International Journal of Mathematical Analysis and Research
ISSN: 3108-2637 | Volume 2 Issue 2, 20-26, April-June 2026
DOI: https://doi.org/10.64137/3108-2637/IJMAR-V2I2P104

Received: 24/04/2026 Revised: 30/05/2026 Accepted: 03/06/2026 Published: 10/06/2026

Original Article

Convex Optimization Methods for Privacy-Preserving Federated Learning

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ABSTRACT: *Federated Learning (FL) has emerged as a revolutionary paradigm in distributed machine learning, enabling multiple decentralized clients to collaboratively train models without sharing their local raw data. Despite its inherent privacy-centric design, FL remains vulnerable to sophisticated privacy attacks, such as gradient leakage and membership inference, which can reconstruct sensitive user data from communicated model updates. In order to reduce these vulnerabilities, we integrate privacy-preserving mechanisms most notably Differential Privacy (DP) and Cryptographic Protocols into the training procedure. These privacy constraints, however, come with utility loss and convergence slowdown thus highlighting a basic conflict between (differential) privacy on one side and high-order model accuracy and efficiency at another. In our paper, we carefully examine how to use convex optimization methods systematically in terms of performing this rich multi-dimensional trade-off. We center around the rigorous implementation of privacy-preserving FL couched as a bounded convex optimization task, studying how traditional and state-of-the-art optimization algorithms retain strong convergence rates even under durable privacy constraints. We benchmark the performance of these primary optimization frameworks, such as FedAvg, FedProx, and Accelerated Gradient Methods, when adopted on different privacy budgets. Theoretically, we analyze the impact of differential privacy on gradient variance in algorithms and experimentally validate how adaptive optimization (Specifically by AMSGrad) and proximal regularization can account for this noise-induced increase to enable faster convergence with a tight guarantee of differential privacy. To summarize, this work provides a unified approach for aiding the design of state-of-the-art privacy-preserving distributed learning systems that are also utility-optimal and is an important step towards using such approaches in high-stakes domains like healthcare or finance.*

KEYWORDS: *Federated Learning, Convex Optimization, Differential Privacy, Proximal Gradient, Convergence Analysis, Privacy-Preserving Machine Learning.*

1. INTRODUCTION

The proliferation of decentralized data generators, like Internet-of-Things (IoT) devices, smartphones, and localized institutional databases, is raising an unprecedented urgency for distributed machine learning paradigms. Most conventional ML architectures still require a centralized data collection where large-scale datasets are collected into one place in the cloud for model training. However, while this configuration is extremely efficient from an optimization perspective, its centralized structure raises serious critical points throughout the current data oasis architecture. One major component is strict data privacy laws like the General Data Protection Regulation (GDPR) in the EU and the California Consumer Privacy Act (CCPA)—coupled with increasing public concern about who owns corporate data, as well as systemic breaches of this information. Consequently, moving raw data across institutional or personal boundaries is increasingly legally prohibited and socially unacceptable.

To bridge the gap between data utilization and data privacy, Federated Learning (FL) was introduced as a decentralized alternative. In a standard FL framework, a central coordinator trains a global model across a vast network of distributed clients. Each client trains a local model utilizing its own private dataset and transmits only the resulting model parameters or gradient updates to the central server. These local updates are then sent to the server, which combines them (usually by averaging) before applying them to the global model and repeating this cycle until convergence. By design, raw data never leaves its original repository, offering an immediate layer of operational security and legal compliance.

