

# ITR: Detection and Localization of Anomalous Network Behavior

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February 21, 2002

## **1 Summary**

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Today's private and public communications networks are critical systems of data terminals, routers, and sensors which provide the backbone of our information society. The focus of this grant proposal is to detect and localize anomalous behavior in large heterogeneous data networks. The sheer size and complexity of our critical networks makes this problem extremely challenging. However, a solution to this problem will be essential for detecting anomalous traffic patterns and mitigating potentially debilitating congestion or attacks. We propose to develop and implement efficient network probing strategies and a powerful new class of traffic flow models. This will lead to improved off-line and on-line algorithms for identifying anomalous/malicious behavior, for implementing dynamic routing and flow control for congestion, for network provisioning, and for remote monitoring and service verification. Our approach is a potent combination of emerging techniques in signal processing, networking, discrete events, and stochastic optimization including: novel probing methods to perform network measurement and tomography from multiple sites; distributed data compression of collected statistics; and decentralized change detection using a hybrid dynamical model for changes in network traffic and transport characteristics.

Crucial to detecting anomalous changes in aggregate behavior of networks is our ability to determine traffic flow statistics throughout the network and to characterize what constitutes a significant change in flow patterns. This requires measurements of internal link traffic and a reliable dynamical model to establish a baseline against which to test for anomalous traffic variations. However, the largely unregulated structure of networks makes it impractical for every router and terminal to cooperate in collecting and forwarding local traffic statistics. Furthermore, even if massive amounts of link data could be collected, data-analysis and model-identification presents difficult problems of large scale computation and statistical validation. Our team proposes an innovative and comprehensive approach to this problem in which we will use network tomography to identify and predict internal traffic behavior patterns based on measurements from a few nodes, called edge nodes, of the network. This identification and prediction will be based on a multivariate spatio-temporal traffic flow model which will be used to capture microscopic behavior of the network. This flow model will be coupled to a higher-level dynamical discrete event system (DES) model that will be used to capture macroscopic network behavior. DES models have been recently applied to network fault detection and isolation, but this is the first time that these models are being proposed together with spatio-temporal models as part of an integrated and comprehensive framework for detection of anomalous traffic behavior in large-scale networks.

This project will involve both college and precollege students. The intellectual output of our research will be transitioned to undergraduate and graduate courses in networks and network security currently on the books or being developed. Students in these courses will participate in data collection, software development, and data analysis as part of instructional lab projects. We will also create a summer internship program for qualified high school and middle school students. These students will participate in various educational and recreational signal processing and networking activities which we will organize. An educational innovation of our project is the development of an isolated networked environment at Rice and Michigan for emulation of attacks. A yearly summer competition will pit Rice students against Michigan students in a contest for most effective attacks on and defenses of their respective subnetworks. This laboratory will serve dual purposes: 1) an exciting environment for learning about network security; and 2) a testbed for student generated attack scenarios to be used for our research.

Several important applications will be considered including: verification of evolutionary models of distributed denial-of-service (DDoS) attacks; development of a large scale heterogeneous network simulation tool; real-time detection/localization of congestion and queuing delays; bilateral (supply/demand) verification of service; remote detection of ephemeral network disruptions, e.g. due to link failures, spoofing or DDoS, and anomaly detection in multimedia surveillance networks. Our methodology and algorithms will be validated by simulations on portions of the Internet, on a small network dedicated to this project, and on a large isolated network at the NASA Johnson Space Center.

