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## Composite Intrusion Detection in Process Control Networks

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# Composite Intrusion Detection in Process Control Networks

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# Abstract

An intrusion detection ensemble, i.e. a set of diverse intrusion detection algorithms employed as a group, has been shown to outperform each one those diverse algorithms employed individually. Moving along this line, we have devised an intrusion detection ensemble that inspects network packets that flow across the process control network of a digitally controlled physical system such as a power plant. Such process control specific intrusion detection ensemble is comprised of a statistical anomaly intrusion detection algorithm called the Estimation-Inspection (EI) algorithm, a physical process aware specification-based approach, a theory of deception for intrusion detection that we call mirage theory, and an alert fusion technique in the form of a Bayesian theory of confirmation. In this research we leverage evolutions of the content of specific locations in the random access memory (RAM) of control systems into means of characterizing the normalcy or abnormality of network traffic. The EI algorithm uses estimation methods from applied statistics and probability theory to estimate normal evolutions of RAM content. The physical process aware specification-based approach defines normal evolutions of RAM content via specifications developed manually through expert knowledge. Mirage theory consistently introduces deceptive evolutions of RAM content, and hence employs communicating finite state machines to detect any deviations caused by malicious network packets. The alert fusion technique also leverages evolutions of RAM content to estimate the degrees to which network traffic normalcy and abnormality hypotheses are confirmed on evidence. In this dissertation we provide a detailed discussion of these intrusion detection algorithms along with a detailed discussion of the alert fusion technique. We also discuss an empirical testing of the proposed intrusion detection ensemble in a small testbed comprised of Linux PC-based control systems that resemble the process

control environment of a power plant; and in the case of the EI algorithm, a probabilistic validation via stochastic activity networks with activity-marking oriented reward structures.

# Contents

Title Page . . . . .	i
Abstract . . . . .	iii
Table of Contents . . . . .	v
List of Tables . . . . .	viii
List of Figures . . . . .	ix
Citations to Published Material . . . . .	xi
Acknowledgments . . . . .	xii
Dedication . . . . .	xiv
<b>1 INTRODUCTION</b>	<b>1</b>
<b>2 BACKGROUND</b>	<b>7</b>
2.1 Digital Control of Physical Processes . . . . .	7
2.1.1 Distributed Control Systems . . . . .	7
2.1.2 Sensors and Actuators . . . . .	9
2.1.3 Programmable Logic Controllers . . . . .	9
2.1.4 ModBus Communication Protocol . . . . .	12
2.2 Computer Network Attacks on Process Control Systems . . . . .	14
2.2.1 Array Overflows . . . . .	15
2.2.2 Buffer Overflows . . . . .	15
2.2.3 Format String Vulnerabilities . . . . .	17
2.2.4 Integer Overflows . . . . .	18
2.2.5 Dangling Pointers . . . . .	19
2.2.6 Control-Application Specific Memory Corruptions . . . . .	20
2.3 Computer Network Attacks on Physical Systems . . . . .	22
2.3.1 Attacks on Physical Equipment . . . . .	22
2.3.2 Attacks on Physical Processes . . . . .	24
2.4 Intrusion Detection . . . . .	24
<b>3 RELATED RESEARCH</b>	<b>26</b>
3.1 Applied Statistics for Intrusion Detection . . . . .	26

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3.2	Developing Specifications of Normal Behavior for Intrusion Detection	33
3.3	Related Research on Applied Deception . . . . .	36
3.4	Other Related Research on Intrusion Detection in Process Control Networks . . . . .	40
3.5	Intrusion Alert Fusion . . . . .	43
<b>4</b>	<b>PROBABILISTIC ESTIMATION OF DATA TRANSITION FLOWS FOR ANOMALY DETECTION</b>	<b>46</b>
4.1	Introduction . . . . .	46
4.2	A Statistical Approach to Anomaly Intrusion Detection . . . . .	48
4.2.1	Mathematical Modeling and Underlying Thesis . . . . .	48
4.2.2	Estimating the Statistical Parameters of Ordinal and Dichotomous Logistic Models . . . . .	53
4.2.3	The Estimation-Inspection Algorithm . . . . .	60
4.2.4	Payload Coverage . . . . .	62
4.3	Discussion on Inductive Machine Learning in a DCS . . . . .	65
4.3.1	Generating the Learning Data Set . . . . .	65
4.3.2	Handling Black Swan Events . . . . .	70
4.4	Probabilistic Validation . . . . .	72
4.4.1	Stochastic Activity Networks with Activity-Marking Oriented Reward Structures . . . . .	75
4.4.2	Construction and Solution of Validation Models based on Stochastic Activity Networks . . . . .	77
<b>5</b>	<b>PROCESS AWARE SPECIFICATION-BASED DETECTION</b>	<b>84</b>
5.1	Introduction . . . . .	84
5.2	Semantic Analysis of Network Traffic . . . . .	86
5.3	Specifications of Control Network Traffic . . . . .	90
5.4	Activity Network Modeling of Detection Specifications . . . . .	92
5.5	Concrete Activity Network Models . . . . .	95
5.5.1	Supervisory Control Specifications . . . . .	95
5.5.2	Automatic Control Specifications . . . . .	104
5.6	Discussion . . . . .	107
<b>6</b>	<b>MIRAGE THEORY FOR DECEPTION-BASED DETECTION</b>	<b>110</b>
6.1	Introduction . . . . .	110
6.2	Conducting Defensive Deception for Intrusion Detection . . . . .	113
6.3	Real-Time Deceptive Event Generation . . . . .	118
6.3.1	Continuous Simulation of Physical Processes and Equipment . . . . .	118
6.3.2	Deceptive Emulation via Network Traffic Mirroring . . . . .	124
6.4	Analysis of Deception Capabilities in Mirage Theory . . . . .	130

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6.4.1	Reconnaissance for a Computer Network Attack on an Electric Motor . . . . .	131
6.4.2	Empirical Quantification of Deception Effects . . . . .	139
<b>7</b>	<b>A BAYESIAN THEORY OF CONFIRMATION FOR INTRUSION REPORT FUSION</b>	<b>145</b>
7.1	Introduction . . . . .	145
7.2	Problem Statement . . . . .	146
7.3	Estimating the Hypothesis-based Probabilities of Evidence . . . . .	151
7.3.1	Developing Incomplete-data Spaces and the Associated Symbolic Analyzers . . . . .	153
7.3.2	Algorithmic Approach . . . . .	156
7.4	Estimating Prior Probabilities of Normalcy and Abnormality . . . . .	162
7.5	Bayesian Comparison of the Normalcy and Abnormality Hypotheses . . . . .	165
<b>8</b>	<b>EXPERIMENTAL EVALUATION</b>	<b>169</b>
8.1	Testbed . . . . .	169
8.2	Test Vulnerabilities and Exploitations . . . . .	170
8.3	Empirical Results . . . . .	171
<b>9</b>	<b>CONCLUSIONS</b>	<b>177</b>
	<b>Bibliography</b>	<b>181</b>



# List of Tables

6.1	A sample of values of physical parameters that characterize the operation of an AC induction motor studied in laboratory settings. . . . .	133
6.2	Excerpt from the data set acquired through ModScan from a target PLC. . . . .	138
6.3	Measurements of the degree of linear association between holding register variables and input register variables that were scanned from the memory of a target PLC. . . . .	138
8.1	The gain in probability of detection in the case the EI algorithm is made subject to detection failure injection. . . . .	173
8.2	The gain in probability of detection in the case the physical process aware specification-based approach is made subject to detection failure injection. . . . .	174
8.3	The gain in probability of detection in the case mirage theory is made subject to detection failure injection. . . . .	174
8.4	The gain in false alarms rate in the case the EI algorithm is made subject to detection failure injection. . . . .	175
8.5	The gain in false alarms rate in the case the physical process aware specification-based approach is made subject to detection failure injection. . . . .	175
8.6	The gain in false alarms rate in the case mirage theory is made subject to detection failure injection. . . . .	176

# List of Figures

2.1	Typical architecture of a Distributed Control System. . . . .	8
2.2	Organization of a typical Programmable Logic Controller. . . . .	10
2.3	Organization of an attack packet payload that exploits faulty mappings in ModBus applications. . . . .	22
4.1	Typical architecture of a SAN model developed for testing a set of stochastic vectors produced by a probability mass function. . . . .	82
5.1	Schematic representation of the application of process-aware intrusion detection specifications. . . . .	87
5.2	Schematic diagram of supervised thermal power increase via network packets that withdraw control rods. . . . .	98
5.3	Excerpt from an activity network model that checks whether defined network traffic induces high stresses in the walls of the reactor pressure vessel. . . . .	100
5.4	Schematic diagram of an automatic corrective withdrawal of a control rod that is conducted via a network packet in response to the loss of a water pump. . . . .	105
5.5	Excerpt from an activity network model that checks whether a network packet under inspection is the corrective response to the loss of a water pump. . . . .	107
6.1	Boundary between continuous and discrete spaces exploited in mirage theory to camouflage computer simulation or emulation of sensors, actuators, and physical processes. . . . .	115
6.2	A network packet payload that is indicative of the presence of physical equipment and a physical process. . . . .	117
6.3	Excerpt from two communicating finite state machines that model two individual control systems in a process control network. . . . .	121
6.4	Schematic diagram of an emulation of a continuous space via traffic mirroring. . . . .	129

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6.5	Normal density curves for applied voltage frequency $\gamma$ and actual motor rotational speed $\omega$ , left and right respectively, in which the standard deviation of $\gamma$ is 8.46751 and the standard deviation of $\omega$ is 25.40254	135
6.6	Scatter plot and linear regression line for the statistical relation between $\gamma$ and $\omega$ .	137
6.7	POC curves for a PLC that controls a motor-driven water pump, as estimated during a simulated loss of cooling attack.	141
6.8	POC curves that characterize the uncertainty under which adversaries identify the target of a loss of cooling attack in the attack-defense model given in this section.	143
6.9	ROC curve that corresponds to the POC curves of Figure 6.8.	144
7.1	Example of an ACH matrix in the proposed theory of confirmation.	151
7.2	Example of the derivation of an incomplete-data space for a word variable $x_1$ .	155
7.3	Probability tree estimation of prior normalcy and abnormality probabilities.	164

# Citations to Published Material

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J.L. Rrushi, and K. Kang. *CyberRadar: A Regression Analysis Approach to the Identification of Cyber-Physical Mappings in Process Control Systems*. Proceedings of the 3rd ACM/IEEE Workshop on Embedded Systems Security, Atlanta, Georgia, USA, October 2008.

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J.L. Rrushi, and R.H. Campbell. *Using Deception to Facilitate Intrusion Detection in Nuclear Power Plants*. Proceedings of the 3rd International Conference on Information Warfare and Security, Peter Kiewit Institute, University of Nebraska Omaha, USA, April 2008.

C. Bellettini, and J.L. Rrushi. *Low-level Coding Vulnerabilities: Research on Attack, Defense and Evasion*. Handbook of Research on Information Security and Assurance, Jatinder Gupta and Sushil Sharma editors, publisher Idea Group, Inc., Spring 2008.

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*Dedicated to my mother Liliana.*

# Chapter 1

## INTRODUCTION

In this dissertation we discuss a novel process control specific network intrusion detection ensemble for operation in the distributed control system (DCS) of a digitally controlled physical system such as a power plant. A DCS is comprised of application-specific computer devices and networks that are used to monitor and control in real-time a physical system within a defined geographic location [110]. Examples of DCS-controlled physical systems include electric power generation plants, chemical plants, oil refineries, etc.

A DCS is said distributed as the computer devices that form it are distributed throughout a physical system, and thus are connected by communication networks for control and monitoring. Concrete examples of DCS are the Mark VIe and OC 4000, which are provided by General Electric for power plant control. The operation of the proposed intrusion detection ensemble is organized into three loops, namely collection, analysis, and reporting.

In a collection loop the intrusion detection ensemble intercepts network packets as



they flow across a process control network. In an analysis loop the intercepted traffic is analyzed independently by various intrusion detection algorithms, which are a major contribution of this dissertation. In a reporting loop an intrusion report fusion technique analyzes the hypotheses generated in the analysis loop, and hence fuses them into a single composite estimation of legitimacy or intrusiveness.

The intrusion detection ensemble is formed by a statistical intrusion detection algorithm called the Estimation-Inspection (EI) algorithm, a specification-based intrusion detection approach that we call a physical process aware approach, a deception-based intrusion detection approach, and a Bayesian theory of confirmation for intrusion report fusion. We devised this intrusion detection ensemble for detecting unknown computer network attacks on a DCS-controlled physical system. Thus, the intrusion detection algorithms along with the intrusion report fusion technique that we have devised in this research do not assume any knowledge of any internals of the computer network attacks that we aim at detecting.

The intrusion detection ensemble bases the concept of normalcy or abnormality of network traffic on continually changing content of specific memory locations in the random access memory (RAM) of control systems, with the objective of capturing the behavior of an entire cyber-physical system. In this research with cyber-physical system we mean a process control environment such as a DCS integrated with a physical system such as a power plant. Let us argue why in our research we leverage evolutions of the content of specific locations in the RAM of control systems into means of characterizing the normalcy or abnormality of network traffic.

We model as a matrix, say  $W$ , the portions of the RAM of control systems that hold

process measurement data or actuator control data along with set points. We view matrix  $W$  as a conceptual dynamic system whose behavior consists of evolutions of the values of the elements of the matrix  $W$ . Let us define the behavior of a physical process as evolutions of values of physical parameters that characterize that physical process. For example, the parameters that characterize the fission process within a nuclear reactor include neutron population, reactivity, moderator temperature, thermal power, etc.

Measurements of the physical parameters that characterize a physical process are commonly mapped to ordinary program variables stored in the RAM of control systems. Taking into account that these program variables are modeled by specific elements of the matrix  $W$ , the behavior of the physical process becomes part of the behavior of the conceptual dynamic system. Let us define the behavior of a process control network in a DCS as evolutions of specific RAM content caused by network packets that flow over that process control network.

Recall that the payloads of such network packets read from or write into specific locations in the RAM of control systems. These payloads convey set points and actuator control values that are commonly stored in ordinary program variables, which are modeled by specific elements of the matrix  $W$  as well. Therefore the behavior of a process control network also becomes part of the behavior of the conceptual dynamic system. Thus, the matrix  $W$  is where the behavior of physical processes in a physical system and the behavior of a process control network in the associated DCS are conceptually merged.

We conclude that the behavior of the conceptual dynamic system, and hence evo-

lutions of the content of specific locations in the RAM of control systems, capture or represent the behavior of the entire cyber-physical system. We validated the said result empirically through an observational study on an experimental cyber-physical system. This experimental cyber-physical system was formed by some system and network components of a DCS and a limited number of simulated physical components of an advanced boiling water reactor (ABWR) [56, 37].

The observation result is the following: throughout a normal network operation of the aforementioned simulated physical system, the continually changing content of specific memory locations in the RAM of control systems follow specific flows that persist over time. Thus, in our problem domain the challenge of determining the normalcy or abnormality of network traffic takes the form of determining normal and abnormal evolutions of the content of specific locations in the RAM of control systems, respectively.

For a network packet to be classified as normal, its payload should cause a normal evolution of RAM content. The EI algorithm, which is comprised of an estimation part and an inspection part, computes normal evolutions of RAM content via applied statistics and probability theory. The estimation part of the EI algorithm uses logistic regression integrated with maximum likelihood estimation in an inductive machine learning process to estimate a series of statistical parameters, which in conjunction with logistic regression formulae form a probability mass function for each program variable stored in the RAM of a control system.

The inspection part of the EI algorithm uses the afore computed probability mass functions to estimate the normalcy probability of a specific value that a network

packet under inspection is about to write to a program variable. The physical process aware approach is developed manually through expert knowledge, and is comprised of direct specifications of normal evolutions of RAM content. These specifications are derived from rules that regulate the supervisory or automatic network operation of a DCS-controlled physical system.

The deception-based intrusion detection approach introduces deceptive but consistent evolutions of RAM content, and thus uses sequence detectors to check for deviations caused by malicious network packets. The intrusion report fusion technique also leverages evolutions of RAM content. It is a mathematical development of the Heuer's analysis of competing hypotheses (ACH) methodology [47] in the form of a Bayesian theory of confirmation.

In technical terms, the intrusion detection ensemble runs in a dedicated computer cluster. We use network sniffing devices to tap into all of the network segments within a DCS. These devices sniff network traffic, which they send to the intrusion detection ensemble for real-time inspection. The transmission of sniffed traffic from network sniffing devices to the intrusion detection ensemble could be conducted either in-band or out-of-band. Issues related to network traffic collection in real-time lie outside the scope of this research.

In this dissertation we first discuss each one of the intrusion detection approaches individually, and then proceed with a discussion of the intrusion report fusion technique. We then describe an evaluation of the effectiveness of the EI algorithm, the physical process aware approach, and the intrusion report fusion technique. The evaluation of the effectiveness of the deception-based intrusion detection approach is given within

the discussion of this approach itself.

The process control environment, the field devices, and the industrial communication protocol that are used as references in this research are a DCS [110], programmable logic controllers (PLCs) [32, 95], and the ModBus protocol [83], respectively. The physical system that is used as a reference throughout this research is an ABWR. In this dissertation with logical variable we mean a program variable whose values are either measurement data received from logical sensors or control data used to drive logical actuators. Thus, the possible values of logical variables are 0 and 1.

