**3GPP TSG RAN WG2 Meeting #126 R2-24xxxx**

Fukuoka, Japan, May 20th– 24th, 2024

Agenda Item: 8.1.2.2

Source: Intel Corporation

Title: Report of [POST126][032][AI/ML PHY] LCM (Intel/Samsung)\_Phase 2

Document for: Discussion and Decision

# Introduction

This report provides a summary for the following post-meeting email discussion:

* [POST126][032][AI/ML PHY] LCM (Intel/Samsung)

Intended outcome:

Phase 1: Agreable definitions (Samsung)

Phase 2: Reach common understanding of reactive/proactive framework for applicable functionality.

Deadline: long

Deadline for providing initial comments for phase 2 is July 26th, 2024, 10:00 UTC.

Deadline for final comments based on rapporteur’s phase 2 summary is Aug 2nd, 2024, 10:00 UTC.

Companies providing input to this email discussion are requested to leave contact information below.

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| **Company** | **Name** | **Email Address** |
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# Phase 2 Discussion

During phase 1 discussion, following definitions of functionalities (with majority view) are summarized:

Supported functionalities refer to functionalities that UE can indicate by using UE capability signalling.

Applicable functionalities refer to functionalities that the UE is ready to apply for model inference.

Activated functionalities refer to functionalities already activated and performing inference.

In phase 2, we will mainly focus on the signaling framework for applicable functionality reporting. To facilitate the discussion, following assumptions are considered:

* The discussion in Section 2.1 and Section 2.2 first focuses on beam management use case. Whether the conclusion for beam management can also be applicable to positioning use cases will be discussed in Section 2.4.
* The applicability reporting is only focusing on model inference purpose first, according to the observation from companies’ feedback in phase 1 Q3.

Before discussing the signaling framework, rapporteur would like to first discuss the understanding of NW-side and UE-side additional condition.

As we discussed in NW-sided model, UE-side additional condition may refer to UE speed, scenario, hardware capabilities, etc. The understanding of UE-side additional condition for UE-sided model is the same as NW-sided model. However, it is not clear what is the exact meaning of NW-side additional condition. Therefore, rapporteur would like to collect companies’ view on what is the NW-side additional condition first before discussing the signaling procedure.

#### Q0-1: What is the NW-side additional condition of a functionality (e.g. network supported functionalities, network supported AI/ML resource configurations of the supported functionality, etc)?

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Furthermore, based on how the UE trains each functionality, different functionalities may have their corresponding different NW-side additional conditions.

#### Q0-2: Do you think 1) NW-side additional condition of the functionality supported by the UE needs to be signalled to the network? 2) If it is signalled to network, is it include as part of UE capability, or as part of other RRC signaling (other than UE capability)? 3) If it is not signalled to network, what is the expectation from companies?

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| Company | **1) Yes/No** | **2) UE cap/other RRC signaling** | **3) Behavior if it’s not signalled to network** |
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## Proactive Reporting

It was agreed in RAN2 #125bis and #126 meeting that supported functionalities (may or may not have available models) are reported in UE capability, while the existing UE assistance information (UAI) procedure is used for applicable functionality reporting in proactive reporting.

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| **RAN2 #125bis meeting:**   1. Which AI/ML-enabled Features/FGs and functionalities are supported should be standardized. The details wait for RAN1’s progress. “supported” means that the UE is capable of supporting the functionality and doesn’t mean neccesarily that the UE has the model available. FFS what functionality refers to. 2. Supported AI/ML-enabled Features/FGs and supported functionalities are included in UE capability. 3. Support proactive reporting of UE-sided applicable functionality, e.g., the UE reports its applicable AI/ML functionalities via UAI message/LPP message.   **RAN2 #126 meeting:**   1. For BM use case, As a baseline the UE determines whether a functionality is applicable. Existing UAI framework is used at least for proactive reporting of applicable functionality. FFS reactive |

According to the above agreements and companies’ inputs to RAN2 #126 meeting, rapporteur summarizes below signaling framework as an example of proactive reporting for discussion:



**Step 1**: Network sends *UECapabilityEnqiry* message to initiate the procedure to a UE reporting its AI/ML supported functionalities.

**Step 2**: UE sends *UECapablityInformation* message to network, containing supported functionalities at the UE side.

**Step 3**: Network configures UE that it is allowed to provide its applicable functionalities.

**Step 4**: UE sends applicable functionalities to network upon change of applicable functionality/condition.

**Step 5**: Network sends inference configuration for the applicable functionalities to the UE.

**Step 6**: Start inference/monitoring based on network/UE activation/deactivation.

In rapporteur’s understanding, in existing UAI framework, UE can only send UAI if configured to do (basic behaviour with UAI). Hence, the network shall at least configure the UE to provide assistance information, i.e. configure UE whether it is allowed to do UAI reporting or not.