## 1. Proposal Overview

We are a multi-disciplinary team of researchers in the fields of adaptive signal processing, network traffic measurement and modeling, network topology characterization, discrete event systems (DES), multivariate statistics, tomography, distributed computing, network performance analysis and content delivery, network security, and stochastic control. We propose to investigate techniques and develop a methodology for rapid detection and localization of the onset of spatio-temporal changes in global network traffic which can be used for predicting distributed attacks and other disruptions before they fully evolve and cause damage. Remote detection and localization of anomalous internal traffic patterns in heterogeneous networks require the synthesis of accurate *temporally and spatially* dependent traffic models, inference of characteristics of internal links that transport the traffic, and measurements that can be acquired with minimal overhead on computation and communication. Quickly detecting and localizing such changes from measurements of a few cooperating nodes is an extremely challenging problem that requires a large scale effort and new approaches. Our approach is a broad, systematic and integrated strategy of modeling and measurement that has the following features:

1. Integration of a discrete event system model and a spatio-temporal traffic model for classification of detectable sequences of changes in network transport characteristics.
2. Development of multi-channel traffic models which incorporate physical layer information, account for short-range and long-range spatio-temporal dynamics across the network, and can be identified in real-time from incomplete measurements.
3. A flexible combination of passive measurements and active probing network tomography methods for two stage detection of changes in internal traffic patterns and link statistics.
4. Application of centralized and decentralized detection algorithms to the above models to tracking changes in network connectivity, changes in loss and delay distributions, changes in traffic correlation patterns, and other potential anomalies.
5. Experimental validation with real multivariate data traces from selected sites on the Internet and from the large private network at NASA JSC (Letter of support will accompany full proposal).
6. Creation of software tools for multi-layer dynamic visualization of changes in network connectivity, delay and loss rates, and traffic.
7. Development of an instructional laboratory on network security using an isolated IP network of terminals running the visualization software to teach students about security through a multiterminal computer game. In this game students will match wits against each other on developing and mitigating attack strategies. Data traces will be collected and used as test scenarios for our research.

This project differs from previous “Internet Mapping” projects that focus on mapping a large portion of the Internet core or on mapping performance metrics throughout the network. Here we depart from this line of thinking. Instead of globally mapping the Internet, we focus on rapidly detecting and localizing anomalous performance or traffic behavior. This is a move from the conventional estimation/mapping approach to a detection-theoretic approach utilizing finely tuned traffic models.

The research project will likely result in major advances: 1) a fuller understanding of the limitations of network inference methods for detecting and localizing potentially debilitating attacks and link failures; 2) an integrated and flexible multiple time series model relating traffic measurements at a few monitoring sites to internal traffic and link behavior; 3) scalable decentralized algorithms for detecting emerging attack patterns from edge-node measurements; 4) a software tool for topology generation,

visualization, and simulation which incorporates an accurate spatio-temporal model of the network; 5) instruction of high school interns and undergraduates on computer security through a fun computer game which will serve to both generate data for validating our models and generating new patterns of attack and mitigation. An added benefit will be multi-disciplinary training of graduate and undergraduate students in Signal Processing, Networking, Statistics, Discrete Event Systems, Optimization, and Software.

## 2. Research Approach

The research approach in this proposal represents a dramatic departure from existing activities in traffic analysis and network monitoring. We will combine novel and flexible multiple stream traffic models, adaptable information gathering strategies, and decentralized diagnostic algorithms to detect and localize abnormal network behavior. Figure 1 encapsulates our approach for the case of a single data collection site.