In this dissertation with word variable we mean a program variable whose values are either measurement data received from continuous sensors or control data that are used to drive continuous actuators. The values of word variables are discrete and are normally taken from specific intervals of values, including negative values. In this dissertation the term network traffic is used to refer to network packets that are transmitted over a process control network in a DCS.

# Chapter 2

## BACKGROUND

### 2.1 Digital Control of Physical Processes

#### 2.1.1 Distributed Control Systems

A DCS is used to monitor and control in real-time physical systems within a defined geographic location. A typical DCS architecture as derived from [110] is depicted in Figure 2.1. It is comprised of devices and network segments distributed through various layers, namely a supervisory level, one or more intermediate supervisory levels, and a field level. At a supervisory level system operators use human-machine interface (HMI) applications to send requests over a control network to control servers. Those requests require that the receiving device supplies process data, or that it propagates process set points down to lower levels.

A control server in turn requests process data from, or sends process set points to, subordinate control servers at intermediate supervisory levels. Control servers at the

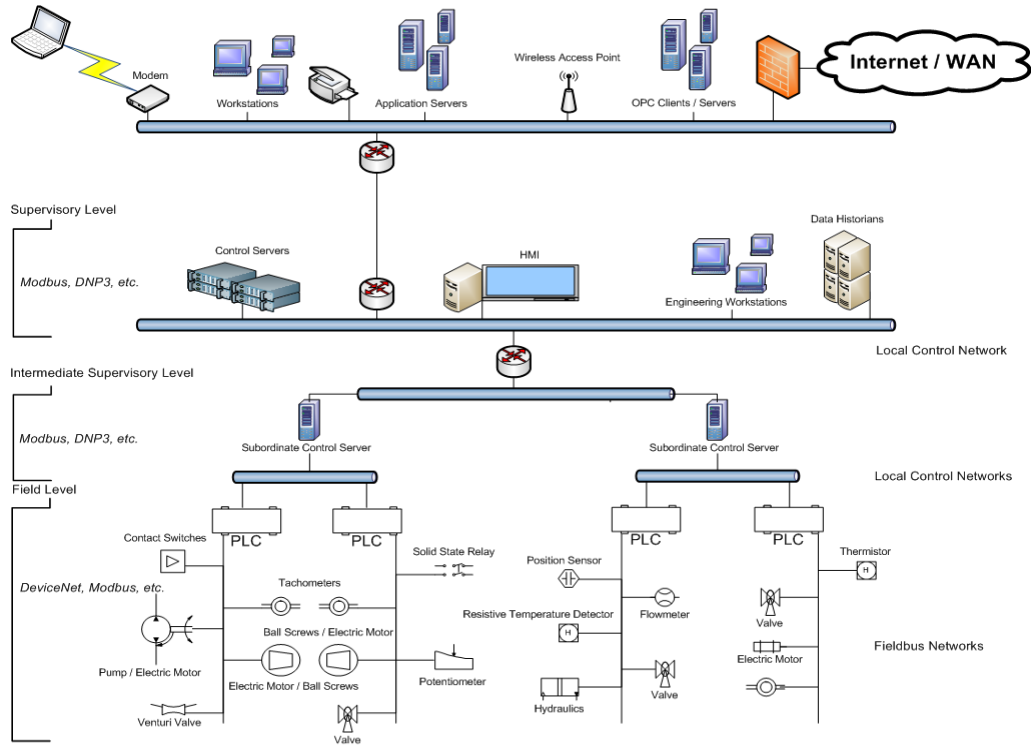


Figure 2.1: Typical architecture of a Distributed Control System.

lowest intermediate level poll for data or send process set points to edge control systems, i.e. field level devices such as PLCs, which receive input from sensors and send output by generating electrical signals in order to drive actuators. An edge control system may communicate with digital sensors or actuators over a network that is referred to as fieldbus.

Communications over control networks are conducted via protocols such as Modbus [83], Fieldbus [10], Distributed Network Protocol v3 (DNP3) [29], etc., while fieldbus communications are conducted via protocols such as DeviceNet [98] or Modbus. In this dissertation we refer to control networks at various supervisory levels along with fieldbus networks as a process control network.

### 2.1.2 Sensors and Actuators

A sensor is a device that measures physical phenomena and converts the measured value into an electrical signal. Sensors are categorized into logical and continuous. Logical sensors can only detect a process state that is either true or false. They report the detected state by turning a voltage or current on or off. Continuous sensors can measure a process parameter that takes continuous values. They report via generation of voltages or currents that are proportional to the measured value.

An actuator is a mechanical device that converts electrical energy into mechanical motion. Actuators are categorized into logical and continuous as well. Logical actuators allow a physical equipment to position or adjust outputs over two values, i.e. usually open and closed, while continuous actuators do so over specific ranges of values.

### 2.1.3 Programmable Logic Controllers

The internal design of a typical PLC follows a von Neumann architecture, and is depicted in Figure 2.2 along with I/O modules that enable a PLC to receive input from, and send output to physical processes usually through electrical signals. In the actual context with input we mean measurements of physical process variables, such as for example the temperature in a closed container, while with output we mean generation of motion via equipment that changes process variables, such as for example opening a valve to increase the water level in a tank.

Input is received from sensors, i.e. devices embedded in physical infrastructures that translate physical phenomena into electrical signals. Output is sent by generating



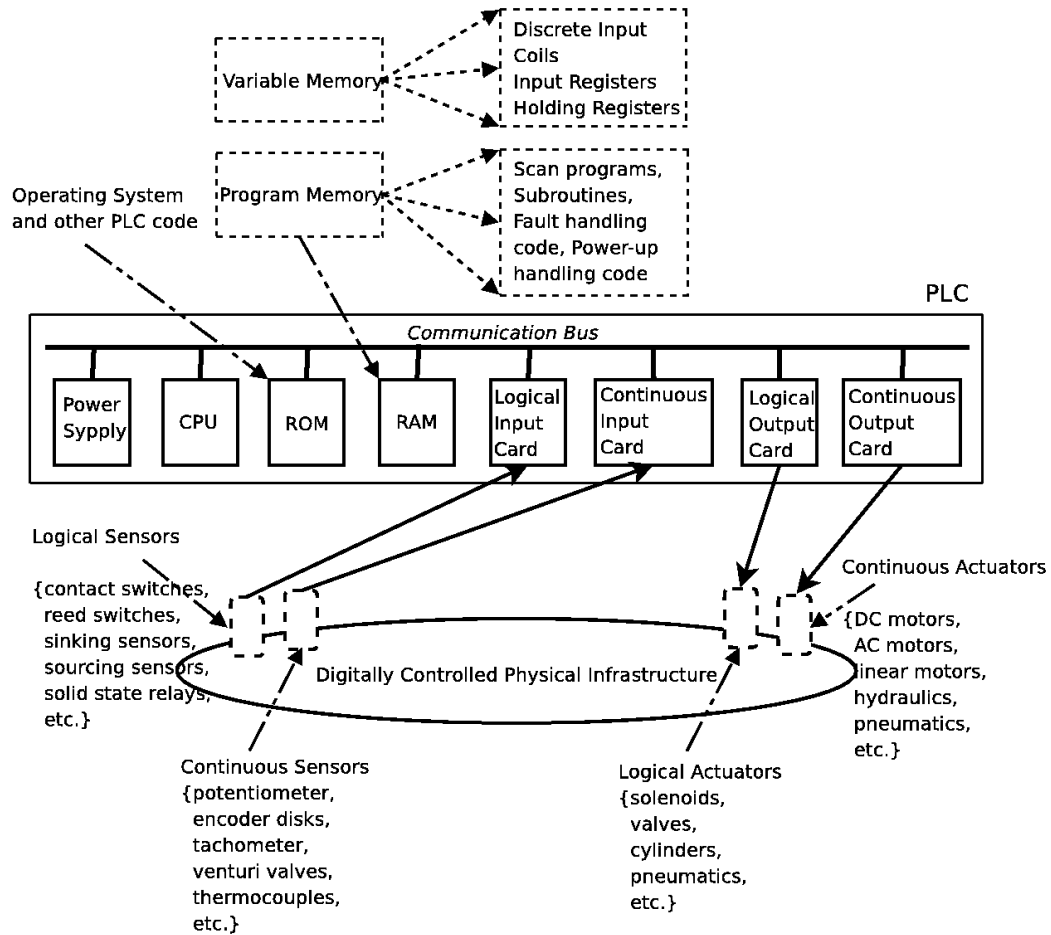


Figure 2.2: Organization of a typical Programmable Logic Controller.

electrical signals in order to drive actuators, i.e. devices that transform electrical energy into mechanical energy usually as motion. The input cards and the output cards of a PLC are connected through wiring to sensors and actuators, respectively. Some PLCs, in particular those produced in the recent years, may also communicate with sensors and actuators via a communication network referred to as fieldbus according to industrial communication protocols such as DeviceNet [98]. Figure 2.2 depicts also logical and continuous sensors and actuators.

Voltage values that are generated by continuous sensors are referred to as analog data, and are to be converted into a digital form before being processed by a PLC. Voltage values are periodically sampled, and once acquired are processed via defined equations that convert them into numerical values [26]. Similarly, numerical values that a PLC sends to continuous actuators are to be converted into an analog form, i.e. voltage values, via specific digital-to-analog conversion equations before having these continuous actuators be subject to them.

The logic of how a PLC should monitor and control a physical process is encoded into computer code referred to as logic solving scan programs, possibly following principles of control theory. Control theory is a discipline based on engineering and applied mathematics that deals with optimal control of the behavior of dynamic systems [14, 91].

At run time logic solving scan programs, input scan programs, i.e. programs that read input values, output scan programs, i.e. programs that write output values, and other PLC programs such as fault handling programs, power-up handling programs, etc., are stored in a part of RAM referred to as program memory, as opposed to that part of RAM identified as variable memory that is dedicated to storage of computation, input, and output data Figure 2.2.

Logic solving scan programs are usually written in one or more programming languages of the IEC-61131-3 industrial standard [57], namely ladder diagram language, function block diagram language, structured text language, instruction list language, and sequential function chart language. The C and C++ languages are also commonly used to program PLCs. A PLC operates by periodically executing a defined

sequence of scan programs known as a control loop. In common PLCs control loops are comprised of four stages, and are executed a large number of times each second. In the first stage a PLC executes code that checks the hardware and software of the PLC itself for faults. If no faults are detected, the PLC proceeds with the second stage in which it executes input scan programs. These programs read input data from the logical and continuous input cards, respectively, and copy these data in RAM variable memory. The memory locations in which logical and continuous input and output values are stored are preliminarily designated.

In the third stage the PLC executes logic solving scan programs that process input data previously received from sensors and stored in RAM variable memory, and produce output data that they store also in RAM variable memory in their corresponding designated locations. In the last stage the PLC propagates logical and continuous output values from RAM variable memory into logical and continuous actuators, respectively.

#### **2.1.4 ModBus Communication Protocol**

ModBus is an application layer messaging protocol that enables control systems to communicate with each other in a client-server configuration within possibly different types of buses and networks [83]. The ModBus data model defines four categories of variables that hold I/O values. Discrete input variables are read only single-bit data provided by logical sensors. Coil variables are read and write single-bit data provided by, or destined for, logical sensors and logical actuators, respectively.

Input register variables are read only 16-bit data provided by continuous sensors.

Holding register variables are read and write 16-bit data provided by, or destined for, continuous sensors and continuous actuators, respectively. ModBus defines its own addressing model in which each one of the variables of those four categories is assigned an address from 0 to 65535. Modbus applications maintain a mapping between addresses of variables as defined by the ModBus addressing model and addresses of locations in RAM variable memory where these variables are stored.

The said mapping is vendor specific. A ModBus protocol data unit (PDU), i.e. a network packet payload that conveys information that a sending device wants a receiving device to process, is comprised of two fields, namely a function code and data. Function codes indicate an operation on ModBus variables, such as write single register, read coils, etc. Function codes are encoded in one byte and their valid values lie in the 1 to 255 range in decimal representation.

The data field in a PDU that is sent from a client to a server contains additional information such as ModBus addresses, the number of variables that are to be handled, or the number of bytes in the network packet payload. Server devices need this information to carry out a task specified by the associated function code. Nevertheless, in some specific requests a function code alone is sufficient for a server device to perform the required task, therefore in these requests the data field is of zero length.

The data field in a response PDU sent from a server to a client contains the data that the client had preliminarily requested via a request PDU.

For example, if a master computer, say A, controlled by human operators needs to acquire the values of four discrete input variables generated by logical sensors and stored contiguously in the RAM variable memory of a PLC, say B, then A sends to

B a request PDU in which it specifies a function code of  $0x02$ , which according to the protocol specification stands for read discrete input, a starting address in the  $0x0000$  to  $0xFFFF$  range, which in this example will be the address of the first discrete input variable that is being asked to be read, and the number of discrete input variables that A is asking to read, namely four in this example.

In a regular transaction device B will derive from the function code the action to perform, namely read discrete input, will use the starting address and the number of discrete input variables that A is asking to read for the purpose of determining the address of each one of these discrete input variables, will read their values from RAM variable memory and will place them in the data field of a response PDU, which it then sends to device A. In the ModBus addressing model coil variables are addressed starting from zero. Thus, the address of the first coil is  $0$ , the address of the second coil is  $1$ , and so on. In ModBus the output value  $0x0000$  requests the coil to be  $0$  (off), while the output value  $0xFF00$  requests the coil to be  $1$  (on).

## 2.2 Computer Network Attacks on Process Control Systems

We now discuss attack techniques that exploit low-level coding vulnerabilities, as these attack techniques are applicable to a large number of process control systems in production. Low-level coding vulnerabilities may be defined as programming errors that open the way to an adversary to corrupt the memory of a program. Exploitation of such vulnerabilities generally takes the form of control-data or pure-data attacks.

Control-data attacks corrupt memory management data for the purpose of transferring control to binary code inserted into the address space of a target process, or to existing arbitrary instructions that usually are forced to take adversary supplied data as arguments.

Pure-data attacks [20, 96] are built upon corruption of noncontrol data, i.e., computational data usually held by global or local variables in a computer program. Real-world examples of low-level coding vulnerabilities in process control systems include a buffer overflow in the ABB's PCU400 process communication unit [16], another buffer overflow in the DATAC's RealWin/FlexView HMI [6], and a heap overflow in the GE Fanuc's CIMPLICITY HMI [17].

### 2.2.1 Array Overflows

An array overflow is a programming error that occurs when no range checks are performed on a value that is used to index an array. The danger rises when the said value may be directly or indirectly affected by an adversary, and the array is filled with user-supplied data.

### 2.2.2 Buffer Overflows

A buffer overflow vulnerability is a programming error that allows data to be stored beyond the boundaries of a destination buffer, therefore overwriting adjacent memory locations and possibly further away. Buffer overflows may be caused by instructions that do not perform any bounds checking on a destination buffer when storing data into it. Some functions such as *strcpy()* allow a programmer to explicitly specify

the number of bytes to copy to a destination buffer, but do not null-terminate the destination buffer.

These apparently safe functions may lead to the creation of adjacent not null terminated buffers. Such a situation in conjunction with a vulnerable function may cause an excessive amount of data to be copied to a destination buffer, thus overflowing it. In fact, the intention to copy one of these buffers to a destination buffer may copy the intended buffer along with one or more adjacent buffers causing an overflow of the destination buffer. A stack-based buffer overflow attack in one of its very first forms consists in injecting binary code and overwriting the saved instruction pointer stored on stack with the address of the injected code [3].

If executable memory areas where an adversary could inject binary code is not available or the available buffers are too small to hold the entire injected binary code, the adversary may overwrite the saved instruction pointer on stack with the address of existing instructions. The adversary may specify possible arguments by injecting them on stack along with the corrupting address. A common approach is to overwrite the saved instruction pointer with the address of the *system()* function of the libc dynamic library along with injecting on stack the address of the string that represents a command that an adversary aims at executing on a target system.

This attack technique is referred to as return-into-library [88, 108]. As a result of errors in handling the index of arrays in looping and iteration, a destination buffer may be overflowed by just a few bytes, more commonly by one byte or by five bytes. Although such a buffer overflow is limited, it may be sufficient for an adversary to reach and corrupt the least significant byte of the saved frame pointer in a Little En-

dian architecture, and consequently dictate the address where the operating system pops a saved instruction pointer [73].

Heap overflow attacks [5, 22, 71] are built upon the fact that most of the memory allocator algorithms such as System V in Solaris, Doug Lea's Malloc used by the GNU C Library, RtlHeap in Windows, and so on, store heap management data in band on the heap itself. By overflowing a buffer on heap, an adversary may corrupt such data and consequently force the execution of macros such as `unlink` or `frontlink` and make them use corrupted values in both sides of various assignments. This enables an adversary to write arbitrary values to memory locations of his choice. In an indirect pointer overwrite [15], an adversary overflows a buffer to overwrite a data pointer in which adversary supplied data is to be written.

