDU session for LADN DNN;

h4) a single uplink 5GSM message which was not forwarded because the UE is marked in the UE's 5GMM context that it is not allowed to request UAS services;

i) a single uplink 5GSM message which was not forwarded due to service area restrictions;

i1) a single uplink 5GSM message which was not forwarded because the UE is registered to a PLMN via a satellite NG-RAN cell that is not allowed to operate at the present UE location;

j) a UE parameters update transparent container;

k) a location services message;

l) a CIoT user data container;

l1) a single uplink CIoT user data container or control plane user data which was not forwarded due to routing failure;

l2) a single uplink CIoT user data container which was not forwarded due to congestion control;

m) a Service-level-AA container; or

n) multiple of the above types.

from the AMF to the UE in a 5GMM message.

\* \* \* Next Change \* \* \* \*

##### 5.4.5.3.2 Network-initiated NAS transport procedure initiation

In 5GMM-CONNECTED mode, the AMF initiates the NAS transport procedure by sending the DL NAS TRANSPORT message, as shown in figure 5.4.5.3.2.1.

In case a) in subclause 5.4.5.3.1, i.e. upon reception from an SMF of a 5GSM message without an N1 SM delivery skip allowed indication for a UE or a 5GSM message with an N1 SM delivery skip allowed indication for a UE in the 5GMM-CONNECTED mode, the AMF shall:

a) include the PDU session information (PDU session ID) in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information"; and

c) set the Payload container IE to the 5GSM message.

In case b) in subclause 5.4.5.3.1, i.e. upon reception from an SMSF of an SMS payload, the AMF shall:

a) set the Payload container type IE to "SMS";

b) set the Payload container IE to the SMS payload; and

c) select the access type to deliver the DL NAS TRANSPORT message as follows in case the access type selection is required:

1) if the UE to receive the DL NAS TRANSPORT message is registered to the network via both 3GPP access and non-3GPP access, the 5GMM context of the UE indicates that SMS over NAS is allowed, the UE is in MICO mode, and the UE is in 5GMM-IDLE mode for 3GPP access and in 5GMM-CONNECTED mode for non-3GPP access, then the AMF selects non-3GPP access. Otherwise, the AMF selects either 3GPP access or non-3GPP access.

If the delivery of the DL NAS TRANSPORT message over 3GPP access has failed, the AMF may re-send the DL NAS TRANSPORT message over the non-3GPP access.

If the delivery of the DL NAS TRANSPORT message over non-3GPP access has failed, the AMF may re-send the DL NAS TRANSPORT message over the 3GPP access; and

2) otherwise, the AMF selects 3GPP access.

NOTE 1: The AMF selects an access type between 3GPP access and non-3GPP access based on operator policy.

In case c) in subclause 5.4.5.3.1 i.e. upon reception from an LMF of an LPP message payload, the AMF shall:

a) set the Payload container type IE to "LTE Positioning Protocol (LPP) message container";

b) set the Payload container IE to the LPP message payload received from the LMF;

c) set the Additional information IE to an LCS correlation identifier received from the LMF from which the LPP message was received.

NOTE 2: The LCS Correlation Identifier is assigned originally by the AMF except for LPP message transfer associated with event reporting for periodic or triggered location as described in subclause 6.3.1 of 3GPP TS 23.273 [6B], where the LMF assigns the correlation identifier. AMF and LMF assigned correlation identifiers can be distinguished by an implementation specific convention (e.g. use of a different number of octets) to enable an AMF to distinguish one from the other when received in the Additional Information IE in an UL NAS Transport message.

In case d) in subclause 5.4.5.3.1 i.e. upon reception of a steering of roaming information (see 3GPP TS 23.122 [5]) from the UDM to be forwarded to the UE, the AMF shall:

a) set the Payload container type IE to "SOR transparent container"; and

b) set the Payload container IE to the steering of roaming information received from the UDM (see 3GPP TS 29.503 [20AB]).