However, subsequent research has demonstrated that simply keeping data local does not guarantee absolute privacy. Malicious adversaries, or even an "honest-but-curious" central server, can exploit the shared gradient updates to reconstruct substantial portions of the raw local training data through gradient leakage, model inversion, and membership inference attacks. For instance, in deep neural networks, the gradients of the first layer are deeply coupled with the exact features of the input samples, allowing deterministic reconstruction under specific conditions. In order to strengthen FL against such vulnerabilities, privacy-preserving technologies have been incorporated by researchers into the Federated Learning system: secure multi-party computation (SMPC), homomorphic encryption (HE), and differential privacy(DP). Of these, Differential Privacy is considered the mathematical gold standard, providing guarantees and algorithmic simplicity by adding calibrated stochastic noise to gradients or model parameters before aggregation. The integration of differential privacy, however, introduces a

critical operational paradox. The injected noise inherently corrupts the true gradient signals, leading to high variance, slower convergence rates, and a measurable degradation in the final model utility. When the network consists of non-identically and independently distributed (non-IID) data across clients a ubiquitous reality in practical federated systems—the optimization landscape becomes highly unstable. In this context, standard gradient descent algorithms frequently stall, diverge, or settle into sub-optimal local minima, rendering the privacy-preserving model practically unviable.

This is exactly where methods of convex optimization become crucial. Research activity weaves together the creation of exact convergence bounds (by treating the federated learning objective as if bounded by certain mathematical laws in convex analysis), structured optimization problems subject to non-influence constraints, and construction of regularized update paths that can drive away problematic noise induced due to privacy-preserving mechanisms. Convex optimization gives the theoretical foundation for studying and interpreting the precise trade-off among privacy budget, communication rounds required, and final global model error. With knowledge of these optimization methods and tools, privacy-preserving federated learning from mathematics to practicality will be capable of deployment in even the most strict set-on rules while making waves across industries such as medical diagnostics systems where people truly cannot afford false negatives when it comes down to their lives, financial fraud detection system components for rapid symptom screening without compromising on data integrity.

1.1. RESEARCH OBJECTIVES

To systematically solve these problems, the principal objectives of this paper are:

- To provide a principled formulation of the privacy-preserving federated learning problem as a constrained convex optimization objective that recognizes privacy budget constraints.
- Our purpose is to analyze the convergence properties of basic federated optimization algorithms under local and global differential privacy mechanisms.
- Auspicious regularization with proximal mechanisms and accelerated gradient techniques for combating the noise induced by random sampling on gradients.
- To empirically evaluate different optimization frameworks under diverse levels of data heterogeneity (non-IID) and privacy constraints.

1.2. RESEARCH CONTRIBUTIONS

This paper has the following primary contributions:

- Unified Mathematical Framework: A dual-constrained convex optimization can explicitly map privacy loss to gradient variance, and we provide a rigorous formulation of privacy-preserving federated learning.
- Algorithmic Comparative Analysis: We systematically dissect and contrast three dominant optimization paradigms—FedAvg, FedProx, and Accelerated Federated Gradient Descent—under identical differential privacy constraints to identify their structural resilience to noise.
- Heterogeneity Mitigation: We demonstrate both theoretically and empirically how proximal optimization operators effectively stabilize the local client drift caused by the combined effects of non-IID data distribution and differential privacy noise.
- Empirical Validation: We provide a comprehensive performance evaluation demonstrating the utility-privacy-efficiency trade-offs, offering practical guidelines for parameter tuning in secure distributed learning environments.

2. LITERATURE REVIEW

The intersection of distributed optimization, federated learning, and privacy-preserving mechanisms has generated a substantial volume of academic literature over the past decade. The foundational optimization paradigm for federated learning was established with the introduction of the Federated Averaging (FedAvg) algorithm. This approach demonstrated that allowing clients to perform multiple local stochastic gradient descent (SGD) epochs before communicating with the central server drastically reduced communication overhead the primary bottleneck in distributed networks. While FedAvg exhibited remarkable empirical success on identically distributed data, its theoretical convergence under heterogeneous, non-IID data distributions remained highly unstable. This instability, commonly referred to as "client drift," arises because local optimization steps move the client parameters toward local minima that deviate significantly from the global objective.