The adversary makes such a pointer point to a memory address where control data or sensitive pure data are stored. When the corrupted data pointer is dereferenced, adversary supplied data overwrite the aforementioned control data or sensitive pure data. Similarly, through a buffer overflow an adversary may overwrite function pointers with the address of injected binary code.

### 2.2.3 Format String Vulnerabilities

A format string vulnerability is a programming error that allows an adversary to specify the format string to a format function. An adversary may have the possibility to specify a format string directly, such as, for example, when a programmer writes `printf(buff)` instead of `printf("%s", buff)`, where `buff` is user supplied data, or indirectly when before being used by a vulnerable format function user supplied data



is stored in other variables, possibly in a formatted form by other format functions. Format functions parse a format string one byte at a time.

If a read byte is not equal to %, the format function copies this byte directly to output, otherwise, it means that a format directive is encountered and the corresponding value is retrieved from a memory address stored on stack. By providing format directives in a format string an adversary has the possibility to force a format function to operate on values, part of which are user supplied, stored on stack. For instance, by providing %x or %s an adversary could view memory content and by providing %n an adversary may write the number of bytes printed that far into the memory location pointed by an address retrieved from stack.

An adversary could specify this address where to write at or read from by including it in the format string and popping values from the stack till reaching it. At that point the inserted format directive will be processed by the vulnerable format function, which will use it in these read/write operations. In the case of the %n format directive, in the format string the adversary may also define each byte of the value to be written in a specific memory address. The adversary specifies the said memory address in the format string as well [105, 90, 38].

### 2.2.4 Integer Overflows

Integer errors are of two kinds, namely integer overflows and integer sign errors. An integer overflow occurs when an integer variable is assigned a value that is larger than the maximum value it can hold. When an integer variable is overflowed no buffers are smashed, thus an integer overflow vulnerability is not directly exploitable.

Nevertheless, according to [64], an overflow, unsigned integer variable is subject to a modulo of  $\text{MAXINT} + 1$ , and the result of this operation becomes the new value of such a variable.

The actual value of an overflow integer variable may become too small; therefore, it may be quite problematic when used as a size value in memory allocation operations in programs that are not prepared for such a failure. As a consequence of an integer overflow, too little memory may be allocated possibly leading to an overflow of a buffer on heap if such memory holds the destination buffer of an unprepared memory copy operation.

An integer sign error occurs when a function that expects an unsigned integer variable as an argument is passed a signed integer variable instead. Such a function then implicitly casts the signed integer into an unsigned one. The danger stands in the fact that a large negative value may pass several maximum size tests in a program, but when implicitly cast into an unsigned integer and used in memory copy operations it may cause a buffer overflow.

### 2.2.5 Dangling Pointers

A dangling pointer vulnerability occurs when a pointer referenced by a program refers to already deallocated memory. Such a vulnerability may cause a program to assume abnormal behavior, and in the case of a double free vulnerability, it may lead to a complete program exploitation [30]. A double free occurs when deallocated memory is deallocated a second time. After a chunk on heap is freed twice, its forward and backward pointers will point to that chunk itself. If the program requests

the allocation of a chunk of the same size as the double freed chunk, and the later chunk is first unlinked from the list of free chunks, after the unlink the forward and backward pointers of the doubled free chunk will still point to that chunk itself.

Thus, the doubled free chunk will not really be unlinked from the list of free chunks.

The memory allocator algorithm though assumes that this chunk is effectively unlinked, and the vulnerable program will use the user data part of the double freed chunk. The attack at this point proceeds as in a heap overflow exploitation.

### 2.2.6 Control-Application Specific Memory Corruptions

Process control applications may be subject to memory corruptions conducted in ways that are specific to them. Examples of these applications include ModBus. ModBus employs an addressing model in which unsigned integer indices in the range  $[0, 65535]$  are used to logically refer to ModBus application variables. The ModBus data model maintains a mapping between logical references, i.e. the said indices, which are also known as ModBus addresses, and memory addresses of application objects in a process control system. In general the mapping in question is vendor device specific.

Faulty mappings may be a possible cause of memory corruptions on a ModBus application, as discussed in [9]. An instance of a faulty mapping is one in which the address of a memory location is calculated by using a logical reference as an offset with respect to a predetermined base address. In this case a memory corruption attack on a target ModBus application is conducted through a write request network packet in which the logical reference is such that, when added to the base address, it

produces the memory address of control data or the memory address of non-control data other than normally accessible ModBus variables.

An example of an attack network packet, which more precisely in ModBus is referred to as protocol data unit (PDU), is shown in Figure 2.3. The idea behind the organization of the said attack network packet is to request a target MODBUS device to write two holding register variables, i.e. two 16-bit variables stored in the main memory of a ModBus device, by specifying a logical reference, which as a result of a possible faulty mapping would produce the address of the memory location where control data are stored.

The overwriting value is specified in the attack network packet as well in the form of two 16-bit data that are to be written to the said register variables. When joined together, these data form the address of shellcode preliminarily injected. Thus, under the assumption that a shellcode injection point exists in a vulnerable ModBus application, the attack packet in question would corrupt control data with the address of injected shellcode. This ModBus specific memory corruption is conceptually similar to the attacks on OLE for Process Control (OPC) [63], which are discussed by Mora in [85].

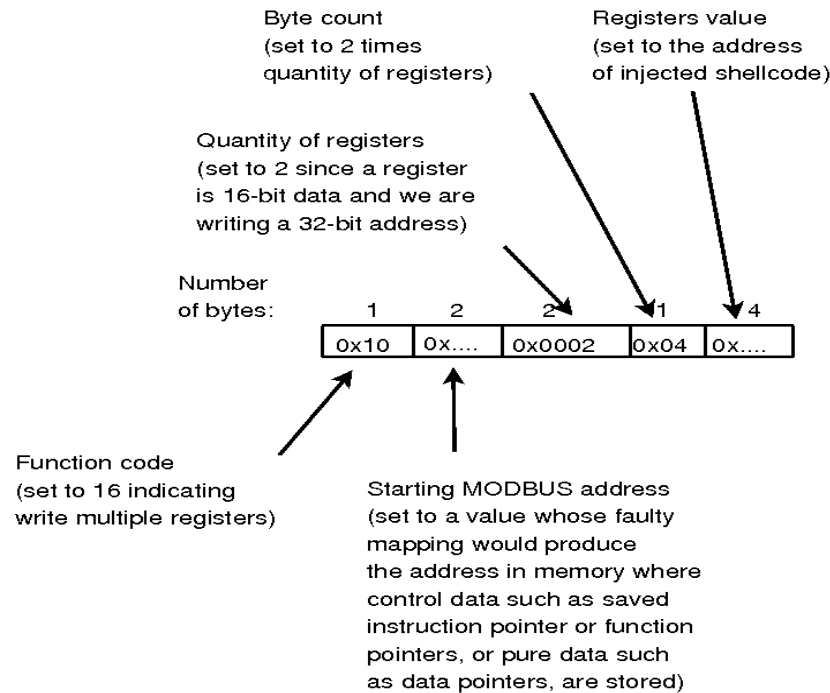


Figure 2.3: Organization of an attack packet payload that exploits faulty mappings in ModBus applications.

## 2.3 Computer Network Attacks on Physical Systems

### 2.3.1 Attacks on Physical Equipment

The ultimate objectives of computer network attacks on process control systems are to cause physical damage to physical equipment and sabotage physical processes that are under their control. In fact they are known to have potential for causing physical damage to the underlying physical systems [69]. For instance, through a computer network attack an adversary could destroy an electric power generator, as demonstrated in the Aurora generator test [54], i.e. an experimental computer net-

work attack conducted by researchers of the Idaho National Laboratory.

Depending on equipment specifications and the physics behind physical processes, there is a variety of ways in which an adversary could manipulate process control systems to cause physical damage. Note that these attacks represent techniques for maximizing physical damage on physical equipment once an adversary has acquired network access to a process control network or process control system. A taxonomy of these attacks is provided by Larsen in [70].

An inertial attack consists of speeding up or slowing down heavy equipment. An inertial attack has the potential of forcing heavy equipment to fail as in general such equipment is not tolerant to abrupt speed changes. An exclusion attack takes place when a process control system violates physical dependencies between various equipment, while a wear attack manipulates a process control system so as to consume certain equipment components and hence reduce the life span of the equipment itself. Small variations of continuous process variables such as electric current or fluid flow are recorded in a wave kept in other parts of a system.

A resonance attack is conducted by repeatedly causing small variations of word variables in order to increase the size of this wave beyond acceptable limits. A surge attack is mounted by exceeding defined process variable limits beyond maximal values that continuous control systems are capable of handling. A latent abilities attack exploits latent features in off-the-shelf physical equipment. An example of a latent abilities attack provided by Larsen is to force a servomotor to run in the reverse direction, although such an action may not be part of its operation in a defined physical system.

### 2.3.2 Attacks on Physical Processes

Physical processes that take place within a physical system are kept under safe conditions by system operators, who use sensor data to monitor their status at any point in time and also generate set points to cause them to evolve in a controlled way. As sensing and control of physical processes is conducted through process control systems over process control networks, by compromising these process control systems an adversary achieves direct control over physical processes, and hence can directly attack them.

With attacking a physical process we mean taking its parameters to abnormal values, a fact that may result even in explosions if the physical process degradation is not corrected on time. In a nuclear power plant, for example, control rods are used as the primary mechanism for controlling the rate at which nuclear fissions take place within the reactor core. If an adversary manages to disable reactor protection systems and thereafter uses compromised control systems to withdraw a large number of control rods, then the power level in the reactor will increase to abnormal values.

If the power level along with related parameters are not brought to normal values on time, the power level will keep increasing beyond the limits of physical safety, with consequences being comparable to those of accidents in nuclear power plants.

## 2.4 Intrusion Detection

Intrusion detection approaches can be categorized into misuse detection [97, 75], anomaly detection [36, 4], and specification-based detection [74, 107]. Misuse detec-

tion is based on signatures of known attacks, therefore it does not detect unknown attacks. Anomaly detection is based on learning profiles of the normal behavior of systems and networks. A typical anomaly detection approach monitors systems and networks. If their behavior deviates from the behavior that was preliminarily learned, the anomaly detection approach deems that an attack is taking place.

Anomaly detection has the potential of detecting unknown attacks, but is subject to a high rate of false positives. This is due to the fact that systems and networks often exhibit behavior profiles other than those exhibited during the time frame in which an anomaly detection approach observes their operation in order to learn profiles of their behavior. Specification-based detection is based on manually developed specifications of legitimate behavior of systems and networks.

Specification-based detection is characterized by a lower false alarms rate than anomaly detection. Nevertheless, the capability of specification-based detection to detect novel attacks is lower than anomaly detection.



# Chapter 3

## RELATED RESEARCH

### 3.1 Applied Statistics for Intrusion Detection

As of this writing, the majority of research on applied statistics and probability theory for intrusion detection has been conducted on general purpose computer systems and networks. In [77], Li et al. develop n-gram models upon training data to probabilistically characterize normal sequences of system calls that are issued by privileged processes. Li et al. use receiver operating characteristic (ROC) curve analysis to assess the effectiveness of their n-gram models, and thus show that their approach is promising to a degree that they also propose to apply it for network intrusion detection.

The approach of Li et al. is limited when it comes to scrutinize the payload of network packets that flow across a process control network. The said limitation stems from the very definition of an n-gram model. An n-gram model is a probabilistic model that is used to predict the next item, i.e. phonemes, syllables, letters, words

or base pairs, etc., in a defined sequence. Given a history of size  $n$ , an  $n$ -gram model is used to estimate the probability that a defined item will be the next item. For example, given a history of system calls of size 2, a 2-gram model is used to calculate the probability distribution for the third system call that will be issued by a given process.

Taking into account that the payload of a network packet transmitted over a process control network conveys data that are to be written to, or are read from, logical or word variables stored in the RAM variable memory of a given control system, the task that may be conducted by an  $n$ -gram model is the following: given a history of  $n$  values that were taken by a logical or word variable, what is the probability distribution for the next value that will be taken by the variable in question ?

A history of past values of a defined variable though provides limited visibility on the next value of the said variable, as a logical or word variable may also depend on other logical or word variables. In a nuclear power plant, for example, the next value of the word variable that is mapped to the linear position of a control rod depends to a large degree on the current values of variables that are mapped to parameters like temperature, pressure, poisons, fuel concentration, etc.

Similarly, the next value of the logical variable that is mapped to the position of a safety relief valve depends exclusively on the current value of the word variable that is mapped to the reactor vessel pressure. Thus,  $n$ -gram models have limited visibility on the evolutions of values of a logical or word variable as in their estimations they completely ignore the dependency of a given variable on other logical or word variables. Our statistical intrusion detection algorithm captures the said dependencies

in full, and thus maintains visibility over all factors that influence the probability distribution for the next value of a logical or word variable.

In [4, 59], Valdes et al. describe a statistical intrusion detection algorithm called Next-Generation Intrusion-Detection Expert System (NIDES), which adaptively learns what is normal for individual subjects, i.e. system users, user groups, remote hosts, and the overall system. The NIDES statistical algorithm estimates various statistical measures of abnormalcy, say  $S_i$ , where  $i \leq n$  with  $n$  being the total number of the said measures. More than one of the  $S$  measures may be used to examine the same aspect of behavior via different approaches. The NIDES statistical algorithm defines  $S$  measures of activity intensity, audit record distributions, transaction-specific categories, and counts of various events.

The  $S$  measures are then aggregated into a single statistic that is referred to as the NIDES score value. The estimation of normalcy or abnormalcy of a defined behavior is conducted upon an estimated value of the NIDES score value. We do not see any technical reason that could prevent the invention of a version of the NIDES algorithm applicable to a process control network. In this regard our statistical intrusion detection algorithm would be fully compliant with the NIDES statistical algorithm since it could form a NIDES component that estimates one of the  $S$  measures, which the NIDES statistical algorithm then could aggregate with other  $S$  measures and hence derive the score value.

Nevertheless, as of this writing no written material on a version of the NIDES statistical algorithm for process control networks is publicly available. In [2], Kumar et al. analyze network traffic via classification trees in order to identify parameters that

may be leveraged to characterize normal network traffic, and thus apply the six-sigma technique integrated with rigorous statistics to estimate upperbound and lowerbound thresholds for the said parameters.

During inspection of network traffic each packet is deemed as normal if the values of the parameters in question are found to lie within the corresponding thresholds. We tried the approach by Kumar et al. on a process control network in order to assess its applicability to such special-purpose network. What we received from the application of the six-sigma technique is an estimation of the maximum and minimum values for each word variable in the RAM variable memory of a control system.

The employment of six-sigma in a process control network is redundant as the maximum and minimum values for each word variable can be derived from specifications of the deployed equipment, the physical process being controlled digitally, and the cyber-physical mapping that is in place. Furthermore, conducting intrusion detection in a process control network by checking whether the value of a defined word variable falls within its maximum and minimum values provides limited defense.

We deem that the said limitation is due to the fact that six-sigma completely ignores the context of physical equipment and physical processes being controlled via a computer network. Consider for example an inertial attack on a four-pole electric motor that runs on 60 Hz with a maximum speed of 1800 rotations per minute (RPM). Recall from [70] that an inertial attack is conducted by causing abrupt speed changes, with the result being physical damage or operation failure.

Although a network packet that changes the speed of the said motor from, say 25 RPM, to, say 1800 RPM, is a manifestation of an inertial attack, the approach by

Kumar et al. would classify the network packet in question as normal since a word variable is being set to a value that falls within its corresponding maximum and minimum values allowed. Our statistical intrusion detection algorithm is not subject to the said limitation as it is fully aware of the dynamics of physical processes and operation of physical equipment, and as such classifies as abnormal any network packet that has potential for perturbing any physical parameters in a DCS-controlled physical system.

In [41], Gowadia et al. apply Bayesian belief networks (BBNs) to model probabilistic relations between defined fields of network packets, and hence estimate their probability distributions. Our statistical intrusion detection algorithm is similar to the approach of Gowadia et al. to some degree, as the probabilistic relations between logical or word variables that we leverage in our work can be expressed as a BBN. Our work though differs from that of Gowadia et al. in the way conditional probability distributions are estimated.

Gowadia et al. estimate conditional probability distributions for a defined variable manually being based on expert knowledge, while our statistical intrusion detection algorithm is built upon inductive learning and uses probability mass functions based on applied logistic regression and maximum likelihood estimation. In [31], DuMouchel applies the Bayesian Dirichlet-Multinomial Model to estimate command transition probabilities. In this case we are referring to operating system commands. Given a user  $u$  and the most recent command  $c$  issued by that user. DuMouchel estimates

$$P(\text{Next Command} = k \mid \{c, u\})$$

for each  $k$ , where  $k$  is a command. We deem that DuMouchel's research provided in [31] is directly applicable to a process control network. The Modbus counterpart of an operating system command is a function code, i.e. a 1-byte field of a network packet that specifies to a receiving node what kind of action to perform. If  $s$  and  $r$  are a sending node and a receiving node in a process control network, respectively, and  $c$  is the function code of the most recent network packet sent by  $s$  to  $r$ , then we could apply the Bayesian Dirichlet-Multinomial Model to estimate

$$P(\text{Function Code of Next Network Packet} = k \mid \{c, s, r\})$$

for each  $k$ , where  $k$  is a function code. The said Bayesian Dirichlet-Multinomial Model applied to a process control network would be complementary to our statistical intrusion detection algorithm as the former would scrutinize function code fields of network packets, while the latter scrutinizes data fields of network packets.