In case e) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded due to routing failure, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded;

d) set the 5GMM cause IE to the 5GMM cause #90 "payload was not forwarded" or 5GMM cause #91 "DNN not supported or not subscribed in the slice".

The AMF sets the 5GMM cause IE to the 5GMM cause #91 "DNN not supported or not subscribed in the slice", if the 5GSM message could not be forwarded since SMF selection fails because:

1) the DNN is not supported in the slice identified by the S-NSSAI used by the AMF; or

2) neither the DNN provided by the UE nor the wildcard DNN are in the subscribed DNN list of the UE for the S-NSSAI used by the AMF.

Otherwise, the AMF sets the 5GMM cause IE to the 5GMM cause #90 "payload was not forwarded"; and

e) optionally include the Back-off timer value IE if the 5GMM cause IE is set to 5GMM cause #91 "DNN not supported or not subscribed in the slice" due to the DNN is not supported in the slice.

In case f) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded due to congestion control, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded;

d) set the 5GMM cause IE to the 5GMM cause #22 "Congestion", the 5GMM cause #67 "insufficient resources for specific slice and DNN" or the 5GMM cause #69 "insufficient resources for specific slice"; and

e) include the Back-off timer value IE.

In case g) in subclause 5.4.5.3.1, i.e. upon reception of a UE policy container from the PCF to be forwarded to the UE, the AMF shall:

a) set the Payload container type IE to "UE policy container"; and

b) set the Payload container IE to the UE policy container received from the PCF.

In case h) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded, because the PLMN's maximum number of PDU sessions has been reached, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #65 "maximum number of PDU sessions reached".

In case h1) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded, because the maximum number of PDU sessions with active user-plane resources has been reached, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #92 "insufficient user-plane resources for the PDU session".

In case h2) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded because the UE requested to establish a PDU session associated with an S-NSSAI or to modify a PDU session associated with an S-NSSAI for which:

a) the AMF is performing network slice-specific authentication and authorization and determined to reject the request based on local policy; or

b) the network slice-specific authentication and authorization has failed or the authorization has been revoked;

the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #90 "payload was not forwarded".

In case h3) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded because the UE requested to establish an MA PDU session for LADN DNN, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #90 "payload was not forwarded".

For case h4) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded because the UE is marked in the UE's 5GMM context that it is not allowed to request UAS services, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #79 "UAS services not allowed".

In case i) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded due to service area restrictions, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #28 "Restricted service area".

In case i1) in subclause 5.4.5.3.1, i.e. upon sending a single uplink 5GSM message which was not forwarded because the UE is registered to a PLMN via a satellite NG-RAN cell that is not allowed to operate at the present UE location, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "N1 SM information";

c) set the Payload container IE to the 5GSM message which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #78 "PLMN not allowed to operate at the present UE location".

In case j) in subclause 5.4.5.3.1 i.e. upon reception of UE parameters update data (see 3GPP TS 23.502 [9]) from the UDM to be forwarded to the UE, the AMF shall:

a) set the Payload container type IE to "UE parameters update transparent container"; and

b) set the contents of the Payload container IE to the UE parameters update data (see 3GPP TS 23.502 [9]) received from the UDM.

For case k) in subclause 5.4.5.3.1 upon reception from a location services application of a Location services message payload, the AMF shall:

a) set the Payload container type IE to "Location services message container"; and

b) set the Payload container IE to the Location services message payload.

For case k) in subclause 5.4.5.3.1 upon reception from an LMF of a Location services message payload, the AMF shall:

a) set the Payload container type IE to "Location services message container";

b) set the Payload container IE to the Location services message payload; and

c) set the Additional information IE to routing information associated with the LMF from which the Location services message payload was received.

NOTE 3: Case k) in subclause 5.4.5.3.1 supports transport of a Location services message container between a UE and an AMF and between a UE and an LMF. For transport between a UE and an LMF, the Additional information IE is included and provides routing information for the LMF. For transport between a UE and an AMF, the Additional information IE is not included.