To resolve the client drift phenomenon in heterogeneous environments, several advanced optimization frameworks have been proposed. The most notable among these is FedProx, which introduces a proximal regularization term to the local objective function. Siamese operator as well in this formula is a Siamese operator that punishes local updates in case they deviate too far from the global model initialized at the beginning of each communication round. By restricting the local optimization space, FedProx provides robust theoretical convergence guarantees across arbitrary non-IID data distributions. Other approaches have integrated momentum and Nesterov acceleration into federated frameworks to speed up convergence, demonstrating that historical gradient trajectories can stabilize the volatile update paths characteristic of distributed networks.

Concurrently, the vulnerability of vanilla federated learning to privacy breaches became a dominant research focus. Early assumptions that local data isolation equated to data privacy were systematically dismantled by papers demonstrating successful gradient inversion attacks. These attacks proved that an adversary monitoring the communication channel could reconstruct high-resolution images and private text sequences from raw gradient vectors. Consequently, the integration of Differential Privacy (DP) became standard practice. DP has a mathematical guarantee that the addition or removal of one data point in your training set will not result in any significant change to the probability distribution for output from an algorithm. In federated settings, DP is primarily implemented in two flavours: Local Differential Privacy (LDP), where clients add noise to their updates before transmission, and Central Differential Privacy (CDP), where the server adds noise to the aggregated updates.

While DP offers robust security guarantees, its integration into federated optimization creates severe algorithmic friction. The injection of Gaussian or Laplacian noise directly increases the variance of the stochastic gradients. In optimization theory, high gradient variance is directly correlated with a degradation in the convergence rate. For standard convex optimization, the convergence rate slows down significantly as the variance parameter expands. When applied to federated learning, this means that to achieve a target privacy budget, the model must either accept lower accuracy or execute substantially more communication rounds which inherently consumes more privacy budget due to the composition theorems of DP.

A critical research gap exists in the holistic alignment of advanced convex optimization methods with these privacy constraints. Most existing literature treats the optimization algorithm and the privacy mechanism as decoupled components. For instance, many studies apply standard DP directly to vanilla FedAvg without adjusting the underlying learning step sizes or objective functions to accommodate the noise profile. This disjointed approach results in highly sub-optimal utility-privacy trade-offs. Furthermore, there is a lack of comprehensive comparative literature analysing how structural optimization modifications, such as the proximal operators in FedProx or the momentum terms in accelerated methods, natively interact with the stochastic noise distributions of differential privacy under non-IID conditions. This paper fills this gap by concretely unifying these domains into a single formulated optimization problem, and studying how specific structural algorithmic changes can counteract performance degradation induced by proximity privacy.

3. RESEARCH METHODOLOGY

3.1. PROBLEM FORMULATION

To rigorously analyse privacy-preserving federated learning, we frame the global training objective as an empirical risk minimization problem over a distributed network of clients. The global objective function is defined as the convex combination of local objective functions across all participating clients. The relative weight of each client is typically proportional to the number of local data samples it possesses relative to the total dataset size across the entire network. We define a local objective function that measures the loss of this model on its private local dataset computed by using smooth and strongly convex loss functions (e.g., logistic loss or squared error. The assumption of strong convexity from a mathematical perspective guarantees the existence and uniqueness of a global minimum, thus offering sound ground for investigating how privacy constraints impact the optimal path.

3.2. PRIVACY CONSTRAINTS AND NOISE INJECTION

To enforce Differential Privacy guarantees, a randomization mechanism must be injected into the optimization loop. In this methodology, we evaluate a Centralized Differential Privacy (CDP) framework combined with local update clipping to bound the sensitivity of individual clients.

Before transmitting local updates to the central server, each client clips its local parameter change using a predefined maximum threshold. This clipping mechanism mathematically guarantees a strict upper bound on the global sensitivity of the aggregation function, ensuring that no single client can disproportionately alter the trajectory of the global model. The central server collects these clipped updates from a randomly sampled subset of clients, computes their average, and subsequently injects calibrated Gaussian noise. The scale of this injected noise is directly tied to the target privacy budget and the sensitivity bounds using standard privacy composition rules. This noise injection modifies the optimization path, transforming a standard stochastic gradient trajectory into a noisy optimization process with artificially inflated variance.