In [61], Ju and Vardi address the same challenge as DuMouchel, namely probabilistic estimation of the sequence of operating system commands that is likely to be issued by a computer user. Ju and Vardi deem that solely the most recently issued command is insufficient for computing the probability of transitioning to a defined command. Consequently they apply a high-order Markov chain to estimate the probability distribution for the next command being based on a recent history of commands.

Furthermore, Ju and Vardi develop independence models to cope with cases in which user profiles with respect to sequences of commands change drastically over time. We believe that the approach of Ju and Vardi is also applicable to a process control network to estimate the probability distribution for the function code of the next network packet that will be sent by a sending node to a destination node. The said

estimation would be conducted being based on a history of function codes derived from network packets that were recently sent by a sender to a receiver. In [118], Wang and Stolfo develop statistical models of network packet payloads, and hence inspect network traffic in real-time to look for deviations from the said models.

Wang and Stolfo compute a statistical model for each defined range of payload length, for each service, and for each direction of payload flow. They consider as a variable the frequency of each byte of a payload. A statistical model then is formed by computing the mean and standard deviation of such variables over a set of training payloads, which are gathered during a learning phase in which a normal network interaction with a network service or application is conducted.

In a monitoring phase Wang and Stolfo capture incoming payloads, and thus compute the Mahalanobis distance between the byte value distributions of a payload under inspection against the statistical model that corresponds to the said payload. If the Mahalanobis distance is found to be high, then the payload under inspection is likely to be abnormal. Although clearly the approach of Wang and Stolfo is applicable to a process control network, the statistical models of network packets that may be constructed via this approach do not take into account the possible states of a DCS-controlled physical system.

In other words, the statistical profiles in question are derived solely from network packets that are observed during a learning phase instead of those network packets in conjunction with the possible states of a DCS-controlled physical system. This is a limitation since a network packet may be normal in a defined state and abnormal in another state of a DCS-controlled physical system. Consider for a moment the

network packets that perform a SCRAM of a nuclear power plant, i.e. emergency shutdown.

The said network packets are normal if the values of certain physical parameters are outside predefined limits. These same network packets may be abnormal if the values of the physical parameters in question are within predefined limits. In the latter case we may have a clear denial of service attempt since restarting a nuclear power plant takes considerable time, during which the power plant won't produce any electric power. Similarly, a network packet that opens the generator output breaker is normal if the value of a defined physical parameter is indicative of a mechanical or electrical fault in the generator, and abnormal otherwise.

## 3.2 Developing Specifications of Normal Behavior for Intrusion Detection

The practical development of a specification-based intrusion detection approach, which is capable of detecting known as well as unknown attacks and maintaining a very low rate of false positives, was studied by Uppuluri and Sekar in [114]. The authors of [114] report that an effective specification-based approach can be built with moderate efforts. Our experience with a physical process aware specification-based approach complies with the experience of Uppuluri and Sekar.

Nevertheless, throughout our research we met another factor that is directly related to the practical development of a physical process aware specification-based approach, namely a high level of complexity of the detection specifications that we use to scru-



tinize the payloads of network packets that flow across a process control network. In other words, the development of our specification-based approach is practical, but the expert knowledge that is required to write and maintain the detection specifications is much higher than the expert knowledge required to develop a specification-based approach for operation in general-purpose computer systems and networks.

This is mainly due to the necessity of including in the detection specifications the normal behavior of phenomena that take place at the physical system. For example, if the physical system is, say a nuclear power plant, we would need to draw from areas such as nuclear physics and reactor theory to specify the expected normal behavior of the nuclear power plant in terms of possible normal contents of network packet payloads. To our knowledge, as of this writing there is only one research work on specification-based intrusion detection for process control networks, namely model-based intrusion detection [21].

In [21], Cheung et al. explore protocol-level models for intrusion detection in process control networks. These models express a definition of legitimacy for packet payloads of byte-oriented protocols such as Modbus, and are derived from protocol specifications and implementation guides. Protocol-level models search for violations of specifications regarding function codes, exception codes, protocol identifiers, or other functionally similar fields. Protocol-level models also examine cross-field relationships, since the legitimate value of a payload field may depend on the value of another payload field.

Our research on physical process aware specification-based detection is built on top of model-based detection, and thus is complementary to it. The rest of the work on

specification-based detection was conducted for general-purpose computer systems and networks. Sekar and Uppuluri in [107], and Ko et al. in [74], propose approaches based on specifications of normal behavior of computer programs.

Sekar and Uppuluri capture the normal execution of a computer program via specifications of sequences of system calls and specifications of conditions on values of system call arguments. Ko et al. deem that specifying in full the behavior of a computer program is not practical, and thus develop specifications of only those aspects of program execution that are relevant to security. More precisely, Ko et al. develop specifications of the sets of files that the computer program is expected to access, specific sequences of operations such as I/O or starting external programs such as a shell program, and synchronization with other concurrent computer programs.

What our physical process aware specification-based intrusion detection approach has in common with the approaches of Sekar and Uppuluri and Ko et al. is the derivation of detection specifications from high-level behavior specifications. Their difference lies in the fact that Sekar and Uppuluri and Ko et al. capture the normal behavior of computer programs, while in our research we attempt to capture the normal behavior of network traffic. In [94], Petroni et al. propose a specification-based technique for detection of rootkits that corrupt dynamic kernel data, given that hash functions can provide protection from corruption of static kernel data only.

Petroni et al. develop specifications for low-level kernel data structures and the relationships between them. As the other specification-based approaches, the approach of Petroni et al. relies on expert knowledge, in this case expert knowledge of operating system kernels. Both our research and the research of Petroni et al. exploit

the concept of data semantics. We work on the semantics of network packets that flow across a process control network, while Petroni et al. leverage the semantics of dynamic kernel data.

In [7], Balepin et al. logically couple specification-based intrusion detection with automated response. Although intrusion response lies outside the scope of the work that we discuss in this dissertation, the specification models that we develop convey a sense of response, in the sense that no normal transition of any of the models in question takes place if a network packet is classified as abnormal.

### 3.3 Related Research on Applied Deception

The application of deception techniques from conventional warfare, as detailed under the light of specific case studies of military conflicts drawn from history, for improving the security of computer systems and networks has been explored by Rowe and Rothstein in [100, 101]. Rowe and Rothstein analyze historical military operations like Operation Mincemeat [84], which took place during the second world war, to illustrate a set of principles and mechanisms that are used for an effective tactical deception in conventional warfare.

The authors then evaluate the applicability of the said principles and mechanisms to the invention of defensive deceptive capabilities for computer systems and networks. Mirage theory moves along the line of Rowe and Rothstein's research as it is a direct application of MILDEC to the defense of process control systems and networks. Furthermore, as written in the previous section, while researching on mirage theory we carefully analyzed a historical conventional warfare operation, namely Operation

Fortitude South. Honeypots, i.e. closely monitored information system resources that serve as network decoys [109, 109], and mirage theory have a few features in common to some extent, including distraction of adversaries from valuable attack targets, and leverage of deception for intrusion detection [49, 68].

Nevertheless, mirage theory is fundamentally different. Honeypots are passive and just stand by to receiving network connections. Thus, they have no normal activity. Mirage theory is exactly the opposite, in the sense that its main strength lies in normal system and network activity. Honeypots usually simulate services that are more vulnerable than their production counterpart in order to lure adversaries. Mirage theory fights for making deceptive process control networks, systems, and simulated or emulated physical processes or equipment as much undistinguishable from their production counterparts as possible.

The deception capabilities of honeypots are placed within the boundaries of a computer system or network, and hence fall within network access visibility. Mirage theory develops deceptive capabilities at a layer which is not reachable through a network access to a target process control network. Rowe and Rothstein in [22, 23] indicate that honeypots are not in line with an important principle of conventional warfare, namely that deception should be integrated with operations.

Their thesis is that deceptive tactics are more effective on real systems. In fact Holz and Raynal show in [50] several techniques to detect honeypots by capturing technical details that are characteristic for virtual execution environments, and hence different than in real ones. In mirage theory the process control systems and networks are all genuine. Furthermore, they are deployed and configured in such a way that they can

be used to smoothly monitor and control an existing physical system.

The research of Yuill et al. provided in [127] and mirage theory leverage concepts that are similar to some degree, namely honeyfiles and deceptive program variables in cyber-physical mappings, respectively. Honeyfiles are bait files intended for hackers to access. Honeyfiles reside in servers, which generate intrusion alerts if a honefile is accessed. Honeyfiles are intended to be no different than other normal files. Thus, for an adversary to detect a honeyfile, he/she has to open it, an action that results in the detection of the adversary's presence.

A cyber-physical mapping is a one-to-one correspondence between program variables, which hold I/O values in the RAM of control systems, and physical process parameters or parameters that characterize the operation of physical equipment. While a file is mapped to regions of secondary storage by the operating system, a deceptive variable is mapped to a parameter related to a physical process or equipment, which in fact are all simulated or emulated.

Mirage theory employs deceptive network packets to make deceptive variables appear no different than their genuine counterpart. For an adversary to detect a deceptive variable, he/she has to access it either locally or over a process control network, an action that is used to detect the intrusion. In [99], Rowe attacks the problem of logical consistency in deception. He explores automated methods which track assertions that are made up to a certain point in time along with their effects, and thereafter identify the possible consistent deceptions that may be conducted next in order.

In mirage theory we attack the same problem, but do so in a way that differs from the approach followed by Rowe in [21] due to our different levels of intervention. Row

works mainly at the operating system level, while from the logical consistency perspective in mirage theory we focus mainly on physical system phenomena. We employ large systems of differential equations to feed an adversary with a consistent view of the internal dynamics of physical processes and equipment at any point in time.

The end objective is what mirage theory has in common with cognitive hacking [39], reflexive control theory [112], and perception management process [60]. Cognitive hacking is basically manipulation of the perception of technology users. Reflexive control is a warfare theory that has been studied in the former Soviet Union and later on in Russia for a very long time. Reflexive control theory is comprised of methods for conveying to a subject especially prepared information in order to incline him/her to voluntarily make a predetermined decision.

The US approximate counterpart of reflexive control theory is the perception management process. Perception management is comprised of actions that convey and/or deny selected information and indicators to foreign audiences in order to influence them. Mirage theory seeks to exploit the adversary's mind, namely his/her perception of a defined cyber-physical system. Mirage theory actively conveys information and indicators to an adversary for the purpose of piloting his/her target selection process towards simulated or emulated physical processes and equipment.

### 3.4 Other Related Research on Intrusion Detection in Process Control Networks

The research challenge of detecting attacks to control systems is addressed by Cárdenas et al. in [18], and Naess et al. in [87]. Cárdenas et al. describe an approach that is based on an understanding of the interactions between control systems and a physical system. Cárdenas et al. model the behavior of a physical system as a linear dynamic system, and thus use the said model to determine the effects of control commands on physical parameters of the physical system in question.

Their thesis is that attacks to control systems will exhibit an abnormal behavior of the physical system, i.e. will have negative effects on physical parameters of the physical system, and thus propose to use sequential detection theory to detect them. In our research we model the interactions between control systems and a physical system as evolutions of values of logical or word variables stored in the RAM variable memory of control systems themselves.

Our thesis is that the normal behavior of a physical system in conjunction with normal network control traffic by which the former is directly affected can be captured by specific evolutions. In the EI algorithm we estimate these evolutions via probabilistic models that we construct upon inductive machine learning. In the physical process aware approach we use expert knowledge to specify these evolutions. For a control command to be deemed as normal, the network packet that conveys it should cause an evolution of values of a logical or word variable that is deemed as normal by our intrusion detection approaches.

Naess et al. discuss an intrusion detection approach that is comprised of high level application-based policies whose implementation is placed at the middleware level. Naess et al. develop misuse policies that are based on attack signatures, procedural-based policies that use execution patterns of a component that is being monitored, and interval-based policies that look for anomalies in parameter values or method invocation frequencies, and thus are based on estimation and enforcement of parameter thresholds.

Procedural-based policies use an approach that is typical to host-based intrusion detection, and as such they are not comparable to our statistical intrusion detection algorithm. So are misuse policies and those interval-based policies that deal with method invocation frequencies. Our research suggests that interval-based policies take into account the state of the physical system when setting parameter thresholds. Naess et al. discuss maximum and minimum value policies that look for values of parameters that lie outside the range of allowed values of those parameters.

For instance, if the allowed set point for the linear position of a control rod, i.e. a rod made of neutron absorbing materials that is used to adjust the reactivity of the reactor core [116], should be an even value between, say 6 and 24, a maximum and minimum value policy would classify a set point of 24 as normal. If the current value of reactivity in the reactor is high, moving the control rod in question from a low position to position 24 may be quite abnormal and thus dangerous.

The approach of Naess et al. includes delta value and maximum average policies, which are devised to detect unexpected variations in parameter values over a short amount of time and excesses of maximum distance from a moving average for each



measurement, respectively. A consideration of the state of a physical system would enable delta value and maximum average policies to allow for corrective responses that are initiated by control systems upon occurrences of faults or breakages in plant equipment.

To our knowledge many of such corrective responses often consist of set points that cause large and abrupt changes in values of specific parameters. Naess et al. also discuss interval-based policies that employ cumulative distribution functions to detect rare values given a history of normally distributed values. Thus, these policies compare the next value of a parameter with a trace of a given length of previous values of the said parameter. To our experience though the next normal value of a parameter depends also on current values of other parameters that characterize the state of a physical system.

In a nuclear power plant, for example, the next value of the position of a turbine bypass valve depends also on the current value of the pressure in the reactor vessel. The EI algorithm and the physical process aware approach consider the full state of a physical system when estimating a probability distribution for the next value of a logical or word variable. In [86], Naedele and Biderbost describe an approach for reducing security related events that occur in a process control environment into quantitative metrics, which are understandable by system operators who normally have no computer system and network security expertise.

The said quantitative metrics are then visualized to system operators, who assess whether a computer network attack is taking place. What the approach of Naedele and Biderbost has in common with the EI algorithm and the physical process aware

approach is that both of them do consider the dynamics of a digitally controlled physical system when estimating the normalcy of network packets. They differ in the means they use for estimating the normalcy of network packets.

The approach of Naedele and Biderbost use the human mind as pattern matcher and relevance evaluator, while the EI algorithm and the physical process aware approach leverage the estimation power of statistics and physical process aware specifications, respectively. We deem that the EI algorithm and the physical process aware approach are better as they provide for real-time detection, while human analysis of events takes at least a few seconds. Consider for example a malicious network packet that opens or closes a circuit breaker to desynchronize a power generator with respect to a power transmission grid.

We think that the approach of Naedele and Biderbost has potential for detecting the said malicious network packet, but still would detect it too late due to the delay that is induced by the seconds that the system operators would need to analyze one or more quantitative metrics. The EI algorithm and the physical process aware approach are capable of detecting the network packet in question before it is processed by the target control system that controls the circuit breaker.

### **3.5 Intrusion Alert Fusion**

The ACH [47] is a methodology devised for use by intelligence analysts when working on choosing several alternative hypotheses. ACH is comprised of eight sequential steps that focus on a matrix with hypotheses across the top and evidence down the side, with the objective being an estimation of the relative likelihood of

each hypothesis. ACH forms the foundation of our intrusion report fusion technique, which may be thought of as a mathematical development of ACH for intrusion report fusion in process control networks.

A theory of confirmation is a proposal for a logic by which to confirm or deny hypotheses [35, 40, 79, 80, 58, 34, 119]. A theory of confirmation normally involves two measures, namely a measure of hypothesis-based probability of evidence, i.e. the likelihood of evidence were the hypothesis true, and a measure of the degree to which a hypothesis is confirmed or disconfirmed on the evidence. A confirmation theory that uses the Bayes theorem to represent the relation between these two measures is referred to as a Bayesian confirmation theory.

The intrusion report fusion technique that we discuss in this dissertation is exactly a Bayesian confirmation theory. In [43], Gu et al. employ the likelihood ratio test [24] to fuse alerts from an ensemble of intrusion detection approaches in order to improve the overall intrusion detection effectiveness. The application of the likelihood ratio test to our problem domain would consist of a comparison between the hypothesis-based probabilities of evidence. Later on in this dissertation we will see that in our problem domain the hypothesis-based probabilities of evidence are not directly measurable.

Consequently, a part of our work is conducted on the computation of a probability density function that allows for estimating the hypothesis-based probabilities of evidence. Furthermore, we attempt to refine the effectiveness of the likelihood ratio test via the Bayes theorem in its ratio form, which in addition to prior probabilities of hypotheses uses also the likelihood ratio test to derive and compare the degrees to

which each one of the hypotheses is confirmed on evidence.

Majority voting or weighted voting is used as an intrusion alert fusion technique by Breiman in [12], Perdisci et al. in [92], and by Freund and Schapire in [33]. In [122], Wolpert discusses stacking, which is a method for training a machine learning algorithm such as a neural network or a support vector machine for the purpose of combining predictions made by various intrusion detection classifiers. In [43], Gu et al. indicate that voting and stacking are less effective than the likelihood ratio test technique.