#### Q1-1. Do you agree network shall at least configure the UE via *OtherConfig* whether it is allowed to do UAI reporting before applicable functionality reporting?

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As agreed in RAN2 #126 meeting, applicable functionality is determined by UE as baseline.

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| For BM use case, As a baseline the UE determines whether a functionality is applicable. |

After the UE is configured to provide applicable functionality information, the UE first needs to decide which applicable functionalities should be included in UAI and report to the network. Furthermore, as discussed in [6] and [12], the network may also be able to determine whether a functionality is applicable or not, according to NW-side additional conditions (i.e. without sending NW-side additional conditions to UE).

According to companies’ inputs to RAN2 #126 meeting, rapporteur summarizes below options on how UE/network decide the applicable functionalities:

* **Option 1: Joint decision by UE and NW**

In this option, UE-side additional conditions are known by UE internally, and NW-side additional conditions are known at network-side internally. First of all, UE decides UE-considered applicable functionalities based on UE-side additional conditions (e.g. UE speed, scenario, hardware capabilities, model availability, etc). UE reports **UE-considered** applicable functionalities to network. Network further checks its NW-side additional conditions by implementation and decides the **final** applicable functionalities by providing the corresponding configuration in Step 5.

However, the UE may also need to include NW-side additional condition of the corresponding reported UE-considered applicable functionalities in Step 4. Example of Step 3-5 of Option 1 is shown as below:



* **Option 2: UE decision**

**UE decides** the applicable functionalities based on UE-side additional conditions (internally known by UE) and NW-side additional conditions. This option seems to be a special case for Option 2, where network sends NW-side additional conditions to UE in Step 3 in advance for applicable functionality determination. Example of Step 3-5 of Option 2 is shown as below:



* **Option 3: NW decision**

**NW decides** the applicable functionalities based on UE-side additional conditions and NW-side additional conditions. In this option, the UE needs to report its UE-side additional conditions to NW via UAI. In rapporteur’s understanding, for proactive reporting, network only needs to provide network configurations to functionalities with available models at the UE side. Therefore, in this option, rapporteur assumes UE only needs to report UE-side additional conditions of available models in Step 3, while the network doesn’t need to know the exact model used by the UE. Example of Step 3-5 of Option 3 is shown as below:



#### Q1-2. Regarding to applicable functionalities determination, which option do you agree? Please also list any missing information that you think needs to be transferred to UE or reported to NW in Step 3/4 for applicable functionality determination.

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| **Company** | **Option 1/2/3** | **Comment (Is there any other information needed? why it’s essential?)** |
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#### Q1-3. Any other comment on the above signaling flow of proactive reporting?

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## Reactive Reporting

According to companies’ inputs to RAN2 #126 meeting, it seems companies’ understanding on reactive reporting is whether the applicable functionality reporting is considered as a response to network configuration. The network can either provide AI/ML resource configuration for multiple functionalities or some initial query (with some initial configuration) of applicable functions to UE. UE then reports applicable functionalities in response, either indicating acceptance of certain configurations or request for detailed network configurations for applicable functionalities.

From signaling procedure point of view, rapporteur summarizes below example for reactive reporting. The overall signaling procedure is similar to proactive reporting. However, there are some differences in terms of signaling content and detailed information, for example, the network needs to provide configurations to UE before UE reports applicable functionalities.



**Step 1**: Network sends UECapabilityEnquiry message to initiate the procedure to a UE reporting its AI/ML supported functionalities.

**Step 2**: UE sends *UECapablityInformation* message to network, containing supported functionalities at the UE side.

**Step 3**: Network provides network configurations and initiates UE to report its applicable functionalities.

**Step 4**: UE sends applicable functionalities to network.

**Step 5**: Network sends updated inference configuration for applicable functionalities reported in Step 4 to the UE. (see Q2-6)

**Step 6**: Start inference/monitoring based on network/UE activation/deactivation.

Following agreement was reached in RAN2 #125bis meeting:

1. Support reactive reporting of UE-sided applicable functionality. The NW configures AI/ML functionalities via RRC/LPP message. FFS what the configuration contains. FFS how to report applicable functionality and what is applicable functionality

In rapporteur’s understanding, network can provide configurations (e.g. beam resource configuration of Set A and Set B) for supported functionalities in Step 3.