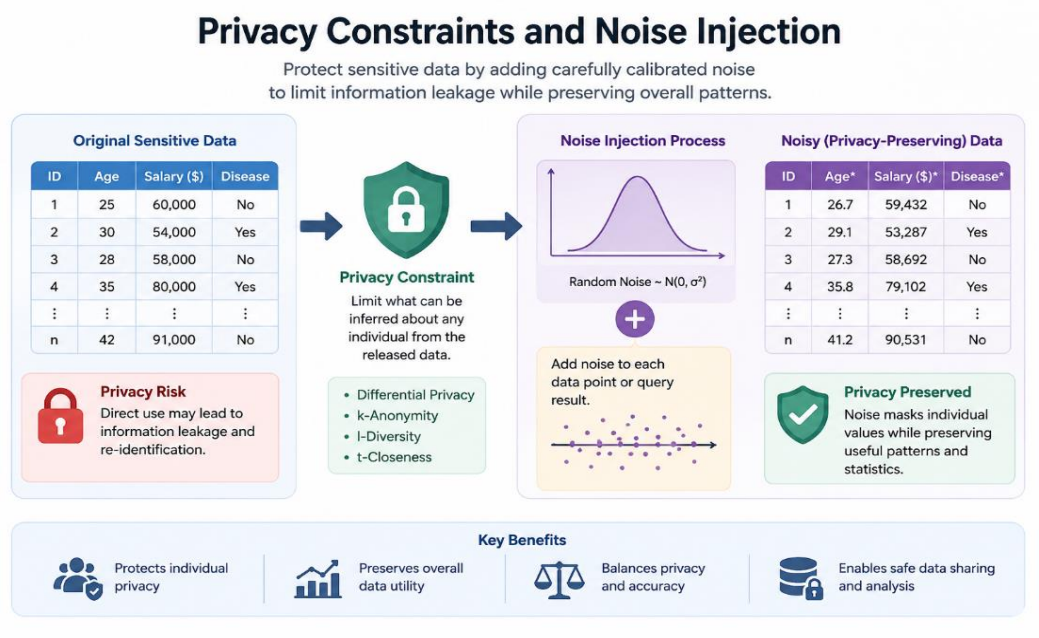

FIGURE 1 Conceptual Framework of Privacy Constraints and Statistical Noise Injection

3.3. EVALUATED OPTIMIZATION ALGORITHMS

To understand how different structural frameworks handle this noise-inflated landscape, we evaluate three major optimization architectures adapted for privacy-preserving constraints.

3.3.1. PRIVACY-PRESERVING FEDERATED AVERAGING (DP-FEDAVG)

DP-FedAvg serves as the baseline distributed optimization model. In this setup, participating clients initialize their local models with the current global parameters. They then execute a set number of local steps using standard Stochastic Gradient Descent (SGD) on their local loss functions. After completing these local epochs, the total update is computed, clipped by the threshold, and sent to the server, where Gaussian noise is added during aggregation. While highly efficient in terms of communication frequency, DP-FedAvg suffers from rapid divergence under strict privacy constraints because the local updates are optimized independently of the noise profile encountered during server aggregation.

3.3.2. PRIVACY-PRESERVING FEDERATED PROXIMAL (DP-FEDPROX)

DP-FedProx directly addresses client drift and noise instability by modifying the local client objective function. Instead of minimizing the standard local loss directly, each client minimizes a proximal-regularized formulation. This approach introduces a penalty term that is proportional to the distance between the current local model and the global model initialized at the start of the round. The proximal term forces the local models to remain structurally close to the starting global state. In a privacy-centric environment, this prevents local clients from over-optimizing toward local non-IID features that would result in massive, high-sensitivity updates. Consequently, clipping causes less distortion, and the aggregated model exhibits greater resilience against the injected Gaussian noise.