In [8], Bass points out that the application of multisensor data fusion for intrusion detection is based on applied mathematical theories such as statistics, artificial intelligence, digital signal processing, information theory, decision theory, etc. In fact in this research we apply elements of statistics and probability theory to devise an intrusion report fusion technique especially for process control networks.

## Chapter 4

# PROBABILISTIC ESTIMATION OF DATA TRANSITION FLOWS FOR ANOMALY DETECTION

### 4.1 Introduction

After decades of engineering research, the majority of the physics behind processes in a physical system such as a nuclear power plant are known. If a physical system is operated digitally, as is the case of some generation III, most of generation III+, and generation IV reactors, arguably we can say that with the said knowledge in hand we have a good definition of normalcy in the physical side of such cyber-physical system. Taking into account that several behavior profiles of control systems and networks are induced by physical processes taking place at the physical side, an intuitive research direction is to leverage knowledge of normalcy in the physical side into an estimation

of normal behavior of the cyber side, and hence estimate the concept of normalcy for the whole cyber-physical system in consideration.

In this chapter we discuss an anomaly intrusion detection algorithm that we call the Estimation-Inspection (EI) algorithm. The EI algorithm leverages the concept of RAM data flow to derive, in a statistical way, the normal behavior of a process control network from the behavior of the physical system that is being controlled digitally. Thus, the EI algorithm estimates the normal evolutions of the content of specific locations in the RAM of control systems via applied statistics and probability theory.

The EI algorithm thereafter determines whether a network packet is normal or abnormal by considering the specific RAM data flow that the network packet in question has potential to cause. The effectiveness of the EI algorithm lies in the fact that the concept of normal RAM data flow is a direct characterization of the dynamics of a DCS-controlled physical system, namely its states and transitions between states. By ensuring that the evolutions of the values of logical or word variables follow only normal RAM data flows, the EI algorithm protects the DCS-controlled physical system from being taken to unsafe conditions by malicious network packets.



The elements  $x_1, x_2, \dots, x_l$  model input register variables, the elements  $x_{l+1}, x_{l+2}, \dots, x_m$  model holding register variables, the elements  $x_{m+1}, x_{m+2}, \dots, x_n$  model discrete input variables, and the elements  $x_{n+1}, x_{n+2}, \dots, x_g$  model coil variables. A control system can hold as many as 65536 variables of each type. If  $q$  is the number of control systems in a process control network, then  $l = 65536q$ ,  $m = 2l$ ,  $n = 3l$ , and  $g = 4l$ .

Nevertheless, in a real world DCS it may happen that not all of the input register variables, holding register variables, discrete input variables, and coil variables, are needed, and thus not all of them are defined by control system engineers. Logical variables and word variables in RAM variable memory, and hence the elements of the matrix  $W$ , are mapped to process parameters, i.e. variables that characterize the operation of physical equipment and/or physical processes, according to specific schemes, i.e. cyber-physical mappings, that depend on the communication protocol being used.

In some byte oriented protocols such as ModBus, cyber-physical mappings are defined ad hoc by control system engineers and are applied during device configuration, while other protocols such as IEC 61850 [55] come with inherent cyber-physical mappings that are defined in their respective specifications. Process parameters are related to each-other by formulae that lie in sciences such as chemistry or physics, depending on the kind of processes taking place at the physical side of a DCS-controlled physical system under consideration.

A cyber-physical mapping is seen as the mechanism that reflects physical or chemical relations between process parameters into functional relations among logical variables and word variables in RAM variable memory, and hence into functional relations



among the elements of the matrix  $W$ . Such functional relations in turn form the stem of what logical data and continuous data are assigned to sensor associated variables and actuator control variables during a controlled operation of a DCS-controlled physical system.

Thus, given a kind of process on the physical side of a DCS-controlled physical system along with a cyber-physical mapping, a value assigned to a defined element of the matrix  $W$  may be explained by consulting a set of other elements of the matrix  $W$ , under the assumption that the analysis is being performed on a safe operation of the DCS-controlled physical system. The thesis that forms the foundation of the research discussed in this paper is that for each possible combination of possible values of the elements of the matrix  $W$ , including the current value of  $W[i][j]$ ,  $W[i][j]$  may take each one of its possible values with a probability that varies from 0.0 to 1.0.

We refer to the probability in question as a normalcy probability. A normal transition flow step occurs when  $W[i][j]$  takes a value whose associated normalcy probability is not 0.0. Thus, a network packet that is about to write  $W[i][j]$  is classified as normal if it causes a normal transition of the current value of  $W[i][j]$ , i.e. it writes a value to  $W[i][j]$  whose associated normalcy probability is not 0.0. Reasoning in a statistical context, let us refer to the elements of the matrix  $W$  as  $W[i][j]$  and  $x_1, x_2, \dots, x_g$  when we treat them as dependent variables and as exposure variables, respectively.

The proposed statistical algorithm, which is called the Estimation-Inspection (EI) algorithm and is provided later on in this section, estimates the probability distribution of the values of  $W[i][j]$  given  $x_1, x_2, \dots, x_g$ , and checks that a network packet that writes  $W[i][j]$  conveys a value for  $W[i][j]$  whose associated normalcy probability is

not 0.0. In this research we say that the possible values of each variable  $W[i][j]$  lie in  $\{\min(W[i][j]), \min(W[i][j]) + 1, \dots, \min(W[i][j]) + h\}$ , where  $\min(W[i][j]) + h = \max(W[i][j])$ .

We use the term *possible value* since each logical variable by definition may assume either the value 0 or the value 1, while each one of the word variables usually takes values from a defined interval that depends on the process parameter that the variable in question is mapped to. In a nuclear power plant, for example, the word variable that is mapped to the pressure in a reactor vessel, i.e. a large cylindrical steel tank that contains nuclear fuel, may take values that vary from 0 pound per square inch (psi) at plant start up to a maximum value, say a little bit more than around 1005 psi, when the plant is operating at 100% thermal power.

Similarly, if the maximum synchronous speed of a 2-pole AC induction motor is, say, 1500 revolutions per minute (rpm), the applied voltage frequency, which is used by an edge control system to directly control the actual rotational speed of such motor, may assume values that vary from 0 Hz to 25 Hz. Furthermore, we want to accommodate also negative values of each variable  $W[i][j]$ , since in a physical system like a nuclear power plant several process measurement data or actuator control data can be negative.

In this research we use stochastic vectors as practical means of storing the probability distribution of the values of each element  $W[i][j]$  of the matrix  $W$ . The aforemen-

tioned stochastic vectors are defined as:

$$V_{W[i][j]} = \left\{ \begin{array}{c} p_0 \\ p_1 \\ \cdot \\ \cdot \\ \cdot \\ p_h \end{array} \right\} \mid p_0 + p_1 + \dots + p_h = 1 \quad (4.1)$$

Let  $p_k = V_{W[i][j]}[k]$  be the normalcy probability that  $W[i][j]$  takes the value  $\min(W[i][j]) + k$ , where  $k \in \{0, 1, \dots, h\}$ . Thus,  $p_0 = V_{W[i][j]}[0]$  is the normalcy probability that  $W[i][j]$  takes the value  $\min(W[i][j])$ ,  $p_1 = V_{W[i][j]}[1]$  is the normalcy probability that  $W[i][j]$  takes the value  $\min(W[i][j]) + 1$ , and so on. We model as a probability mass function, say  $\Gamma_{W[i][j]}$ , the normal data transition flows that may potentially be followed by each element  $W[i][j]$ . The probability mass function  $\Gamma_{W[i][j]}$  is defined as:

$$\Gamma_{W[i][j]} : x_1 X \dots X x_{l+1} X \dots X x_{m+1} X \dots X x_{n+1} X \dots X x_g \rightarrow V_{W[i][j]} \quad (4.2)$$

The estimation part of the EI algorithm uses logistic regression integrated with maximum likelihood estimation in an inductive machine learning process to estimate a series of statistical parameters, which in conjunction with logistic regression formulae form a practical definition of the probability mass function  $\Gamma_{W[i][j]}$  for each  $W[i][j]$ . The inspection part of the EI algorithm uses the probability mass function  $\Gamma_{W[i][j]}$  to estimate the normalcy probability of a specific value  $\min(W[i][j]) + k$  that a network packet is about to write to  $W[i][j]$ .

## 4.2.2 Estimating the Statistical Parameters of Ordinal and Dichotomous Logistic Models

As we will see later on in this subsection, an element  $W[i][j]$  may take each one of its possible values with a probability that depends on  $x_1, x_2, \dots, x_g$  and a set of constants denoted as, say  $\alpha(s)$  and  $\beta(s)$ , that in statistics are commonly referred to as parameters. In this research the  $\alpha(s)$  are intercept terms, while the  $\beta(s)$  are coefficient terms. We refer to these constants as statistical parameters in order to avoid conceptual confusion with physical process parameters. We estimate statistical parameters via applied logistic regression analysis integrated with maximum likelihood estimation [52, 72].

The first step is to run the replica of a DCS-controlled physical system normally and under no attacks, and thus record in a database the values of logical or word variables in the RAM of control systems as they evolve over time. We have several individuals run the said replica multiple times. Although in nuclear power industry reactor operator candidates are required to pass identical or similar certification exams, different reactor operators may have different habits of changing process parameters to reach desired operational states.

Furthermore, various process related events may be handled in different ways, all considered part of normal operation as long as they perform the desired task correctly. What is important here is that the replica is made to generate a sample of network packets that characterizes the population of network packets that form the normal network operation of a DCS-controlled physical system. Refer to Section 5.6 for a detailed discussion on how we generate the learning data set.

For each program variable modeled by an element  $W[i][j]$ , we create a database view composed of rows in the form  $\{\varphi(W[i][j]), x_1, x_2, \dots, x_g\}$ , where  $\varphi(W[i][j])$  denotes the next value of  $W[i][j]$ .  $\varphi(W[i][j])$  is extracted from a network packet transmitted over a process control network that is about to write  $W[i][j]$ , while the record of values of  $x_1, x_2, \dots, x_g$  is a snapshot of the current values of the elements of the matrix  $W$  right before the said network packet changes the value of  $W[i][j]$  into a specific  $\varphi(W[i][j])$ .

Let  $d$  be the number of rows in the database view in question.

We now consider the case in which  $W[i][j]$  models a word variable. If in statistical terms each possible value of  $W[i][j]$  is considered as an outcome category, then the type of logistic regression applicable to the research problem under investigation is the ordinal logistic regression since in DCS-controlled physical systems in general these categories are ordered. In a nuclear power plant, for example, the possible values of word variables that are mapped to process parameters such as pressure in a reactor vessel, reactor water level, neutron population in a reactor core, steam flow rate, etc., are all ordered.

In ordinal logistic regression comparisons between contiguous values of a dependent variable play a key role in the estimation of their respective probabilities of occurrence. Since the possible values of  $W[i][j]$  lie in  $[\min(W[i][j]), \min(W[i][j]) + h]$ , there are  $h$  possible comparisons between contiguous values of  $W[i][j]$ . Consequently, always according to ordinal logistic regression, there are  $h$  intercept terms  $\alpha$  in this ordinal logistic model, namely  $\alpha_1, \alpha_2, \dots, \alpha_h$ . There is an intercept term  $\alpha_k$  defined for each value  $\min(W[i][j]) + k$  of  $W[i][j]$  such that  $k \neq 0$ .

Later on in this subsection we will see that  $\alpha_k$  is directly used in the estimation of

the probability that  $W[i][j]$  takes the value  $\min(W[i][j]) + k$ . Due to a reason that we explain later on in this subsection, there is no  $\alpha_0$  defined for  $\min(W[i][j])$ . Since the logistic model under consideration is ordinal rather than polytomous, there is only one coefficient term  $\beta_a$  associated with each exposure variable  $x_a$ , where  $a \in \{1, 2, \dots, g\}$ . Furthermore, there is a unique set of coefficient terms  $\beta_1, \beta_2, \dots, \beta_g$  defined for all values  $\min(W[i][j]) + k$  of  $W[i][j]$ .

As intercept term  $\alpha_k$ , the set of coefficient terms  $\beta_1, \beta_2, \dots, \beta_g$  is also directly used in the estimation of the probability that  $W[i][j]$  takes the value  $\min(W[i][j]) + k$ . Given  $x_1, x_2, \dots, x_g$ , the probability that  $W[i][j]$  takes a value equal to or greater than  $\min(W[i][j]) + k$  is:

$$P(\varphi(W[i][j]) \geq \min(W[i][j]) + k | W) = \frac{1}{1 + e^{-(\alpha_k + \sum_{a=1}^g \beta_a x_a)}} \quad (4.3)$$

In the equation given above  $e$  denotes the Euler's constant, i.e. the base of natural algorithm. As a matter of fact we are interested in  $\min(W[i][j]) + k \geq 1$ , since obviously  $P(\varphi(W[i][j]) \geq 0 | W) = 1$ . Similarly, the probability that  $W[i][j]$  takes a value equal to or greater than  $\min(W[i][j]) + k + 1$  given  $x_1, x_2, \dots, x_g$  is:

$$P(\varphi(W[i][j]) \geq \min(W[i][j]) + k + 1 | W) = \frac{1}{1 + e^{-(\alpha_{k+1} + \sum_{a=1}^g \beta_a x_a)}} \quad (4.4)$$

Equations (4.3) and (4.4) are used to derive the probability that  $W[i][j]$  takes a value  $\min(W[i][j]) + k$  given  $x_1, x_2, \dots, x_g$ . The said probability is:

$$P(\varphi(W[i][j]) = \min(W[i][j]) + k | W) = P(\varphi(W[i][j]) \geq \min(W[i][j]) + k | W) - P(\varphi(W[i][j]) \geq \min(W[i][j]) + k + 1 | W) \quad (4.5)$$

By plugging equations (4.3) and (4.4) into equation (4.5) we get:

$$P(\varphi(W[i][j]) = \min(W[i][j]) + k | W) = \frac{1}{1 + e^{-(\alpha_k + \sum_{a=1}^g \beta_a x_a)}} - \frac{1}{1 + e^{-(\alpha_{k+1} + \sum_{a=1}^g \beta_a x_a)}} \quad (4.6)$$

In the specific case in which  $k = 0$ , and thus the value of  $W[i][j]$  whose probability of occurrence is being estimated is  $\min(W[i][j])$ , the minuend in equation (4.6) will be 1 since  $P(\varphi(W[i][j]) \geq \min(W[i][j]) | W) = 1$ . This explains why there is no  $\alpha_0$  defined for  $\min(W[i][j])$ , i.e. when  $k = 0$ . We now discuss the development of the likelihood function  $L_{W[i][j]}$  for an element  $W[i][j]$ . The function  $L_{W[i][j]}$  represents the joint probability for the likelihood of observing the data of the  $d$  rows in the aforementioned database view. Assuming that the rows of the database view are numbered from 1 to  $d$ , let  $y_{bk}$  be an indicator variable defined on the  $b$ -th row as follows:

$$y_{bk} = \begin{cases} 1 & \text{if in the } b\text{-th row } \varphi(W[i][j]) = \min(W[i][j]) + k \\ 0 & \text{if in the } b\text{-th row } \varphi(W[i][j]) \neq \min(W[i][j]) + k \end{cases} \quad (4.7)$$

The joint probability for the likelihood of observing the data in the database view is:

$$\prod_{b=1}^d \prod_{k=0}^h P(\varphi(W[i][j]) = \min(W[i][j]) + k | W)^{y_{bk}} \quad (4.8)$$

Equation (4.8) basically estimates the individual contribution made by each row to the probability that  $\varphi(W[i][j])$  will be  $\min(W[i][j]) + k$ , and then joins the individual likelihood contributions made by each row. Clearly each row contributes with the probability of only one value  $\min(W[i][j]) + k$  being taken by  $W[i][j]$ , since only one of the indicator variables will be equal to 1. By plugging equation (4.6) into equation

(4.8) we get:

$$\prod_{b=1}^d \prod_{k=0}^h \left( \frac{1}{1 + e^{-(\alpha_k + \sum_{a=1}^g \beta_a x_a)}} - \frac{1}{1 + e^{-(\alpha_{k+1} + \sum_{a=1}^g \beta_a x_a)}} \right)^{y_{bk}} \quad (4.9)$$

The values of exposure variables  $x_1, x_2, \dots, x_g$  in equation (4.9) are available from the database view as each individual row is processed by this equation, therefore after performing the multiplications of the probabilities contributed by each individual row, the likelihood function  $L_{W[i][j]}$  appears as a function of the statistical parameters, namely:

$$L_{W[i][j]} (\alpha_1, \alpha_2, \dots, \alpha_h, \beta_1, \beta_2, \dots, \beta_g) \quad (4.10)$$

We are interested to estimate those specific values of the statistical parameters  $\alpha_1, \alpha_2, \dots, \alpha_h, \beta_1, \beta_2, \dots, \beta_g$  that maximize  $L_{W[i][j]}$ . For this purpose we now apply the maximum likelihood technique [76]. Let us organize the parameters of the likelihood function  $L_{W[i][j]}$  into a vector  $\theta = (\theta_1, \theta_2, \dots, \theta_{h+g})$ . Maximizing  $L_{W[i][j]}(\theta)$  is equivalent to maximizing  $\ln [L_{W[i][j]}(\theta)]$ . If  $r \in \{1, 2, \dots, h+g\}$ , and hence  $\theta_r$  is the  $r$ -th element of vector  $\theta$ , the values of the statistical parameters that maximize  $L_{W[i][j]}(\theta)$  are the solutions of a system of equations of the form:

$$\frac{\partial \ln [L_{W[i][j]}(\theta)]}{\partial \theta_r} = 0 \quad (4.11)$$

where the fraction is a partial derivative of the natural logarithm of the likelihood function  $L_{W[i][j]}$  with respect to  $\theta_r$ . The solutions of the said system of equations represent our estimates of the statistical parameters  $\alpha_1, \alpha_2, \dots, \alpha_h, \beta_1, \beta_2, \dots, \beta_g$ . Armed with the estimated values of the statistical parameters, we can return to equation (4.6) and estimate the probability that  $W[i][j]$  takes the value  $\min(W[i][j]) + k$ , given the current values of the elements of the matrix  $W$ . This is an integral component of



the EI algorithm, which we provide in full in the next subsection.