#### Q2-1. In Step 3 of reactive reporting, do you agree that network can provide some configurations (e.g. AI/ML beam resource configuration of Set A and Set B) for functionalities? Please also provide an example of configuration for functionalities other than AI/ML beam resource configuration, if applicable.

NOTE: NW-side additional condition will be discussed in Q2-2.

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According to UE capability reported by the UE, network can provide network configuration (discussed in Q2-1) to all/subset of supported functionalities.

Based on current NW-side additional conditions, network can filter a list of functionalities from supported functionalities according to network implementation, and then provide configurations for those NW-considered applicable functionalities. Alternatively, similar as proactive reporting, in addition to network configuration (discussed in Q2-1), network can provide NW-side additional condition explicitly in Step 3, and let UE decide applicable functionality based on both NW-side and UE-side additional condition.

In the end, considering this configuration is provided by network based on UE supported functionalities, in rapporteur’s understanding, all of the functionalities configured by network in Step 3 may or may not have an available model, and may or may not be applicable at the UE side.

#### Q2-2. In Step 3 of reactive reporting,

**1) is there any other information (e.g. NW-sided additional condition) you think the network can provide except AI/ML resource configuration of NW-considered applicable functionalities (i.e. subset of supported functionalities based on NW-side additional condition)**

**2) those functionalities may or may not have an available model, and may or may not be applicable at the UE side?**

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Then UE can decide the final applicable functionalities based on its UE-side additional condition:



#### Q2-3. Do you agree UE reports final applicable functionalities (applicable based on both UE and NW side additional condtion) in Step 4, as a response to Step 3?

NOTE: Non-applicable functionality with available model reporting in Step 4 will be discussed in Q2-7.

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In below sections, let’s have some initial discussion on candidate RRC signalings used for Step 3-4. According to the contributions submitted RAN2#126 meeting. There are mainly two options proposed by companies:

**Option 1:** RRCReconfiguration/ RRCReconfigurationComplete (including RRCResume /RRCResumeComplete, etc) [1][9][15][18][21]

In this option, *RRCReconfigurationComplete* message is directly used to report the applicable functionalities in response to *RRCReconfiguration* in Step 3. Furthermore, [9][18][21] also mentioned that complete messages can be used when synchronization is lost between UE and NW, RRC state transition, etc.

**Option 2:** UAI (i.e. same as Approach #1 (proactive reporting), OtherConfig in RRCReconfiguration and UAI) [2][5][10][19][25]

In this option, UAI message can also be used in response to configurations received by UE in Step 3, indicating the applicable functionalities, i.e. reuse the same signaling as proactive reporting. By using UAI framework for reactive reporting, it also means network also needs at least configure the UE whether it is allowed to do applicable functionality reporting in Step 3.

#### Q2-4. Which option do you agree as signalings for Step 3 and Step 4?

**Option 1: RRCReconfiguration/ RRCReconfigurationComplete (including RRCResume /RRCResumeComplete, etc)**

**Option 2: UAI (i.e. same as Approach #1 (proactive reporting), OtherConfig in RRCReconfiguration and UAI)**

**Option 3: Others (please list the signaling message)**

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#### Q2-5. Please also list any missing information that you think needs to be transferred to UE or reported to NW in Step 3/4. If none, please skip this question.

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After Step 4 and determination of applicable functionalities, it is not clear whether the network needs to provide an update of network configurations or not.

The update of network configuration may not be needed, considering the UE itself knows the applicable functionalities and can directly use the network configuration in Step 3 without further update from network. On the other hand, the network may not have provided the full AIML resource configuration in Step 3 and may need to provide an updated configuration to UE according to the final applicable functionalities reported by the UE.

#### Q2-6. Do you think Step 5 is needed in reactive reporting? if yes, please comment on what is the difference with Step 3.

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During RAN2 #126 meeting, it was agreed that, for a functionality to be applicable, it should have at least one model available within it. It is straightforward to conclude that applicable functionalities reported in Step 4 has an available model. During phase 1 discussion, companies have different understanding on whether to define available functionalities separately from applicable functionalities. Then, the question is whether a UE can report its non-applicable functionalities but with an available model via the same message used for applicable functionality reporting or not.

#### Q2-7. For reactive reporting, do you think UE can also include non-applicable functionalities with an available model in Step 4?

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#### Q2-8. Any other comment on the above signaling flow of reactive reporting?