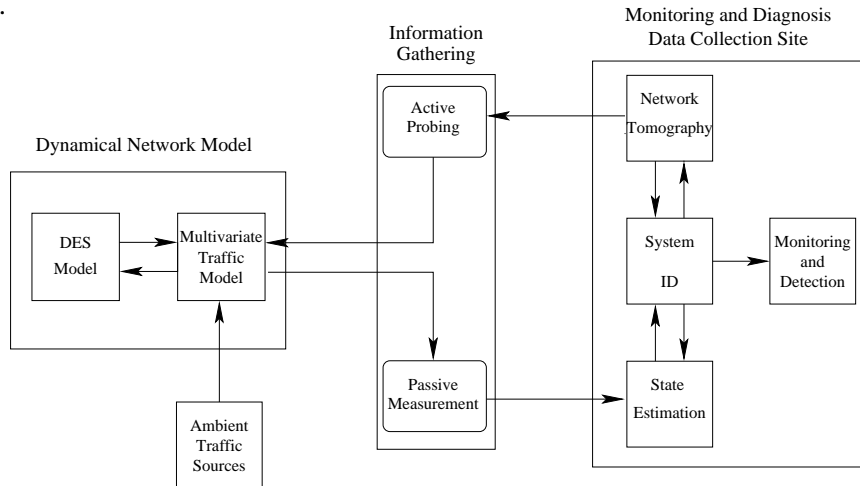


Figure 1: *Block diagram of our approach for a single collection site.*

To capture traffic flow dynamics a multivariate spatio-temporal time series traffic model is combined with a discrete event system (DES) model (module at left of diagram). The time series model captures microscopic (fast) behavior of the network while the DES model captures its macroscopic (slower) behavior. This powerful combination of models allows us to decouple packet level behavior from network transport level behavior to quickly zero-in on a wide range of spatio-temporal anomalies in the network. Traffic measurements are collected and integrated from a few monitoring sites (nodes of the network) using a combination of ambient traffic measurement and network tomography with active probes (module in middle of diagram). Based on these measurements detectable changes in macroscopic behavior of the network will be performed by estimating the states of the DES model (module at right of diagram). This will be accomplished in two stages: 1) estimation of microscopic traffic parameters using the multivariate spatio-temporal traffic models; and 2) use of these estimates to identify states of the DES model. The information gathering configuration may be adapted as evidence of an anomaly emerges by more intensive probing or by switching to alternative measurement sites in order to focus on suspected sections of the network.

The above describes our research approach to detecting anomalous behavior using a single collection site. Since networks are inherently informationally decentralized systems we will consider multiple collection sites and we will investigate issues of communication and coordination among sites for real-time decentralized detection and localization of abnormal behavior. However, due to space limitations, in the remainder of the white paper we restrict discussion to our basic strategy for centralized processing at a single data collection site. Below we discuss in more detail the modeling and data processing methodologies and their applications.

### **3. Modeling Strategy**

**Multivariate Time-Series Traffic Models:** Given a particular configuration of the network, the flow of packets through the network generates traffic which we characterize by a network of coupled multivariate time series models. These spatio-temporal traffic models capture the fast dynamics of local traffic flows as related to flows of traffic elsewhere in the network and exogenous inputs due to probing and ambient traffic sources. The parameters of the traffic model change according to the slower state transitions of the network which are determined by the DES model which (see description below). While we will investigate several classes of multivariate time series models including multiscale and multifractal traffic models [16], our focus will be on fractional autoregressive integrated moving average (FARIMA) models. Like multiscale models FARIMA models been shown to reliably capture both the long term dependency as well as short range dependency of single stream IP traffic flows [3, 13]. However several factors favor the FARIMA model for this application: 1) our research can leverage on the large body of research on identification of ARIMA models developed over the past 50 years; 2) decentralized and multivariate extensions of recursive FARIMA model identification algorithms appears to be more straightforward; 3) as FARIMA models are defined explicitly as temporal state recursions, they would appear naturally suited to detecting transient disruptions; 4) causal and time recursive state and parameter estimation algorithms are more easily developed.

To refine the multivariate traffic model and improve parameter identification performance we will explicitly account for any known physical traffic or transport characteristics. For example, *a priori* terminal-type information can help determine the appropriate traffic source models to use in the system identification algorithm. As another example, some of our most critical networks incorporate wireless components, e.g. the Airphone network or the police-band wireless data network. The effects of fading in the channel, co-channel interference, and transmitter modulation type provide characteristic signatures for these links which impact the structure of the packet loss, delay and link bandwidth distributions.

**Discrete-Event Models of Network Behavior:** We propose to use logical and stochastic DES models that will work in tandem with the multivariate spatio-temporal traffic models described above for the detection of component failures, attacks, and other anomalies in the network. The DES models will capture the network traffic behavior at a higher level of abstraction and on a different time scale than the spatio-temporal models. The events that will drive the DES models will comprise “observable” events that will be obtained by aggregating, quantizing, and filtering key variables from the spatio-temporal models as well as “unobservable” events that will capture special changes of the state of the overall network, possibly due to anomalies or attacks, that are not directly measured nor captured by the spatio-temporal models. The DES models, together with the sequences of observable events that will drive them online, will then be used to infer about the occurrence of the unobservable events and thus detect, if any, various anomalies in the behavior of the network.