Estimating  $p_k = (P(\varphi(W[i][j]) = \min(W[i][j]) + k \mid W))$  and storing  $p_k$  in  $V_{W[i][j]}[k]$ , for each  $k \in \{0, 1, \dots, h\}$ , fills all the positions of stochastic vector  $V_{W[i][j]}$ . Iteration of this procedure over each possible tuple of values of exposure variables  $x_1, x_2, \dots, x_g$  associates each one of such tuples with a stochastic vector  $V_{W[i][j]}$ , and hence leads to a complete computation of the probability mass function  $\Gamma_{W[i][j]}$ .

We now consider the case in which  $W[i][j]$  models a logical variable. Thus, the possible values of  $W[i][j]$  are 0 and 1. Since the definition of a logical variable in a control systems context matches the definition of a dichotomous measure in a statistical context, the type of logistic regression that is applicable to our research problem in this case is the dichotomous logistic regression. As ours is a dichotomous logistic model, there is only one intercept term  $\alpha$  defined for both possible values of  $W[i][j]$ , and only one coefficient term  $\beta_a$  associated with each exposure variable  $x_a$ , where  $a \in \{1, 2, \dots, g\}$ .

Furthermore, there is a unique set of coefficient terms  $\beta_1, \beta_2, \dots, \beta_g$  defined for both possible values of  $W[i][j]$ . We get the probability that an element  $W[i][j]$  takes value 1 by applying the logistic function of the dichotomous logistic model, namely:

$$P(\varphi(W[i][j]) = 1 \mid W) = \frac{1}{1 + e^{-(\alpha + \sum_{a=1}^g \beta_a x_a)}} \quad (4.12)$$

The probability that  $W[i][j]$  takes value 0 then is given by the equation below:

$$P(\varphi(W[i][j]) = 0 \mid W) = 1 - P(\varphi(W[i][j]) = 1 \mid W) = 1 - \frac{1}{1 + e^{-(\alpha + \sum_{a=1}^g \beta_a x_a)}} \quad (4.13)$$

We arrange the rows of the database view in such a way that in the first  $c$  rows  $\varphi(W[i][j]) = 1$ , and thus in the remaining  $d - c$  rows  $\varphi(W[i][j]) = 0$ . Let  $P(X_b)$

denote  $P(\varphi(W[i][j]) = 1 \mid W)$  for the  $b$ -th row. Also in a dichotomous logistic model the joint probability for the likelihood of observing the data in the database view is given by a likelihood function  $L_{W[i][j]}$ , which in this case is defined as:

$$\prod_{b=1}^c P(X_b) \prod_{b=c+1}^d 1 - P(X_b) \quad (4.14)$$

Equation (4.14) estimates the individual likelihood contribution made by each row numbered from 1 to  $c$  to the probability that  $W[i][j]$  takes value 1, along the individual likelihood contribution made by each row numbered from  $c+1$  to  $d$  to the probability that  $W[i][j]$  takes value 0, and joins the individual likelihood contributions made by each row. The values of exposure variables  $x_1, x_2, \dots, x_g$  in equation (4.14) are available from individual rows of the database view. By performing the multiplications of the probabilities contributed by each row we get a likelihood function  $L_{W[i][j]}$  that is defined as:

$$L_{W[i][j]}(\alpha, \beta_1, \beta_2, \dots, \beta_g) \quad (4.15)$$

We are interested to estimate those specific values of the statistical parameters  $\alpha, \beta_1, \beta_2, \dots, \beta_g$  that maximize  $L_{W[i][j]}$ , and do so via maximum likelihood estimation. We apply the unconditional likelihood technique rather than the conditional one since the number of statistical parameters in the model is usually small relative to the number of rows in the database view. Furthermore, the conditional likelihood technique does not allow for estimating the intercept term  $\alpha$ , which, as may be seen from equation (4.12) and equation (4.13), is quite indispensable to the estimation of the probability that  $W[i][j]$  takes value 1 and 0, respectively.

If we denote the parameters of the likelihood function  $L_{W[i][j]}$  as  $\theta = (\theta_1, \theta_2, \dots, \theta_{g+1})$ , then the values of the statistical parameters that maximize  $L_{W[i][j]}(\theta)$  are the solu-

tions of a system of equations that have the form of equation (4.11). In this case  $\theta_r$  is the  $r$ -th individual parameter for  $r \in \{1, 2, \dots, g + 1\}$ . The solutions of the system of equations in question represent our estimates of the statistical parameters  $\alpha, \beta_1, \beta_2, \dots, \beta_g$ . With the estimates of the statistical parameters in hand, we can return to equations (4.12) and (4.13) and estimate the probability that  $W[i][j]$  takes the value 1 and 0, respectively, given the current values of the elements of the matrix  $W$ .

This is also an integral component of the EI algorithm. Estimating  $p_1 = P(\varphi(W[i][j]) = 1 \mid W)$  and  $p_0 = P(\varphi(W[i][j]) = 0 \mid W)$ , and storing  $p_1$  and  $p_0$  in  $V_{W[i][j]}[1]$  and  $V_{W[i][j]}[0]$ , respectively, fills both of the positions of stochastic vector  $V_{W[i][j]}$ . Iterating over each possible tuple of values of exposure variables  $x_1, x_2, \dots, x_g$  associates each one of them with a stochastic vector  $V_{W[i][j]}$ , and thus leads to a complete computation of the probability mass function  $\Gamma_{W[i][j]}$ .

### 4.2.3 The Estimation-Inspection Algorithm

The EI algorithm is provided in Algorithm 1. The first part, i.e. Estimation, is concerned with estimation of statistical parameters, i.e. intercept terms  $\alpha(s)$  and coefficient terms  $\beta(s)$ , and thus is conducted in the learning phase. As indicated on [part I; line 1], the EI algorithm estimates a specific set of statistical parameters for each element of the matrix  $W$  that models a program variable actually defined in a control system. The EI algorithm follows the statistical procedure discussed in the previous subsection.

More precisely, the EI algorithm applies ordinal logistic regression, integrated with

maximum likelihood estimation, on a learning data set to estimate the intercept terms and the coefficient terms of the ordinal logistic model developed for an element of the matrix  $W$  that models a word variable [part I; lines 2-4]. The EI algorithm applies dichotomous logistic regression, integrated with maximum likelihood estimation, on a learning data set to estimate the intercept term and the coefficient terms of the dichotomous logistic model developed for an element of the matrix  $W$  that models a logical variable [part I; lines 5-7].

The second part of the EI algorithm, i.e. Inspection, is concerned with scrutinizing network packets that flow across a process control network. When assessing the normalcy of a network packet, the EI algorithm conducts its statistical analysis in relation to each variable that is being written by the network packet currently under inspection [part II; line 3]. The EI algorithm checks whether the program variable that is being written by the network packet under inspection is a word variable [part II; line 4] or a logical variable [part II; line 8, 10].

This information in conjunction with the value of index  $k$  derived in [part II; line 4] is used to identify (1) the type of logistic model, and hence the corresponding logistic regression formula, that is applicable to the network packet under inspection, (2) the intercept terms  $\alpha(s)$  and coefficient terms  $\beta(s)$  of the applicable logistic model defined for the variable being written.

If the program variable that is being written is a word variable, the EI algorithm plugs the intercept terms  $\alpha(s)$  and coefficient terms  $\beta(s)$  along with the current values of exposure variables  $x_1, x_2, \dots, x_g$  into the formula of the ordinal logistic model, with the result being an estimate of the normalcy probability of the specific value that

the network packet under inspection is about to write to the continuous variable in question [part II; line 6].

If the program variable being written is a logical variable, the EI algorithm plugs the intercept term  $\alpha$  and coefficient terms  $\beta(s)$  along with the current values of exposure variables  $x_1, x_2, \dots, x_g$  into the formula of the dichotomous logistic model to estimate the normalcy probability of value 1 [part II; line 9] or value 0 [part II; line 11], depending on whether it is 1 or 0 that is being written to the logical variable, respectively.

If the normalcy probability of the value that is being written to the program variable currently under consideration is greater than zero, the EI algorithm conducts its statistical analysis in relation to the next variable that the network packet under inspection is about to write, if any. If that is not the case, i.e. the estimate of the normalcy probability is equal to zero, the EI algorithm interrupts the scrutiny and classifies the network packet as abnormal [part II; lines 13-16].

#### 4.2.4 Payload Coverage

The EI algorithm scrutinizes a large part of the payload, i.e. protocol data unit, of network packets that convey process data in a process control network. This is due to the fact that most of, or if not most of at least large parts of, the capacity of these network packet payloads is occupied by process data. A ModBus packet payload, for example, has a maximum capacity of 253 bytes.

The content of a ModBus packet payload employable for writing up to 123 contiguous 16-bit variables dedicates 1 byte to a function code that specifies the type of request,

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**Algorithm 1** Assess the normalcy of a network packet payload

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- 1: **for all**  $W[i][j]$  that models a program variable that is defined **do**
  - 2:   **if**  $W[i][j]$  models a word variable **then**
  - 3:     estimate the associated statistical parameters  $\alpha_1, \alpha_2, \dots, \alpha_h, \beta_1, \beta_2, \dots, \beta_g$  via ordinal logistic regression and maximum likelihood estimation
  - 4:   **end if**
  - 5:   **if**  $W[i][j]$  models a logical variable **then**
  - 6:     estimate the associated statistical parameters  $\alpha, \beta_1, \beta_2, \dots, \beta_g$  via dichotomous logistic regression and maximum likelihood estimation
  - 7:   **end if**
  - 8: **end for**
-

```

1:  $U \Leftarrow \text{payload}$ 
2:  $Norm \Leftarrow \text{true}$ 
3: for all  $W[i][j]$  such that  $\varphi(W[i][j]) \in U$  do
4:    $k \Leftarrow \varphi(W[i][j]) - \min(W[i][j])$ 
5:   if  $W[i][j]$  models a word variable then
6:      $p_k \Leftarrow \frac{1}{1+e^{-(\alpha_k + \sum_{a=1}^g \beta_a x_a)}} - \frac{1}{1+e^{-(\alpha_{k+1} + \sum_{a=1}^g \beta_a x_a)}}$ 
7:   end if
8:   if  $W[i][j]$  models a logical variable and  $k = 1$  then
9:      $p_k \Leftarrow \frac{1}{1+e^{-(\alpha + \sum_{a=1}^g \beta_a x_a)}}$ 
10:  else if  $W[i][j]$  models a logical variable and  $k = 0$  then
11:     $p_k \Leftarrow 1 - \frac{1}{1+e^{-(\alpha + \sum_{a=1}^g \beta_a x_a)}}$ 
12:  end if
13:  if  $p_k = 0.0$  then
14:     $Norm \Leftarrow \text{false}$ 
15:    break for loop
16:  end if
17: end for
18: return  $Norm$ 

```

namely a ModBus packet payload that writes multiple variables, 2 bytes to a base address that points to the first one of these potential 1-123 variables, 1 byte to the specification of the number of variables that are to be written, and the remaining bytes to process data.

Thus, a total of 4 bytes in a ModBus packet payload are reserved for auxiliary fields. In the case of a maximal utilization of this type of ModBus packet payload, i.e. the number of variables to be written is 123, process data occupy 246 bytes of the overall payload capacity, and hence the EI algorithm scrutinizes 98.4% of each one of these ModBus packet payloads. In a minimal utilization case the number of variables to be written would arguably be 2 since ModBus provides other types of payloads for writing single variables.

In this case process data would occupy 4 bytes, therefore the EI algorithm would scrutinize 50% of each one of these ModBus packet payloads. Clearly the correctness of such scrutiny relies heavily on the algorithm's probability mass functions. Consequently, we found substantial motivation for augmenting the construction of the algorithm's probability mass functions with a validation procedure.

## **4.3 Discussion on Inductive Machine Learning in a DCS**

### **4.3.1 Generating the Learning Data Set**

As in the learning phase of traditional anomaly intrusion detection, we need to run a DCS-controlled physical system normally and under no attacks in order to have



it exhibit its normal behavior in terms of network packets that are transmitted over the associated process control network. Our experience with this research indicates that an appropriate way of implementing the learning phase is to use a hybrid replica of the real DCS-controlled physical system. The hybrid replica is to be formed by both real and simulated elements, and is required to strictly resemble the real DCS-controlled physical system.

The cyber side of the hybrid replica is to be formed by genuine control systems and networks that possibly are to be identical to the control systems and networks in the real DCS-controlled physical system, respectively. Furthermore, system and network configurations in the hybrid replica are a copy of the system and network configurations deployed on the cyber side of the real DCS-controlled physical system. Real world DCS like General Electric's Mark VIe or OC 4000 would be ideal as the cyber side of the hybrid replica.

Nevertheless, as of the time this research was conducted we didn't have access to a DCS that is deployed in real world power plants, and thus constructed a DCS comprised of ModBus speaking MatPLC systems. The majority of that part of the hybrid replica that corresponds to the physical side of the real DCS-controlled physical system is to be simulated. Given the individual nature of this research, we conducted a continuous simulation of only a limited part of an ABWR, namely a simplified version of the rod motion and water injection control mechanisms along with a small portion of reactor physics.

The rationality behind using a hybrid replica for learning the normal behavior of a DCS-controlled physical system rather than the DCS-controlled physical system itself

is formed of a variety of reasons. Gathering training data that are to be used during the learning phase involves either installing additional code in each control system in order to copy values of variables from RAM memory as they evolve, or tapping into control networks and fieldbus networks in order to sniff process control traffic, which is then used to reconstruct values of variables in the RAM memory of each control system.

In a DCS-controlled physical system such as a nuclear power plant in production the aforementioned system or network interventions may be quite constrained by safety procedures. Training data that characterize temporary perturbations of critical process parameters certainly are not immediately available in a DCS-controlled physical system in production. Learning about transients in a nuclear power plant in production, for example, requires gathering or reconstructing values of variables in RAM memory as transients occur.

Further, variations in transient severity also need to be taken into account in the learning phase. Generally it may take some time before a DCS-controlled physical system transitions between various operational states. For example, it may take some time before a nuclear power plant transitions from 20% thermal power to 40% thermal power and then to 100% thermal power, depending on the demands of the overall electric power distribution network. If we're interested in initialization conditions, it may also take time before a nuclear power plant is shut down and then is restarted again. Learning the effects of depletion of consumable physical elements on data transition flows in a real DCS-controlled physical system is also an issue.

In a nuclear power plant, for example, the concentration of nuclear fuel decreases

with time due to the fission process. This has a direct affect on a series of process parameters, and hence on logical or word variables in control systems due to a cyber-physical mapping in place. Consumption of nuclear fuel continues throughout the operation of a nuclear power plant until it is time for refueling the reactor. If we're interested in developing classifiers that are fully aware of the slow effects of gradual nuclear fuel consumption on data transition flows, then we have to gather data for a period that extends to the lifetime of a nuclear fuel load in the reactor, i.e. usually many months.

For instance, in a General Electric reactor designed according to what is known as a BWR-4 model, the lifetime of a nuclear fuel load is about 18 months under the assumption that the reactor operates at full thermal power with few interruptions [1]. In a hybrid replica of a DCS-controlled physical system to be protected, RAM memory monitoring code can be safely installed in each control system, and sniffing tools can also be safely tapped into control networks and fieldbus networks. In a hybrid replica temporary perturbations of critical process parameters, such as transients in nuclear power plants, can be easily emulated at all possible severities.

These emulations enable the anomaly detection system to be able to estimate data transition flows that have the potential to be followed by logical or word variables in the RAM memory of control systems when a DCS-controlled physical system to be protected is subject to these operationally abnormal events. A hybrid replica can be quickly brought to various states, and hence be transitioned between them. A hybrid replica can also be shut down and restarted quickly. The aforementioned maneuvers generate statistical data that allow for reproducing the behavior in terms of data

transition flows that a DCS-controlled physical system exhibits when it is in initialization conditions, or as it transitions between various possible operational states.