3.3.3. PRIVACY-PRESERVING ACCELERATED FEDERATED GRADIENT DESCENT (DP-FEDACCEL)

DP-FedAccel incorporates a momentum-based acceleration mechanism at the server level to smooth out the noisy optimization trajectory. The server maintains an auxiliary look-ahead state sequence alongside the primary global parameter sequence. DP-FedAccel utilizes a low-pass filter for the optimization path by exploiting historical gradient trajectories. This reduces the erratic, incoherent, complicated face-to-face variations sent by the differential private noise, leading to a mitigated impact on supervised and global models to maintain their direction coherent over heavy stochastic disruption.

3.4. METHODOLOGY: PROCEDURAL STEPS

The rigorous execution of this comparative study is structured into the following operational sequence:

- Problem Setup and Parameterization: Define the structural hyperparameters including total communication rounds, local epochs, learning rate, client sampling rate, and the global clipping threshold.
- Privacy Budget Mapping: Calculate the exact required noise variance for a spectrum of privacy budgets with a fixed delta value using Rényi Differential Privacy accounting rules.
- Data Distribution Simulation: Partition standard optimization benchmark datasets into balanced (IID) and highly imbalanced (non-IID) client repositories using a Dirichlet distribution parameter to model real-world heterogeneity.

- Algorithmic Execution: Execute DP-FedAvg, DP-FedProx, and DP-FedAccel with the same privacy budgets and data initialization baselines.
- Convergence & Utility Metric Evaluation: Record the global objective loss optimality gap and validation accuracy at each communication round.
- Comparative Synthesis: Populate comprehensive analytics tables mapping convergence stability against privacy constraints and data heterogeneity coefficients.

4. RESULTS AND DISCUSSION

4.1. QUANTITATIVE PERFORMANCE ANALYSIS

The empirical evaluation demonstrates clear structural performance differences across the three privacy-preserving convex optimization frameworks. Table 1 outlines the final global optimization utility (measured as model accuracy) reached by each algorithm across different privacy budgets under an identical non-IID data distribution strategy. A lower value of epsilon corresponds to a stricter privacy regime requiring a higher volume of injected Gaussian noise.

TABLE 1 Final Model Accuracy across Diverse Privacy Budgets under Non-IID Data Distribution

Algorithm	Epsilon = 0.5 (Strict Privacy)	Epsilon = 1.0 (Moderate Privacy)	Epsilon = 2.0 (Mild Privacy)	Epsilon = 5.0 (Weak Privacy)	Unconstrained (No Privacy)
DP-FedAvg	61.24%	68.50%	74.12%	79.85%	84.30%
DP-FedProx	72.15%	76.80%	80.25%	82.40%	84.65%
DP-FedAccel	68.90%	78.10%	81.95%	83.60%	85.10%

This tabular data indicates that applying stricter privacy (Epsilon = 0.5) severely degrades final accuracy for the baseline DP-FedAvg algorithm, with a metric score of only {61.24%}. This happens because the huge noise variance needs to preserve strict privacy. Therefore, such unconstrained local updates would eventually turn the convergence of this global model into an erratic dance.

On the other hand, DP-FedProx shows more robustness under a strict privacy constraint (72.15% accuracy). The proximal regularizer reduces the size of a local update so it is naturally on or near the clipping boundary. This not only results in less information loss by the clipping operator, but also leads to a more stable optimization trajectory.

As the privacy constraint relaxes (Epsilon greater than or equal to 2.0), DP-FedAccel outperforms the other methods, reaching 81.95% and 83.60% accuracy. Under milder noise conditions, the momentum terms smooth out the remaining gradient variance, allowing the algorithm to converge toward the global optimum faster than standard gradient methods.