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## Others

proactive vs. reactive

After discussing the above signaling, hope companies now have a clear understanding of what is proactive and reactive reporting. Based on above assumptions, the key differences between proactive and reactive reporting can be summarized as below:

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|  | **What is the trigger applicable functionality reporting?** | **Sequence between configuration and applicable functionality reporting** |
| **Proactive reporting** | Upon a change of condition(s) | Applicable functionality reporting -> Configuration |
| **Reactive reporting** | As a response to network configuration | Configuration -> Applicable functionality reporting |

#### Q3-1. Do you agree the key differences between proactive and reactive reporting are:

1. **trigger of applicable functionality reporting: upon a change of condition(s) (proactive) or as a response to network configuration (reactive)**
2. **whether the configuration of functionalities is provided after applicable functionality reporting (proactive) or before (reactive)**

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Initial Activation/Deactivation

During RAN2 #126 meeting discussion, following agreements are captured on applicable functionalities and activated functionalities:

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| RAN2 will support functionality activation/deactivation after inference configuration. FFS initial state of configuration and how activation/deactivation is achieved. |

After applicable functionality reporting, it is not clear what is the initial state (active/deactive) of the functionality after Step 5, and how an applicable functionality becomes an activated functionality. There are two options:

**Option 1**: The applicable functionality is activated by receiving configuration for applicable functionalities in Step 5 (if needed). If configuration is not provided by the network, it means the functionality is not activated.

**Option 2**: The applicable functionality is automatically activated if it is included in applicable functionality reporting (assuming the network configuration received in Step 3 is directly applied and the functionality is activated).

**Option 3:** A functionality is activated based on a field in RRCReconfiguration in Step 3 or Step 5 (indicating the functionality activation status), and additionally via L1/L2 based activation/deactivation signaling. L1/L2 based activation/deactivation signaling is up to RAN1.

#### Q3-2. Which option do you agree that an applicable functionality initially becomes an activated functionality after receiving configuration in Step 5?

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| **Company** | **Proactive reporting:**  **Option 1/2/3** | **Reactive reporting:**  **Option 1/2/3** | **Comment** |
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## Positioning

During RAN2 #126 meeting online discussion, following agreements on positioning Case 1 were made:

1. The LPP Capability Transfer procedures (RequestCapabilities/ProvideCapabilities messages) are used to indicate supported AI/ML positioning capabilities. FFS how to handle dynamic capabilities, depending on further RAN1 progress and understanding of the functionality.
2. wait for RAN1 for associate ID discussion

Considering the exact signaling needs further RAN1 inputs, rapporteur suggests to only focus on the **general principle** for positioning during this discussion, e.g. exact LPP signaling (whether existing signaling or new enhancement) and NW-side/UE-side additional condition will **not** be discussed in this email discussion.

It was agreed in RAN2 #125bis meeting that proactive reporting and reactive reporting are applicable for both beam management and positioning use cases.

**Agreements for positioning and beam management**

1. Support proactive reporting of UE-sided applicable functionality, e.g., the UE reports its applicable AI/ML functionalities via UAI message/LPP message.
2. Support reactive reporting of UE-sided applicable functionality. The NW configures AI/ML functionalities via RRC/LPP message. FFS what the configuration contains. FFS how to report applicable functionality and what is applicable functionality

Based on the discussion of beam management, it seems there are some commonalities between positioning and beam management in terms of proactive/reactive reporting. Following assumptions for beam managements are also applicable for positioning, except the protocol is LPP between UE and LMF:

* + - 1. The key difference between proactive and reactive reporting is the trigger of applicable functionality reporting, and whether the configuration of functionalities is provided after applicable functionality reporting or before. This seems can also be applicable for positioning Case 1: i.e.

1) in **proactive reporting**, UE can report a change in applicable functionality/condition by sending applicable functionalities upon change via LPP signaling, network provides configurations of functionalities via LPP signaling **after** NW knowing applicable functionalities

2) in **reactive reporting**, applicable functionality reporting is provided as **a response to** the network configuration, where network provides configurations of functionalities via LPP signaling **before** NW receiving applicable functionalities.

* + - 1. Depends on Q2-7 if agreed, UE also sends functionalities with available model, but not applicable via LPP signaling in the same message used for applicable functionality reporting.
      2. Depends on Q3-2, the configuration after NW receiving applicable functionality reporting may or may not means the functionality is activated.

#### Q4-1. For positioning Case 1, do you agree with the above assumptions?

NOTE: Exact LPP signaling (whether existing signaling or new enhancement) and NW-side/UE-side additional condition will **not** be discussed in this email discussion.

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#### Q4-2. For positioning Case 1, any other information needs to be considered during proactive/reactive reporting?