The simulator part of a hybrid replica can be used to simulate in an accelerated way the depletion of consumable physical elements such as nuclear fuel, and thus allow for the anomaly detection system to learn the effects that this physical phenomenon has on data transition flows in a real DCS-controlled physical system. Please notice that, as the statistical intrusion detection provided in this dissertation is based on logistic regression, its learning procedure does not require the whole population of network packets that characterize a normal network operation of a DCS-controlled physical system. In other words, our algorithm does not need to be presented with all possible normal flows of values of a logical or word variable.

We only need to generate through the hybrid replica a sample of the said population. This sample does suffice for our algorithm to produce maximum-entropy classifiers that can process all possible network packets, and hence determine the normalcy or abnormalcy of any flows of values of any logical or word variables. This is, again, due to the kind of statistical foundation of our algorithm, namely logistic regression, which can estimate statistical parameters that hold for a whole population even though the regression is applied only on a sample of the said population.

In [81], Mahoney and Chan report some limitations of the simulated normal network traffic gathered in the IDEVAL datasets [44] and used as a benchmark for evaluating anomaly intrusion detection systems. Mahoney and Chan have found that IDEVAL data are excessively predictable and clean, and that several successful intrusion detections in IDEVAL are due to certain details of the network simulation process. Based

on their research in [81], Mahoney and Chan believe that Internet traffic is too complex to be accurately simulated, while computer network attacks can be simulated correctly. Consequently they propose to use real rather than simulated network traffic as training data, while continuing to use data gathered from simulated attacks for testing anomaly intrusion detection systems.

The findings of Mahoney and Chan do not directly affect our approach of generating a learning data set since we use genuine control systems and networks, and hence real network traffic, for inductive machine learning. In our mind though their research raises some concerns whether the continuous simulation of a physical system resembles the said physical system to a degree that is sufficient not to negatively affect the learning process. We believe that a further study similar to that of Mahoney and Chan is needed to validate the usability of network traffic generated via a hybrid replica to learn profiles of normal behavior of the corresponding real cyber-physical system. We leave this study as a future work since as of this writing we do not have access to a data set gathered from the process control network of a real nuclear power plant, which is the physical system of reference in our research.

### **4.3.2 Handling Black Swan Events**

The maximum-entropy classifiers produced by the statistical intrusion detection algorithm are trained to be capable of dealing with data transition flows that are exclusively due to black swan events. Black swan events are large-impact, hard-to-predict, and rare events that lie beyond the realm of normal expectations [111]. In nuclear power plants we identify as black swan events any events such as electric, me-

chanical, or electronic faults in plant equipment, breakages, etc., that have potential for causing transients and accidents of any level of gravity.

Transients are abnormal events that can cause temporary perturbations of critical process parameters of a DCS-controlled nuclear power plant. Transients in general trigger a corrective response by control systems. An example of a transient is an event in which at a high power level a feed water pump experiences dysfunction due to some fault, with the consequence being a rapid drop in reactor water level. The corrective response taken by control systems consists in reducing reactor thermal power by inserting control rods, i.e. rods that contain the element boron and as such add negative reactivity by absorbing neutrons.

Accidents in a nuclear power plant are events that have potential for breaking the protective measures designed to prevent release of radioactive material. We have simulated a series of computer network attacks on the MatPLCs of the previously described DCS, and thus noticed the following: the data transition flows that are followed by logical or word variables in the RAM variable memory of compromised control systems as a successful attack tends to reach its ultimate objective, namely cause physical damage, are identical to the data transition flows followed by these variables when transients or accidents occur.

This is obvious since causations of physical damage by attacks over the network may be considered as intentional transients or accidents, respectively. What we meant with dealing with data transition flows that are exclusively due to black swan events is to generate maximum-entropy classifiers which do not classify transients and accidents as computer network attacks, and which do not classify as transients and

accidents those computer network attacks that are stealth enough to masquerade as transients and accidents, respectively.

In order to generate maximum-entropy classifiers with the said capability, we do include in the learning data set values of logical or word variables that characterize transients and accidents, relying on the distinction between causation and reporting. In the learning phase we absolutely do not allow the transmission of any network packets that are not part of a normal network operation of a DCS-controlled power plant, while still allowing for a power plant to be in abnormal conditions in conjunction with network packets that cause evolutions of values of logical or word variables that characterize a recovery.

In other words, the statistical intrusion detection algorithm is not presented with network packets that will force the power plant to precipitate into abnormal conditions, but still the maximum-entropy classifiers are taught how to recognize evolutions of logical or word variables that characterize corrective responses taken by control systems to normalize the plant conditions. The statistical intrusion detection algorithm is capable of recognizing black swan events, and hence does not report them as anomalies. Furthermore, the statistical intrusion detection algorithm classifies as abnormal all those network packets that have potential for causing black swan events.

## **4.4 Probabilistic Validation**

The EI algorithm's effectiveness to estimate probability mass functions that permit only normal evolutions of values of logical or word variables in the RAM variable memory of control systems is validated via modeling and simulation. For the said

purpose we develop validation models based on the stochastic activity network formalism (SAN) [102, 104], which thereafter are solved via the Möbius tool [25]. We opted for a simulation-based validation because of a variety of reasons.

Clearly a data set that is comprised of network packets sniffed from the process control network of a real world DCS-controlled physical system like a nuclear power plant in operation would have been an excellent evaluation benchmark for assessing whether the EI algorithm classifies as normal each single network packet of the said data set. Nevertheless, access for experimentation purposes to a real world DCS controlled physical system in operation normally is not available.

At least we as academic researchers, as of the time this research was conducted, haven't had feasible means of acquiring real world process control network traffic on which to base the validation of the EI algorithm, nor are we aware of the existence of such a data set. Furthermore, clearly the data set that fed the inductive machine learning phase is not appropriate for validating the maximum-entropy classifiers.

A real world DCS-controlled physical system like a power plant in operation may exhibit only a subset of the data transition flows that form its normal behavior. Demonstrating the EI algorithm's effectiveness on a limited number of data transition flows is only a partial validation of the algorithm in question. Clearly a power plant cannot be operated in such a way as to generate a thorough data set usable for validation purposes.

In other words, it may not be feasible to dedicate the operation of a real world power plant in operation to an algorithm validation procedure. Even more unreachable appears to be the access to a data set which includes network packets that are part of a



computer network attack on a real world DCS-controlled nuclear power plant, which is our reference physical system in this research.

Although such data set would have been a valuable instrument to validate the detection capability of the EI algorithm, we believe that several concerns may apply to its being publicly available due to its relevance to national security. The employment of modeling and simulation for validation purposes is common in environments in which experimentation with real world equipment and/or physical phenomena is not available or feasible.

An argument for advocating the rationality behind using simulation to validate our statistical intrusion detection algorithm is a parallelism between the said algorithm and conflict detection algorithms that are used in airborne collision avoidance systems. While a conflict detection algorithm aims at detecting collision conditions that threaten the safety of flying aircraft, the EI algorithm aims at detecting abnormal network communication conditions that threaten the safety of a DCS-controlled physical system like a power plant.

Most importantly, creating real collision conditions to validate the effectiveness of a conflict detection algorithm is dangerous in the same way as it is to conduct real computer network attacks on a real world power plant to validate the effectiveness of an intrusion detection algorithm devised for operation in process control networks. As can be derived from the review of conflict detection algorithms conducted by Thomas et al. in [113], simulation is a major instrument for validating the effectiveness of such algorithms.

### 4.4.1 Stochastic Activity Networks with Activity-Marking Oriented Reward Structures

An activity network [102, 104] is a generalized Petri net [93]. It can be defined as an eight-tuple:  $AN = (T, E, I, O, \zeta, \eta, i, o)$ . In this definition  $T$  is a finite set of places, which in a graphical representation are denoted by circles. As in a Petri net, places hold tokens, which indicate the value or state of a place. The distribution of tokens among all the places in an activity network is called a marking. Thus, the marking of an activity network is a function  $\mu_T : T \rightarrow \mathbb{N}$ . If  $S$  is a set such that  $S \subset T$  and  $S \neq \emptyset$ , then a specific marking of  $S$  is called a partial marking and is formed by the function  $\mu_S : S \rightarrow \mathbb{N}$ .

The set of possible markings of  $S$  is comprised of the set of functions  $M_S = \{\mu_S \mid \mu_S : S \rightarrow \mathbb{N}\}$ . In the activity network definition,  $E$  is a finite set of activities, i.e. transitions that model activities of a system being modeled. Each activity has one or more cases, which are used to indicate a possible action that may be taken upon the completion of the activity. Cases are denoted by small circles on the right side of activities. Activities are of two kinds, namely timed activities and instantaneous activities.

Timed activities are transitions that have non-negligible durations, while instantaneous activities complete in a negligible amount of time. In a graphical representation timed activities and instantaneous activities are denoted by thick bars and thin bars, respectively.  $I$  is a finite set of input gates, which connect places to activities. An input gate is a triple  $ig = (G, e, f)$ , in which  $G \subseteq T$  is a set of input places that are associated with the input gate  $ig$ ,  $e : M_G \rightarrow \{0, 1\}$  is the enabling predicate of the

said input gate, and  $f : M_G \rightarrow M_G$  is the input function of the gate.

An input gate  $ig = (G, e, f)$  is said to hold in the marking  $\mu_T$  if  $e(\mu_G) = 1$ . In a graphical representation input gates are denoted by triangles that point to the left.

An activity is said to be enabled when all of the input gates that are connected to the said activity hold.  $O$  is a finite set of output gates, which connect activities to places. An output gate is a pair  $og = (G, f)$ , in which  $G \subseteq T$  is a set of output places that are associated with the output gate  $og$ , and  $f$  is the output function of the said gate and is defined as  $f : M_G \rightarrow M_G$ .

In a graphical representation output gates are denoted by triangles that point to the right. In the activity network definition,  $\zeta$  is a function that specifies the number of cases for each activity, and thus is defined as  $\zeta : E \rightarrow \mathbb{N}^+$ .  $\eta$  is a function that indicates for each activity whether it is timed or instantaneous, and is defined as  $\eta : E \rightarrow \{Timed, Instantaneous\}$ .  $i$  is a function that specifies which input gates are connected to which activity. It is defined as  $i : I \rightarrow E$ .

$o$  is a function that connects output gates to cases of activities. It is defined as  $o : O \rightarrow \{(a, c)\}$ , where  $a$  is an activity and  $c$  is a case of the activity  $a$ . Stochastic activity networks (SANs) are a stochastic extension to activity networks. The said extension lies in activity time distribution functions and activity case distribution functions. An activity time distribution function probabilistically specifies the duration of a timed activity to which it is assigned. An activity case distribution function assigned to an activity with more than one case specifies the probability distribution of those cases, i.e. for each case the function in question specifies the probability that the said case will be selected.

The overall behavior of a SAN is formed by enabling of activities, completion of activities, selection of activity cases, and changes in markings. Reward variables in a SAN are organized according to their reward structure type, category within a reward structure type, and variable type [103, 104]. The reward structure type that is applied to validate the algorithm is the activity-marking oriented reward structure [103, 104]. An activity-marking oriented reward structure is a set of functions that quantify impulse rewards, i.e. benefits associated with completion of defined activities, and functions that quantify rates of reward, i.e. benefits associated with defined numbers of tokens in defined places.

The former functions are of the form  $C : E \rightarrow \mathbb{R}$ , in which if  $a \in E$ ,  $C(a)$  is the impulse reward gained by the completion of  $a$ . The latter functions are of the form  $R : \Upsilon \rightarrow \mathbb{R}$ , where  $\Upsilon$  is the set of partial markings. If  $\mu \in \Upsilon$ , then  $R(\mu)$  is the rate of reward gained when the partial marking  $\mu$  is reached. The category within the activity-marking oriented reward structure that is of our interest is the interval-of-time category. The variable type in the said category that we apply in this research is the one that represents the total reward accumulated during a defined time interval  $\Delta t$ .

#### 4.4.2 Construction and Solution of Validation Models based on Stochastic Activity Networks

As we have in hand a probabilistic characterization of the evolutions of values of elements of the matrix  $W$ , namely probability mass functions, clearly from the EI algorithm's perspective our dynamic system exhibits a stochastic behavior. We

model the said dynamic system as a SAN, and thus have the behavior of the SAN model correspond with the normal behavior of the dynamic system, and hence with the normal behavior of the whole cyber-physical system. By doing so we gain the opportunity to check whether the said dynamic system evolves into specific states that are indicative of conditions that are not created throughout a normal operation of a DCS-controlled physical system.

Conversely, if the dynamic system in question evolves only between states that characterize a normal operation of a DCS-controlled physical system, we can gain confidence that the EI algorithm indeed estimates probability mass functions that do not allow a DCS-controlled physical system to be taken to abnormal conditions. The elements of the matrix  $W$  are in turn modeled as elements of  $T$ , i.e. places, and thus the values of the elements of the matrix  $W$  are modeled as tokens in places. Let  $S$  be the set of places that model discrete input variables, input register variables, and those holding register variables and coil variables that are used to store measurement data or data produced by computations on measurement data.

An example of the latter data in a nuclear power plant is thermal power, which is computed upon neutron population measurements that are received over a fieldbus network from a large number of sensors distributed within the reactor core.  $M_S$ , i.e. the set of possible markings of  $S$ , may be defined as  $M_S = M_{S_n} \cup M_{S_a}$ , where  $M_{S_n}$  is the set of possible markings of  $S$  that represent normal conditions of the physical process, while  $M_{S_a}$  is the set of possible markings of  $S$  that represent abnormal conditions of the physical process.

Thus, the normal behavior of the physical process is comprised of evolutions between

$\{\mu_S \mid \mu_S \in M_{S_n}\}$ , while the abnormal behavior of the physical process involves an evolution into any  $\{\mu_S \mid \mu_S \in M_{S_a}\}$ . Let  $Q = T - S$  be the set of places that model coil variables and holding register variables that are used to store set points and actuator control values. Let  $M_Q$  denote the possible markings of  $Q$ .  $\forall \mu_S \in M_{S_n}$ ,  $M_Q = M_{Q_n} \cup M_{Q_a}$  relative to  $\mu_S$ , where  $M_{Q_n}$  and  $M_{Q_a}$  are comprised of all those partial markings in  $M_Q$  that cause an evolution of  $\mu_S$  into a marking of  $S$  that lies in  $M_{S_n}$  and  $M_{S_a}$ , respectively.

The evolutions of values of each  $W[i][j]$  which models a program variable that is used to store set points or actuator control values are themselves modeled as an activity, say  $a_{W[i][j]}$ . In other words, the evolutions of numbers of tokens in each one of the places in  $Q$  are modeled as an activity. Many of the evolutions of values of program variables that are used to store set points and actuator control values, which we model as activities, have non-negligible durations.

The said durations though depend on factors whose prediction lies outside our problem domain. In a nuclear power plant, for example, the duration of a specific evolution of values of program variables that is caused by a transition of the plant from 40% thermal power to, say, 42% thermal power depends on the demands of the overall electric power distribution network. If thermal power in a plant is currently 40% and due to some reasons the demand for electric power increases, then an operator will quickly transition the plant from 40% thermal power to 42% thermal power, and so on.

If the demand for electric power remains constant for an undetermined amount of time, then an operator may keep the plant at 40% thermal power for a while until

the demand for electric power increases. Clearly the duration of the said evolution is quite variable from case to case, and thus a precise estimation of the duration in question is not available. As another example, consider the automatic response initiated by control systems in a nuclear power plant upon sensing of a fault condition in an electrical generator.

The said response is comprised of opening the generator output breaker, closing the turbine steam admission valves, and opening the turbine bypass valve. Estimating the duration, or rate, of any of the evolutions of values of program variables that are caused by the response in question is equivalent to estimating the failure rate of the electrical power generator. The activities in the validation models are defined to be instantaneous. We deem that this modeling choice does not affect the correctness of the validation procedure.

SANs with activity-marking oriented reward structures traditionally are used to determine measures of time-dependent concepts, like performance along with queueing time, steady-state and interval availability, reliability over a defined amount of time, etc. In the validation procedure we are only interested in assessing whether the evolutions modeled by activities have potential for taking the aforementioned dynamic system into particular states that are indicative of unsafe and abnormal conditions, regardless of the time. Furthermore, in SAN modeling the duration of each activity is normally considered relative to a variable being measured [102].

The case distribution function of an activity  $a_{W[i][j]}$  is exactly the probability mass function  $\Gamma_{W[i][j]}$ . Let  $\Gamma_{W[i][j]}$  as applied in a validation model based on a SAN be referred to as SAN- $\Gamma_{W[i][j]}$ . The domain of SAN- $\Gamma_{W[i][j]}$  is comprised of all possible

markings of  $T$ . Being identical to  $\Gamma_{W[i][j]}$ ,  $\text{SAN-}\Gamma_{W[i][j]}$  produces in output a stochastic vector for each individual marking of  $T$ , with the extension that each probability in the stochastic vector is assigned to a case of the activity in question.