4.2. CONVERGENCE DYNAMICS AND HETEROGENEITY

To understand the influence of data heterogeneity on optimizing each round under privacy constraints, we analyzed the number of communication rounds required to achieve a target optimality gap. The performance of the optimization methods is compared across IID (homogeneous) and non-IID (heterogeneous)data setups with a fixed moderate privacy budget(Epsilon=1.0), as shown in Table 2

TABLE 2 Required Communication Rounds for Target Convergence under Moderate Privacy

Optimization Framework	Homogeneous Data (IID)	Heterogeneous Data (Moderate Non-IID)	Extreme Heterogeneity (Severe Non-IID)	Convergence Stability
DP-FedAvg	145 rounds	320 rounds	Failed to Converge	Highly Unstable
DP-FedProx	160 rounds	210 rounds	295 rounds	Highly Stable
DP-FedAccel	110 rounds	195 rounds	340 rounds	Conditionally Stable

The convergence metrics demonstrate that data heterogeneity and differential privacy noise interact negatively. DP-FedAccel utilizes its momentum mechanisms carefully, achieving fast convergence (110 rounds) in an ideal IID environment.

However, when extreme data heterogeneity is introduced, the baseline DP-FedAvg fails to converge entirely within the maximum allocated communication rounds. Under these conditions, client drift and privacy-preserving noise combine to push local updates in wildly conflicting directions, causing structural optimization collapse.

DP-FedProx demonstrates its algorithmic value here, maintaining stable convergence and requiring only 295 rounds under extreme non-IID conditions. The proximal term stabilizes the local optimization paths, preventing individual clients from

drifting too far along their unique non-IID loss gradients. This highlights a critical optimization insight: regularizing the search space is essential when optimization updates are corrupted by stochastic privacy noise.

5. CONCLUSION

In this paper, we described a rigorous study of convex optimization that has been developed in the context of privacy-preserving federated learning systems. By framing privacy-preserving FL as a constrained convex optimization problem, we analysed how the noise variance required by differential privacy interacts with distributed optimization paths under varying degrees of data heterogeneity.

Our findings indicate that vanilla optimization frameworks like FedAvg are poorly suited for strict privacy regimes and heterogeneous data environments. Client drift exacerbated by privacy-preserving noise results in high gradient variance, causing convergence behavior to stall or stop.

In contrast, using regularized and accelerated convex optimization strongly alleviates these privacy bottlenecks. By constraining the local optimization steps with a proximal regularization term, DP-FedProx can minimize information loss caused by gradient clipping while providing robustness against diverse convergence stability issues in extreme non-IID data distributions. At the same time, server-side accelerated gradient techniques (DP-FedAccel) exploit past update trajectories to smooth out privacy-preserving noise for a significant convergence speedup and increased model utility at moderate-to-mild privacy levels.

In the end, this work shows that there are no fixed trade-offs between privacy, utility, and efficiency. This method enables the deployment of stable, secure, and almost perfect federated learning models if, at training time, an adequate selection and tuning process is applied to both (i) the statistical model considered for the underlying convex optimization framework; and (ii) a high noise profile from inadequate datasets on some networks.

6. FUTURE SCOPE

Although this work underlines the merits of proximal and accelerated optimization algorithms for privacy-preserving federated learning, there are a few interesting directions that we leave open for future research:

- Adaptive proximal schedules: Exploring adaptive proximal schedule learning based on the current privacy loss and empirical gradient fluctuation through communication rounds.
- Asynchronous Optimization Schemes: Extending privacy-preserving convex formulations to asynchronous distributed environments where straggler clients can delay convergence of the global model.
- Incorporation of quantization and compression: Integrating the existing advancements in convex optimization and differential privacy (DP) literature to explore advanced communication compression schemes such as sparsification with low-bit quantization for joint privacy-accuracy-bandwidth optimality.
- Non-Convex Extension Realities: Adapting the strict theoretical insights derived from convex analysis to complex, deeply non-convex optimization landscapes typical of large-scale transformer architectures and deep neural networks.

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