**3GPP TSG- Meeting # *9828r01***

**Hyderabad, India, Oct 14 – 18, 2024 Revision of S2-2409416**

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| *CR-Form-v12.3* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  |  | **CR** | **1134** | **rev** | **5** | **Current version:** |  |  |
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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 |  | Radio Access Network |  | Core Network | **X** |

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| ***Title:*** | General training procedure for Vertical Federated Learning between NWDAF(s) and AF(s) | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | China Mobile, CATT, ZTE, OPPO, China Telecom, ETRI, Huawei, Nokia, Futurewei, Samsung | | | | | | | | | |
| ***Source to TSG:*** | SA2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** |  | | | | |  | ***Date:*** | | | 07 |
|  |  | | | |  | |  | | |  |
| ***Category:*** |  |  | | | | | ***Release:*** | | |  |
|  | *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-17 (Release 17) Rel-18 (Release 18) Rel-19 (Release 19)  Rel-20 (Release 20)* | |
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| ***Reason for change:*** | | Based on conclusions for KI#2: 5GC Support for Vertical Federated Learning in clause 8.2 of TR23.700-84, this CR aims to specify the general training procedure for vertical federated learning between AF(s) and NWDAF(s). | | | | | | | | |
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| ***Summary of change:*** | | New clause 6.2G.2.X is added to specify the general training procedure for vertical federated learning between AF and NWDAFs.  Compared to the revision S2-2409416 in last meeting SA2#164, in TS23.288, VFL Registration and Discovery procedure in clause 6.2H.2.1 is already defined, hence, the related EN can be removed. | | | | | | | | |
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| ***Consequences if not approved:*** | | VFL training procedure not specified. | | | | | | | | |
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| ***Clauses affected:*** | | 6.2G.2.X (new) | | | | | | | | |
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|  | | **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:*** | |  | | | | | | | | |

>>>>BEGINNING OF CHANGES<<<<

#### 6.2H.2.2 Training preparation phase

Editor’s note: here comes the preparation phase procedures

#### 6.2H.2.3 Training procedure for Vertical Federated Learning when NWDAF is acting as VFL server

The figure 6.2H.2.3-1 below shows the training procedure for Vertical Federated Learning when NWDAF is acting as VFL server .



Figure 6.2H.2.3-1: Training procedure for Vertical Federated Learning when NWDAF is acting as VFL server

The VFL training procedure illustrated below is conducted after VFL preparation procedure.

Editor's Note: Further extensions are needed to show when any of the VFL participants are untrusted AF(s). In this case the procedure below will contain a NEF, and how the NEF assists the VFL training process as well as whether the service operations going via NEF is using the existing or new service operation are FFS.

Editor’s Note: Whether and how to exchange feature between VFL server and VFL client is for FFS. The process may be determined after agreement on sample and/or feature alignment.

Editor´s Note: Whether and how to include interoperability information in the VFL training procedure is FFS.

1. The NWDAF acting as VFL server selects the VFL clients that participate in VFL in the VFL clients discovery and preparation phase as described in the clause 6.2H.2.1 and clause 6.2H2.2.

NOTE: VFL Server determines to perform VFL training based on the operator’s policy.

2. To start VFL training, the VFL server allocates VFL correlation ID, The VFL server sends the VFL correlation ID and the VFL training execution start Flag request to the selected VFL clients.

Editor´s Note: It is FFS whether and how the local ML model is obtained by VFL Client in VFL training process.

Editor’s Note: It is FFS which service is used between VFL server and VFL clients for VFL training.

3. [Optional] Each VFL client collects its local data by using the current mechanism if the VFL client has no local data already available. The data used by the VFL Server and VFL Client(s) is collected as per alignment information defined in the VFL Training Preparation procedure.

4. During VFL training procedure, each VFL client further trains the local ML model(s) associated with the same VFL Correlation ID based on their own collected or available data , and reports intermediate training result of the local ML model to the VFL server. When the clients reports the intermediate training result, it also includes the corresponding VFL correlation ID.

5. The VFL server may collect the local data and generate its own local the intermediate training result. The NWDAF acting as VFL Server computes the backward local ML model training information (e.g. gradient information or loss information) based on the intermediate training result received in step 4 and label. The backward local ML model training information is used for updating the models of VFL clients. Different backward local ML model training information may be computed for different VFL clients, respectively.

The VFL server may also compute the global ML model metric (e.g. ML model accuracy) based on all the intermediate training result received from VFL clients and the label.

6. [Optional] The NWDAF acting as VFL server evaluates (e.g., based on the convergence of a loss function or loss value, the pre-set iteration number is reached) whether VFL Training process converged. If not, the NWDAF acting as a VFL Server determines another round of VFL training is required. If yes, it determines the VFL Training is completed. In this case, the VFL Server terminates the current VFL training process. The VFL server sends VFL training termination message to VFL Client if it decides to terminate the VFL training process.

Editor’s Note: Whether VFL Training termination Flag in the termination message is required is FFS.

Editor’s Note: The flow should be updated to show the message exchange for VFL training termination.

The VFL training termination decision may be also made as follows:

Based on the consumer request, the VFL server sends VFL status report to update the ML model metric to the consumer. The status report may include global model metric (e.g. ML model accuracy).

The consumer decides whether the current model can fulfil the requirement, e.g. ML model metric is satisfactory for the consumer and determines to stop or continue the training process. The consumer continues the training process or stops the training process.

Based on the subscription request sent from the consumer, the VFL server updates or terminates the current VFL training process.

If the VFL server received a request from consumer or decide to stop the Vertical Federated Training process, steps 7 and 8 are skipped.

7. VFL server sends VFL server sends the backward local ML model training information (e.g. gradient information, loss information) to the VFL clients for next round of VFL training.

8. Each VFL client computes gradient of its local model and updates its local ML model based on backward local ML model training information distributed by the VFL server at step 7. The NWDAF acting as VFL Server and each NWDAF or AF acting as VFL Client, stores the latest information about their locally trained Models.

Editor’s Note: It is FFS whether model storage after each training round is required.

Editor’s Note: Possible procedures to be executed at the end of the VFL training (to terminate a training session and to store/handle trained models) are FFS.

The steps 4-8 should be repeated until the training termination decision is made in step 6.

NOTE 1: If untrusted AF is involved in VFL Clients, the message between NWDAF acting as VFL Server and the untrusted AF is via NEF.

>>>>END OF CHANGES<<<<