The theoretical foundations for the task of discrete-event model-based inferencing lie in the failure diagnosis methodology for logical DES developed in our prior investigations [17, 10]. In fact, these works have been a major source of inspiration for related approaches for network fault detection and isolation in wireless LANs [9] and large-scale telecommunication networks [1, 14]. The methodology in [17, 10] will have to be significantly enhanced in order to address the objectives of this proposal. These enhancements include: (i) incorporation of nondeterministic and stochastic features in order to appropriately couple, in a hierarchical manner, the DES models with the spatio-temporal models; (ii) development of modular and decentralized algorithmic implementations in order to address the scalability requirement; and (iii) incorporation of event-driven models of DDoS and spoofing attacks and development of distributed and asynchronous algorithms for the detection of such attacks.

### **3. Data Processing Strategy**

**Anomalous Event Detection:** The end goal is to perform event detection in real time by identifying anomalous sequences of state transitions in the DES network model and anomalous parameters of the multivariate time series traffic model. The detection of anomalous events from edge-measurements will consist of two steps: 1) estimation of a baseline of normal activity; and 2) detection and localization in time and space of deviations from the baseline. First we associate different labels, describing the “status” of an underlying subnetwork (e.g. normal, congested, under attack, etc.), with different sets of estimated DES states and traffic model parameters. Then system identification algorithms will be developed for classification of baseline states of the DES. Finally, sequential change point detection algorithms will be specified to detect deviations from the baseline as quickly as possible and with a prescribed false alarm rate. We will investigate both centralized methods, where all monitoring sites relay all information to a central collection site for processing, and decentralized methods, where clusters of data collection sites only exchange limited amounts of information. Previously developed centralized [19, 2, 12] and decentralized [20, 15, 8] sequential change point detection algorithms are inapplicable to our network model. We will investigate fully Bayesian decentralized detection methods using the sequential Monte Carlo Markov Chain framework such as that used in [6]. The focus will be on detection of the occurrence of a change point in traffic flows with penalties on the false signal rate and the temporal spatial localization error.

**Network Inference and Tomography:** Measurements from only a few distributed nodes will be used to do change point detection, localization, and model identification as discussed above. These measurements will be composed of a mix of ambient traffic measurements and active probe measurements. This gives our system the flexibility of nominally monitoring only a few ambient flows for anomalies while bringing in more intrusive methods of active tomography only when these nominal measurements lead one to suspect that some significant deviation from baseline has occurred. Several members of our team have shown that unicast active probing can provide accurate estimates of link delay and loss characteristics from a few edge measurements without any special cooperation of routers in the network [4, 5, 18, 7]. Recently these methods have been extended to cases where traffic patterns may be changing over the probing period [6]. The challenge will be to integrate tomography methods into the multivariate time series and DES modeling framework that we propose. Since these models introduce structured temporal and spatial dependencies into delay and loss statistics we must account for these in the tomographic reconstruction algorithm.

#### **4. Applications**

Several applications will be considered (see Project Summary) but due to space limitations we describe only one here. A major current focus in networking research is to address the threat of distributed denial of service (DDoS) attacks. A large fraction of DARPA’s Fault Tolerant Networking funded projects and commercial products from both established companies, such as Cisco Systems, and a flock of startup companies, such as Arbor Networks, Asta, Mazu, Reactive, etc. are proposing deployment of Internet-wide infrastructure to combat DDoS attacks. To a large extent, all these approaches rely on distributed traffic correlation capabilities to detect anomalies. The basic architecture proposed invariably involves distributed monitors, some form of distributed traffic correlators fed by these monitors, and installation of traffic filters on detection of traffic anomalies. The research issues in building such an architecture include: How to detect attacks with minimal false positives? How to mitigate the attacks? And how to do both in a scalable and timely manner? The contributions of this project to combating DDoS are three fold:

- 1) The novel joint application of multivariate time series and DES models for fast change point detection in traffic behavior. We will evaluate the sensitivity and timeliness of these models in their application to detecting DDoS attacks. Should these models prove useful, they can be retrofitted to any global

infrastructure for combatting DDoS attacks.