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# Conclusion

# Reference

[1] R2-2404151 LCM for UE-sided model for Beam Management use case OPPO

[2] R2-2404185 Beam management UE-sided model LCM signaling Intel Corporation

[3] R2-2404275 On LCM for UE-sided model for Beam Management use case Qualcomm Incorporated

[4] R2-2404341 Discussion on the LCM for UE-sided model for Beam Management Fujitsu

[5] R2-2404370 LCM for UE-sided model for Beam Management use case TCL

[6] R2-2404390 Discussion on LCM for UE-sided model for Beam Management vivo

[7] R2-2404503 LCM for UE-sided model for Beam Management use case Interdigital Inc.

[8] R2-2404599 Discussion on LCM for UE-sided model for BM Xiaomi

[9] R2-2404637 LCM procedure of UE-sided model for AI/ML based beam management Apple

[10] R2-2404691 Discussion on LCM for UE-sided model for Beam Management use case CATT

[11] R2-2404816 LCM for AIML based beam management with UE-sided model Lenovo

[12] R2-2404817 Discussion on applicability-related information and additional condition Lenovo

[13] R2-2404902 UE side model functionality definition Sony

[14] R2-2404933 Discussion on LCM for UE-sided model Spreadtrum Communications

[15] R2-2404941 Functionality based LCM related to UE-side models for BM Nokia

[16] R2-2404957 Functionality identification and applicability related report LG Electronics

[17] R2-2404958 Functionality management for UE-sided model LG Electronics

[18] R2-2405025 Discussion on LCM for UE-sided model for BM CMCC

[19] R2-2405073 Discussion on LCM for UE-sided model NEC

[20] R2-2405180 Functionality-based LCM for UE sided model Samsung

[21] R2-2405184 Considerations on LCM for UE side Model for AIML Based BM ZTE Corporation

[22] R2-2405246 LCM Framework for UE-sided model SHARP Corporation

[23] R2-2405266 LCM for UE-side models for beam management Ericsson discussion

[24] R2-2405274 Discussion on LCM for UE-Side Models Futurewei Technologies

[25] R2-2405337 Discussion on functionality based LCM for UE-sided model for BM Huawei, HiSilicon

[26] R2-2405536 Considerations for moving forward with Functionality-based LCM Kyocera

[27] R2-2405665 Discussion on applicable functionality NTT DOCOMO, INC.

# Annex – RAN2 agreements on UE-sided model LCM

RAN2 #125bis meeting

**Agreements**

1. Which AI/ML-enabled Features/FGs and functionalities are supported should be standardized. The details wait for RAN1’s progress. “supported” means that the UE is capable of supporting the functionality and doesn’t mean neccesarily that the UE has the model available. FFS what functionality refers to.

2. Supported AI/ML-enabled Features/FGs and supported functionalities are included in UE capability.

**Agreements for positioning and beam management**

1. Support proactive reporting of UE-sided applicable functionality, e.g., the UE reports its applicable AI/ML functionalities via UAI message/LPP message.
2. Support reactive reporting of UE-sided applicable functionality. The NW configures AI/ML functionalities via RRC/LPP message. FFS what the configuration contains. FFS how to report applicable functionality and what is applicable functionality

3 FFS how the two approaches will be specified and whether we can combine them into one procedure. FFS how to report applicable functionality, what is applicable functionality, how the UE determines which function is applicable or not (if it is needed)

**Agreements:**

1 For UE-sided model, for the functionality management, the “network decision, network-initiated” AI/ML management is supported as a baseline. The following can be considered further “UE autonomous, decision reported to the network”, “Network decision, UE-initiated” (i.e. proactive approach).

2 “UE-autonomous, UE’s decision is not reported to the network” is not considered for Rel-19

RAN2 #126 meeting

**Agreements**

1 RAN2 will support functionality activation/deactivation after inference configuration. FFS initial state of configuration and how activation/deactivation is achieved. FFS what Deactivation refers to: examples discussed: 1) fallback to legacy 2) switching, etc.

2 We will work offline on the definitions for functionality types and define what is availability.

3 The UE will indicate the gNB/LMF whether the AI/ML functionality is available/applicable. For a functionality to be applicable at least there should at least one model available within it. FFS other details on what is applicability/non-applicability.

4 For NW-side additional conditions, RAN2 assumes that RRC signaling from gNB to UE can be designed for consistency between inference and training. RAN2 will wait for RAN1 input for further details. FFS if the same applies to positioning

5 For BM use case, As a baseline the UE determines whether a functionality is applicable. Existing UAI framework is used at least for proactive reporting of applicable functionality. FFS reactive