In case l) in subclause 5.4.5.3.1, i.e. upon reception from an SMF of a user data container payload, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to "CIoT user data container"; and

c) set the Payload container IE to the user data container.

For case l1) in subclause 5.4.5.3.1, i.e. upon sending a single uplink CIoT user data container or control plane user data which was not forwarded due to routing failure, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to " CIoT user data container";

c) set the Payload container IE to the CIoT user data container or control plane user data which was not forwarded; and

d) set the 5GMM cause IE to the 5GMM cause #90 "payload was not forwarded".

NOTE 4: For case l1) in subclause 5.4.5.3.1, this is also applied for a single uplink CIoT user data container or control plane user data in the CONTRON PLANE SERVICE REQUEST message which was not forwarded due to routing failure.

For case l2) in subclause 5.4.5.3.1, i.e. upon sending a single uplink CIoT user data container which was not forwarded due to congestion control, the AMF shall:

a) include the PDU session ID in the PDU session ID IE;

b) set the Payload container type IE to " CIoT user data container";

c) set the Payload container IE to the CIoT user data container which was not forwarded;

d) set the 5GMM cause IE to the 5GMM cause #22 "Congestion" and include the Back-off timer value IE.

In case m) in subclause 5.4.5.3.1, the AMF shall:

a) set the Payload container type IE to "Service-level-AA container"; and

b) set the Payload container IE to the Service-level-AA container;

In case n) in subclause 5.4.5.3.1, the AMF shall:

a) set the Payload container type IE to "Multiple payloads";

b) set each payload container entry of the Payload container IE (see subclause 9.11.3.39) as follows:

i) set the payload container type field of the payload container entry to a payload container type value set in the Payload container type IE as specified for cases a) to m) above;

ii) set the payload container entry contents field of the payload container entry to the payload container contents set in the Payload container IE as specified for cases a) to m) above;

iii) set the optional IE fields, if any, to the optional associated information as specified for cases a) to m) above.



Figure 5.4.5.3.2.1: Network-initiated NAS transport 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:

i) If the Payload container IE indicates a list of preferred PLMN/access technology combinations is provided and the list type indicates "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.

If the SOR-CMCI is present and the Store SOR-CMCI in ME indicator is set to "Store SOR-CMCI in ME" then the UE shall store or delete the SOR-CMCI in the non-volatile memory of the ME as described in annex C.1; or

ii) If the list type indicates "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. In the Payload container IE carrying the acknowledgement, the UE shall set the ME support of SOR-CMCI indicator to "SOR-CMCI supported by the ME".

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 discard the content of the payload container IE and 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;

5a) the 5GMM cause IE is set to the 5GMM cause #78 "PLMN not allowed to operate at the present UE location", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded because the UE is registered to a PLMN via a satellite NG-RAN cell that is not allowed to operate at the present UE location along with the 5GSM message from the Payload container IE of the DL NAS TRANSPORT message;

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, and the time value from the Back-off timer value IE, if any;

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.

9) the 5GMM cause IE is set to the 5GMM cause #79 "UAS services not allowed", the UE passes to the 5GSM sublayer an indication that the 5GSM message was not forwarded because the UE is marked in the UE's 5GMM context that it is not allowed to request UAS services 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. In case of SNPN, the ME shall replace the stored default configured NSSAI associated with the selected entry of the "list of subscriber data" or the PLMN subscription 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;

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) "Service-level-AA container" and the Service-level device ID included in the Service-level-AA container is set to a CAA-level UAV ID, the UE shall forward the content of the Payload container IE to the upper layer application for UAS corresponding to the CAA-level UAV ID; and

n) "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 m) above according to the payload container type field.