- 2) Instead of attempting to minimize false positive in DDoS detection, we are designing an early detection and mitigation mechanism that provides degraded service when DDoS attack is suspected but is otherwise more forgiving to false positives. The main idea is to detect DDoS attack not based on global traffic patterns but on traffic destinations' service characteristics. The proposed mechanism will employ the change-point detection models to make local DDoS mitigation decisions based only on locally available information. To tolerate a high rate of false positives, the mitigation mechanism will first *delay* traffic towards selected destinations, dropping them only when necessary. We will investigate the effectiveness of such local decisions in destroying the global correlation of a DDoS attack. At the minimum, such mechanism may allow more time for a global DDoS detection and mitigation mechanism to react.
- 3) Finally, our change-point detection models can be used as a benchmark to verify the effectiveness of DDoS architectures proposed by researchers and companies in the field.

## **5. Impact on Education**

The scope of this effort will provide many opportunities for undergraduate and graduate students to be involved in research. We also plan to include precollege students in this project through a summer internship program with private and public schools in Houston and Metro Detroit.

We are committed to making an impact on education for which we propose the following.

1. College students will be involved in developing a software tool for visualization of parameters in the spatio-temporal model and connectivity from the network tomography software.
2. A summer internship program will be developed to expose high school students to the areas of computer security and signal processing. This program will be coordinated with the existing high school program called Camp CAEN (Computer Aided Engineering Network) at UM.
3. One of the co-PIs has developed a random topology generator called Inet [11] that has been used by researchers in the networking field to generate realistic inter-domain topologies of the Internet. College students will be involved in testing out our anomaly detection algorithms on simulated networks.
4. We will develop a networking laboratory at Rice and UM which will serve the dual purpose of educating students in network security and providing data traces for our research. For more details on this lab see the budget justification. In this lab students will learn about attack strategies and mitigation (on a scaled down "private" network emulation) and will also generate attack scenarios for testing. A competition will be held between Rice University and University of Michigan during the summer of each year with prizes going to those students who develop the best attack strategy and the best thwarting strategy. Judges will be drawn from the team of co-PI's and collaborators. High school students will also participate in this competition through the summer internship program.
5. Undergraduate students will help acquire and analyze real network data at Rice and UM in the context of classroom instructional laboratories and independent study projects.

The proposed research will also help us improve our curriculum in networking and security. We have recently made senior design a requirement for our degree programs. The proposed research should help us define senior design projects in networking and security courses at the undergraduate level. At the graduate level, co-PI Prakash is planning to teach a pilot course on network security in Winter 2002, which we plan to make a regular course. Intel has recently donated 25 laptops to co-PI Prakash to allow ad hoc networks to be set up for projects related to networking and security graduate curriculum.

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## **5. Management Plan**

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To accomplish the research and education aims of this project requires a *focused large scale and multi-disciplinary effort*. The coordination of co-PI's, collaborators, and students from three colleges (UM, Rice, and McGill), several high schools, and a government agency (NASA Johnson Space Center) requires a tight management plan. Central to this plan will be to channel the activities of individual investigators into broad and productive collaborations that cross traditional boundaries which have separated networking and computer security from signal processing and statistics. To facilitate and enhance such collaborations all supported students will have at least two co-PI's in their thesis committees and supported UM students will be co-supervised. In addition, we will develop and team-teach courses combining trusted computing, signal processing, and network security. Furthermore, the focus on real networking problems and solutions provided by our non-academic collaborators at NASA and elsewhere will be used to integrate these diverse research activities.