#### 6.4.1.6 Abnormal cases in the UE

The following abnormal cases can be identified:

a) Expiry of timer T3580

The UE shall, on the first expiry of the timer T3580:

- if the PDU SESSION ESTABLISHMENT REQUEST message was sent with request type set to "initial emergency request" or "existing emergency PDU session", then the UE may:

a) inform the upper layers of the failure of the procedure; or

NOTE 1: This can result in the upper layers requesting another emergency call attempt using domain selection as specified in 3GPP TS 23.167 [6].

b) de-register locally, if not de-registered already, attempt initial registration for emergency services.

If the UE sent the PDU SESSION ESTABLISHMENT REQUEST message in order to perform a handover of an existing emergency PDU session between 3GPP access and non-3GPP access, the UE shall consider that the emergency PDU session is associated with the source access type.

- otherwise, retransmit the PDU SESSION ESTABLISHMENT REQUEST message and the PDU session information which was transported together with the initial transmission of the PDU SESSION ESTABLISHMENT REQUEST message and shall reset and start timer T3580, if still needed. This retransmission can be repeated up to four times, i.e. on the fifth expiry of timer T3580, the UE shall abort the procedure, release the allocated PTI and enter the state PROCEDURE TRANSACTION INACTIVE. If the UE sent the PDU SESSION ESTABLISHMENT REQUEST message in order to perform a handover of an existing non-emergency PDU session between 3GPP access and non-3GPP access, the UE shall consider that the PDU session is associated with the source access type.

b) Upon receiving an indication that the 5GSM message was not forwarded due to routing failure along with a PDU SESSION ESTABLISHMENT REQUEST message with the PDU session ID IE set to the same value as the PDU session ID that was sent by the UE, the UE shall stop timer T3580 and shall abort the procedure. If the UE sent the PDU SESSION ESTABLISHMENT REQUEST message in order to perform a handover of an existing PDU session between 3GPP access and non-3GPP access, the UE shall consider that the PDU session is associated with the source access type.

b1) Upon receiving an indication that the 5GSM message was not forwarded due to service area restrictions along with a PDU SESSION ESTABLISHMENT REQUEST message with the PDU session ID IE set to the same value as the PDU session ID that was sent by the UE, the UE shall stop timer T3580 and shall abort the procedure. If the UE sent the PDU SESSION ESTABLISHMENT REQUEST message in order to perform a handover of an existing PDU session between 3GPP access and non-3GPP access, the UE shall consider that the PDU session is associated with the source access type.

b2) Upon receiving an indication that the 5GSM message was not forwarded because the UE is registered to a PLMN via a satellite NG-RAN cell that is not allowed to operate at the present UE location along with a PDU SESSION ESTABLISHMENT REQUEST message with the PDU session ID IE set to the same value as the PDU session ID that was sent by the UE, the UE shall stop timer T3580 and shall abort the procedure. The UE shall not trigger the PDU session establishment procedure until the UE is deregistered from the PLMN.

b3) Upon receiving an indication that the 5GSM message was not forwarded because the UE is marked in the UE's 5GMM context that it is not allowed to request UAS services along with a PDU SESSION ESTABLISHMENT REQUEST message with the PDU session ID IE set to the same value as the PDU session ID that was sent by the UE, the UE shall stop timer T3580 and shall abort the procedure. The UE shall not trigger the PDU session establishment procedure until the UE is deregistered from the PLMN.

c) Collision of UE-requested PDU session establishment procedure and network-requested PDU session release procedure.

If the UE receives a PDU SESSION RELEASE COMMAND message after sending a PDU SESSION ESTABLISHMENT REQUEST message to the network, and the PDU session ID in the PDU SESSION RELEASE COMMAND message is the same as the PDU session ID in the PDU SESSION ESTABLISHMENT REQUEST message:

i) if the UE-requested PDU session establishment procedure was to request the establishment of user plane resources on the second access for an MA PDU session established on a first access and the Access type IE is not included in PDU SESSION RELEASE COMMAND or the Access type IE included in PDU SESSION RELEASE COMMAND indicates the first access, the UE shall proceed with the network-requested PDU session release procedure, abort the UE-requested PDU session establishment procedure, stop timer T3580, release the allocated PTI and enter the state PROCEDURE TRANSACTION INACTIVE;

ii) if the PDU SESSION ESTABLISHMENT REQUEST message was sent with request type set to "existing PDU session" or "existing emergency PDU session" in order to perform a handover of an existing PDU session between 3GPP access and non-3GPP access, the UE shall abort the PDU session establishment procedure and proceed with the network-requested PDU session release procedure; or

iii) otherwise, the UE shall ignore the PDU SESSION RELEASE COMMAND message and proceed with the UE-requested PDU session establishment procedure.