**Team Management:** The first year we will have a face-to-face kick off meeting involving all co-PI's and collaborators. Industry and government representatives will be invited to attend this meeting. In addition to these larger meetings there will be several meetings over each year of the project. These will include monthly meetings via webcast/videoconference/teleconference to assess progress and explore new ideas for education and research. Several co-PI's will visit Rice to meet with co-PI Rob Nowak and NASA collaborators twice a year to help specify suitable simulations on portions of the NASA network for testing our algorithms. One or two day year-end meetings of all coPI's and collaborator will take place in Ann Arbor. At this meeting co-PI's and collaborators will present previous year's research and education results. Industry and government representatives will be also invited to participate. At these meetings we will set or refine specific goals for the next year.

**Electronic Dissemination:** A website will be created to archive research reports and articles, sample data traces, interactive software, course materials, and announcements. This website will be accessible to the public. We will hire students to create an informative and appealing website with the help of coPI's. A graduate student will be appointed as webmaster for web maintenance and administration.

**Summer Internship Program:** A summer program for high school students will be organized every year. This program will consist of two parts: 1) an intensive two week camp where they will learn about computer networks in a hands on educational and recreational environment; 2) participation in the attack simulation activities, including the UM vs. Rice competition (see Education Section of white paper). We will seek out kids from a variety of backgrounds, including under-represented socio-economic groups in Houston and Detroit, to participate. We will work closely with Camp CAEN (<http://campcaen.engin.umich.edu/>), a computer exploration summer camp at the College of Engineering at UM, to recruit high school students and to develop a network security curriculum.

**Continuing Education:** Every year we will organize a sequence of short courses. The short courses will be run during 4 weeks during the summer session at the University of Michigan and will cover aspects of networking such as security, network tomography, sensor networks, and traffic modeling. These courses will be aimed at networking professionals. The courses will be offered in cooperation with UM's existing summer short course program in order to benefit from existing infrastructure.

**Workshops:** We will organize an annual or biennial workshop on Signal Processing for Networks which will have keynote speakers, special invited sessions, and contributed sessions. As contrasted to the short courses, which are aimed at continuing education of networking professionals, the workshops will be aimed toward the academic community. The workshops will take place over three successive days. They will have a strong education component involving tutorials on network traffic measurement, network security, and network modeling. At each workshop there will be a session on novel classroom teaching methods for lower level signal processing and networking courses. We will also have sessions featuring papers presented by students (undergraduate and precollege) on networking projects completed over the previous year in connection with this grant.

## **Budget Justification**

1. We are including Dr. Mark Coates on this grant as international collaboration. Dr. Coates will start as an Assistant Professor at McGill University in Montréal Canada in Winter 2002. He has been a research collaborator with Profs. Nowak and Hero and his expertise in stochastic optimization using Monte Carlo Markov Chain will be crucial to our research aims. No ITR funds are requested for Dr. Coates. However, if this ITR is funded we will apply for additional funding in the NSF Office of International Programs.
2. Funding for two post-docs are requested for this project. This will provide post-graduate education and specialized research assistance to co-PI's.
3. \$500K is requested for equipment to set up the isolated network environments at Rice and UM to be used for educational of college and precollege students on network security, generate attack scenarios in the context of the summer gaming competition, and serve as a small scale testbed for co-PI's and their graduate students. The networks will consist of two LAN's each consisting of 50-75 PC terminals and routers (both wireless and wired) at Rice and UM. Communications between the LAN's at Rice and UM will be through the Internet using a pair of dedicated DNS servers. More details will be given in the full proposal.
4. \$500K is requested for two full time lab administrators to help develop and maintain the lab environments at Rice and UM over the five years of the grant.
5. \$30K per year is requested to fund the summer internship program for high school students. This will be enough to set up the program each year (recruiting, publicity, etc) and provide scholarships to 20-30 students to attend Camp CAEN from Rice and UM.
6. Given the scope of the educational aims of the project we request \$30K per year for funding undergraduate students to help develop the network laboratory environment, to help develop web tools, and to collect data traces. Supplementary funding for undergraduate research projects will also be requested from NSF if we are funded.