d) Inter-system change from N1 mode to S1 mode triggered during UE-requested PDU session establishment procedure.

If the UE-requested PDU session establishment procedure is triggered for handover of an existing PDU session from non-3GPP access to 3GPP access, and the inter-system change from N1 mode to S1 mode is triggered by the NG-RAN and the UE did not receive response to PDU session establishment request, then the UE shall abort the procedure, stop timer T3580, and notify the upper layer of the handover failure.

NOTE 2: This can result in the upper layer requesting re-initiation of handover from non-3GPP access to 3GPP access after the inter-system change is completed, if still required.

e) For an MA PDU session established on a single access, upon receipt of a PDU SESSION ESTABLISHMENT ACCEPT message over the other access, if any value of the selected PDU session type, selected SSC mode, 5GSM cause, PDU address, S-NSSAI, DNN IEs in the PDU SESSION ESTABLISHMENT ACCEPT message is different from the corresponding stored value, the UE shall perform a local release of the MA PDU session, and perform the registration procedure for mobility and periodic registration update with a REGISTRATION REQUEST message including the PDU session status IE over both accesses.

f) Collision of UE-requested PDU session establishment procedure initiated to perform handover of an existing PDU session from non-3GPP access to 3GPP access and a notification from the network with access type indicating non-3GPP access.

If the UE receives a notification from the network with access type indicating non-3GPP access after sending a PDU SESSION ESTABLISHMENT REQUEST message to perform handover of an existing PDU session from non-3GPP access to 3GPP access, the UE shall abort the PDU session establishment procedure, stop timer T3580, proceed with the service request procedure to perform handover of existing PDU session(s) from non-3GPP access to 3GPP access.

g) Collision of UE-requested PDU session establishment procedure and N1 NAS signalling connection release

The UE may immediately retransmit the PDU SESSION ESTABLISHMENT REQUEST message and stop, reset and restart timer T3580, if the following conditions apply:

1) The original UE-requested PDU session establishment procedure was initiated over an existing N1 NAS signalling connection;

2) the previous transmission of the PDU SESSION ESTABLISHMENT REQUEST message was not initiated due to timer T3580 expiry; and

3) no 5GSM message related to the PDU session (e.g. PDU SESSION ESTABLISHMENT REJECT or PDU SESSION AUTHENTICATION COMMAND message) or indication that the 5GSM message was not forwarded (see item b) and b1)) was received after the PDU SESSION ESTABLISHMENT REQUEST message was transmitted.

h) Collision of UE-requested PDU session establishment procedure and network-requested PDU session modification procedure

If the UE receives a PDU SESSION MODIFICATION COMMAND message after sending a PDU SESSION ESTABLISHMENT REQUEST message to the network, and the PDU session ID in the PDU SESSION MODIFICATION COMMAND message is the same as the PDU session ID in the PDU SESSION ESTABLISHMENT REQUEST message:

i) if the UE-requested PDU session establishment procedure was to request the establishment of user plane resources on the second access for an MA PDU session established on a first access, the UE shall proceed with both the UE-requested PDU session establishment procedure and the network-requested PDU session modification procedure; or

ii) if the PDU SESSION ESTABLISHMENT REQUEST message was sent with request type set to "existing PDU session" or "existing emergency PDU session" in order to perform a handover of an existing PDU session between 3GPP access and non-3GPP access, the UE shall proceed with the UE-requested PDU session establishment procedure and abort the network-requested PDU session modification procedure.