Thus, for each activity  $a_{W[i][j]}$  in a validation model we have  $\zeta(a_{W[i][j]}) = h + 1$ . These cases are sequentially numbered from  $\min(W[i][j])$  to  $\min(W[i][j]) + h$ , i.e.  $\max(W[i][j])$ . The probability  $p_k$ , i.e. the value stored at index  $k$  of the stochastic vector produced by  $\text{SAN-}\Gamma_{W[i][j]}$ , is assigned to the  $(\min(W[i][j]) + k)$ -th case of the activity  $a_{W[i][j]}$ . Let  $\epsilon_{W[i][j]}$  denote a place that models  $W[i][j]$  in the validation models. Selection of the  $(\min(W[i][j]) + k)$ -th case of an activity  $a_{W[i][j]}$  denotes the fact that the number of tokens in  $\epsilon_{W[i][j]}$  is transitioning to  $\min(W[i][j]) + k$ .

In a validation model, the set of places  $T$  is connected to an activity  $a_{W[i][j]}$  via an input gate  $ig_{W[i][j]} = (G, e, f)$ . Thus, for each  $W[i][j]$  that is modeled by one of the places in  $Q$ , we have  $i : ig_{W[i][j]} \rightarrow a_{W[i][j]}$ . The set of input places  $G$  is defined as  $G = T$ . The enabling predicate  $e$  applies  $\text{SAN-}\Gamma_{W[i][j]}$  on the current marking of  $T$  in order to compute a stochastic vector, and thereafter sequentially searches in the said vector for any  $p_k > 0.0$ .

If the said enabling predicate finds at least one  $p_k > 0.0$ , then it returns 1, otherwise it returns 0. In other words, an input gate  $ig_{W[i][j]}$  holds, and hence enables an activity  $a_{W[i][j]}$ , only if the current marking of  $T$  is deemed to allow for a normal transition of the number of tokens in  $\epsilon_{W[i][j]}$ . In the input gate definition, the input function  $f$  is an identity function. Each case  $\min(W[i][j]) + k$  of an activity  $a_{W[i][j]}$  is connected to an output gate, say  $og_{W[i][j]}^{Min+k} = (G, f)$ . Thus, for each  $W[i][j]$  that is modeled by one of the places in  $Q$ , we have  $o : og_{W[i][j]}^{Min+k} \rightarrow (a_{W[i][j]}, \min(W[i][j]) + k)$ .



Let  $S_{W[i][j]} \subset S$  be the set of places which model program variables that are affected by values of  $W[i][j]$  according to some physics or chemistry equations. In each  $og_{W[i][j]}^{Min+k}$ ,  $G = S_{W[i][j]} \cup \epsilon_{W[i][j]}$ . While function  $f$  sets the number of tokens in  $\epsilon_{W[i][j]}$  to  $\min(W[i][j]) + k$ , and the number of tokens in each place in  $S_{W[i][j]}$  to set a value that is calculated via the said equations, where  $W[i][j]$  is taken as  $\min(W[i][j]) + k$ .

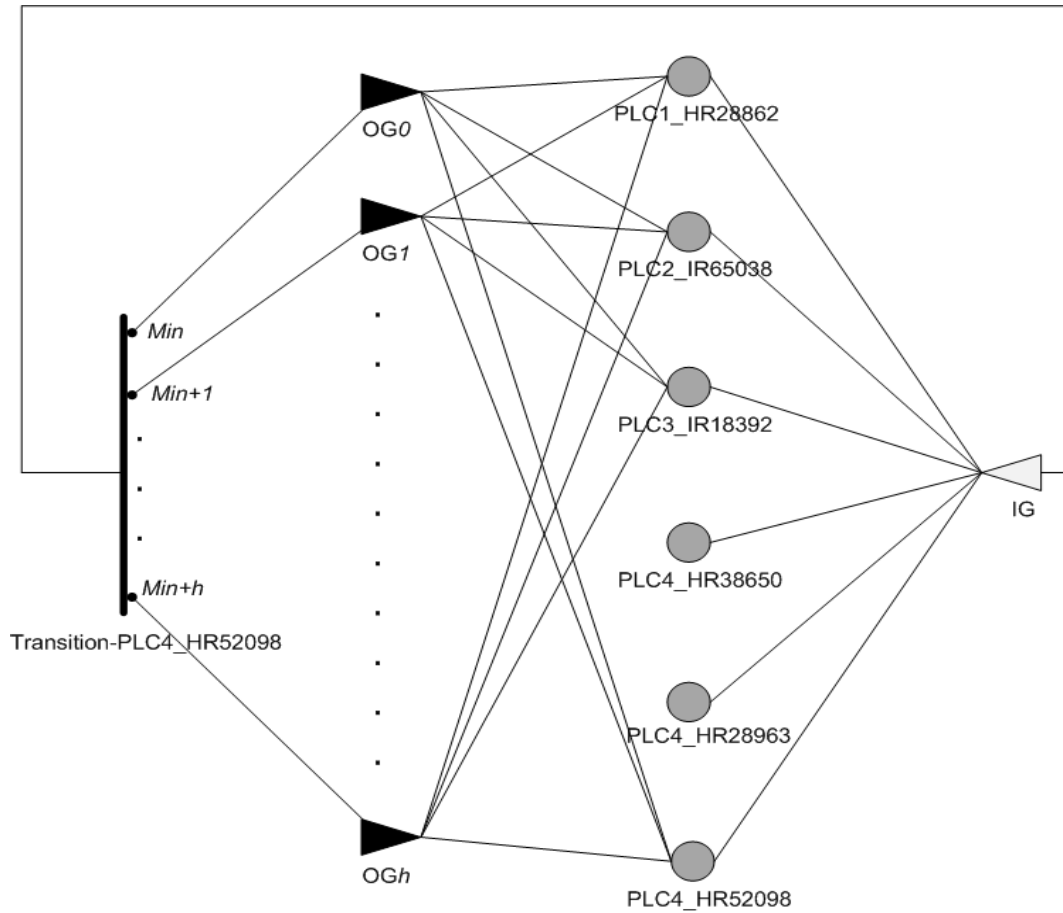


Figure 4.1: Typical architecture of a SAN model developed for testing a set of stochastic vectors produced by a probability mass function.

Overall, the behavior of these SANs represents the behavior of a cyber-physical system considered in its entirety, such as for example a digitally controlled nuclear power plant along with its associated process control networks, as enforced by the EI algo-

rithm. The question that we are interested to ask is the following: is there an activity that causes a change in the marking of the SANs in question such that the new partial marking of  $S$  results to be an element of  $M_{S_a}$  ?

For being able to respond to the said question, in the Möbius tool we define a series of rates of reward variables of the interval-of-time category that intercept all  $\{\mu_S \mid \mu_S \in M_{S_a}\}$ . The SANs are then solved for very large  $\Delta t$ . In the estimates computed via solutions of the SANs in question the reward accumulated by the said rates of reward variables is 0.0, which means that the partial marking of  $S$  never evolved into any  $\{\mu_S \mid \mu_S \in M_{S_a}\}$ . The typical architecture of a validation model based on a SAN is depicted in Figure 4.1.

# Chapter 5

## PROCESS AWARE SPECIFICATION-BASED DETECTION

### 5.1 Introduction

Experimental evaluations of specification-based intrusion detection indicate that this approach is efficient in detecting known and unknown attacks [114]. Furthermore, it is capable of maintaining a very low rate of false positives [114]. More precisely, in [114] Uppuluri and Sekar report experiments with specification-based detection whose outcome is 0 false alarms in both online and offline testing. Nevertheless, specification-based intrusion detection is not as effective as anomaly intrusion detection in detecting unknown attacks [106].

Ever since specification-based intrusion detection was first introduced in [74, 107],

little progress has been made in enhancing its detection capabilities, and hence make these capabilities comparable to those of anomaly intrusion detection with regard to detection of unknown attacks. The problem lies in attacks whose manifestations are compliant with manually developed specifications of normal behavior. In a process control network this problem takes the form of malicious network packets that are capable of passing all tests of model-based intrusion detection [4].

Sekar et al. in [106] address this problem in its original form by combining specification-based detection with anomaly detection. For each host or router in a network, Sekar et al. developed specifications of normal network traffic that is received or transmitted by the modeled host or router, respectively. Sekar et al. derive specifications of normal network traffic from requests for comments (RFCs) or other descriptions of communication protocols, and thus represent these specifications as extended finite state automata.

Sekar et al. then apply anomaly detection on top of the extended finite state automata. Sekar et al. employ machine learning to capture statistical properties of network traffic, such as frequencies of transitions between control states in an extended finite state automaton, the most encountered value of a state variable at a control state of an extended finite state automaton, and the distribution of values of a state variable in an extended finite state automaton.

In this chapter we discuss our research on advancing the detection capabilities of specification-based intrusion detection itself when employed in a process control network. We leave open the possibility of applying statistical machine learning or other anomaly intrusion detection approaches on top of the improved specification-based

approach.

Thus, the approach discussed in this chapter, which we refer to as physical process aware specification-based intrusion detection, is specific to process control networks. As such it aims at leveraging model-based intrusion detection into an extended specification-based intrusion detection approach whose effectiveness with regard to detection of unknown attacks is comparable to the effectiveness of anomaly intrusion detection.

## 5.2 Semantic Analysis of Network Traffic

Given a network packet, i.e. a byte stream, we are interested in deriving the semantic meaning of this byte stream. We need to derive the operation or function that the byte stream in question is about to perform. We refer to this process as byte stream semantic analysis, and employ it as a fundamental mechanism to increase the scrutiny of network packets that flow across a process control network. For example, referring to Figure 5.1, the semantic meaning of a network packet comprised of the five bytes 0x05 0x03 0x40 0xff 0x00, in a specific nuclear power plant, is: *Closing a main steam line isolation valve.*

As depicted in Figure 5.1, we apply byte stream semantic analysis on top of model-based intrusion detection. We do so for two main reasons. First, if a network packet is found to be malformed, then it is the model-based intrusion detection approach to generate an intrusion alert. If that was the case, there would be no need for further scrutiny, and thus our approach would have been redundant. For this reason a network packet is first scrutinized by the model-based intrusion detection.

The network packet is scrutinized by our approach only if it is classified as normal by the model-based intrusion detection. Secondly, a network packet that is malformed is not unequivocally interpretable. In other words, it is not possible to unequivocally determine what a network packet of that kind is doing with respect to the network operation of a nuclear power plant. Byte stream semantic analysis is fed with information from three sources, namely protocol specification, cyber-physical system configuration, and physical equipment specification when necessary.

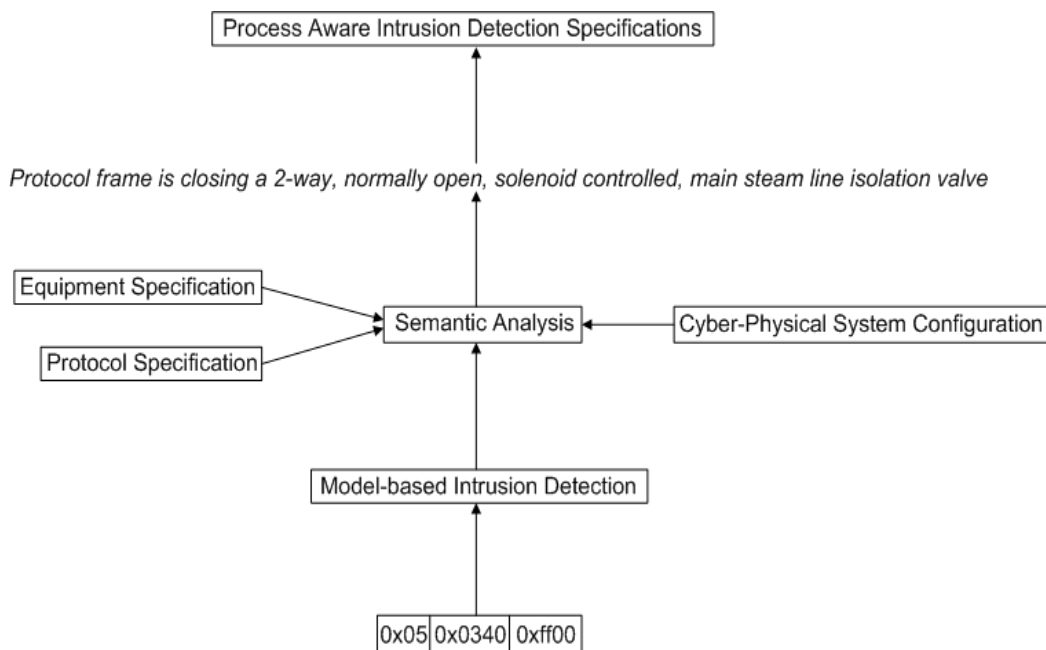


Figure 5.1: Schematic representation of the application of process-aware intrusion detection specifications.

Thorough insight into the communication protocol being used by control systems in a DCS is essential for determining the data model, addressing model, and how network packets make use of the said models to perform operations on data stored in the RAM of a control system.

For example, if process control communications in a DCS are conducted via the ModBus protocol, the information that is required in a byte stream semantic analysis includes the fact that measurement data generated by continuous sensors are stored in input register variables, each one of which stores a 16-bit word, and so on for the other types of program variables in the ModBus data model; that at protocol level there is an address in the range [0, 65535] that corresponds to each one of the program variables of a defined type, and that a specific mapping table associates protocol level addresses with addresses of locations in the physical memory of a control system; that program variables are accessed via specific function codes; etc.

In the example of Figure 5.1, the intermediate outcome that we reach via byte stream semantic analysis upon consultation of information provided by the ModBus protocol specification, is that the network packet under inspection is writing a value of 1 into the coil variable whose protocol level address is 832. In other words, this network packet is requesting to energize the logical output that is represented by the said program variable.

The cyber-physical system configuration provides byte stream semantic analysis with information like what program variable with what address is mapped to what parameter of a physical process or equipment, and hence implicitly what control system monitors and/or operates what physical equipment, what control program running on a control system handles what aspect of a physical process or equipment operation, etc.

Referring to Figure 5.1 again, the relevant information that byte stream semantic analysis receives from cyber-physical system configuration is that the coil variable

with protocol level address 832 in the RAM of the destination control system is mapped to the output contact that controls the state of a main steam line isolation valve, i.e. open or closed. In light of this new information, byte stream semantic analysis refines the intermediate outcome into another intermediate outcome, namely that the network packet under inspection is requesting to operate on a main steam line isolation valve via application of electric power.

Equipment specification provides information about the architecture and configuration of specific equipment. This information is useful from the perspective of scrutinizing network packets, since normal network control of equipment of the same type, but with different architectures or configurations, may be characterized by different network packets. Consider for example a water pump whose maximum rate is 8.4 million of pounds per hour (MLB/hr), and another water pump whose maximum rate is 12 MLB/hr.

Let us assume that these rate values are scaled via a multiplication by 10. While a network packet that conveys a rate value of 100 may be potentially normal if destined for the latter water pump, that same network packet is certainly not normal if destined for the former water pump. Referring to the specific example of Figure 5.1, the information that is provided by equipment specification on the main steam line isolation valve includes the number of positions and the valve position when power is off, namely 2 and open, respectively.

At this point byte stream semantic analysis refines the current intermediate outcome into the final outcome, which is that the network packet under inspection is closing a 2-way, normally open, main steam line isolation valve. In order to highlight the



effect that equipment specification has on the final outcome of byte stream semantic analysis, let us consider the case in which according to equipment specification the main steam line isolation valve is a normally closed valve. Taking into account that the network packet under inspection is requesting to apply power on the main steam line isolation valve, the semantic of this network packet would have been that it is opening the main steam line isolation valve rather than closing it.

If due to any reason a byte stream semantic analysis fails to derive a semantic meaning from a network packet, then the proposed intrusion detection approach deems that the said network packet is abnormal, and hence raises an intrusion alert. The rationality behind this conclusion is that, due to the special purpose nature of process control networks, every normal network packet that flows over such networks carries a semantic meaning.

As we show in a practical example later on in this chapter, the detection specifications that we develop in this work do take into account temporary perturbations of critical process parameters caused by mechanical or electrical faults of physical equipment, pipe breaks, etc. Thus, the detection specifications that we develop in this work do not classify the aforementioned transient events as attacks, but rather express network packets that would stabilize those critical process parameters.

### **5.3 Specifications of Control Network Traffic**

A DCS-controlled nuclear power plant is operated in two simultaneously active ways, namely supervisory and automatic. In a supervisory operation, plant operators consult real-time sensor data and accordingly send process set points over a process

control network to control systems. In an automatic operation, logic solving scan programs running in control systems elaborate sensor data along with set points and generate automatic responses according to a specific control logic.

Both supervisory operation and automatic operation are conducted over a process control network according to a series of well defined rules, which ensure a safe operation of a DCS-controlled nuclear power plant. Conversely, any violations of these operation rules have potential for causing perturbations to process parameters, and thus can cause possible accidents. We leverage these operation rules to develop detection specifications that further extend the scrutiny of network packets that flow across a process control network.

In our research we deem a network packet as abnormal if the associated semantic meaning, as derived via byte stream semantic analysis, violates any of the detection specifications. We now provide a practical explanation of the concepts discussed so far by referring to the example of Figure 5.1. Recall that in this example a network packet that is being scrutinized requests closure of a 2-way, normally open, main steam line isolation valve.

A main steam line in a nuclear power plant is a large pipe that is used to convey steam from the reactor, where it is created, into the generators' room, where it is used to drive a turbine generator for the purpose of producing electric power. A main steam line isolation valve is positioned in a main steamline, where the latter enters the reactor vessel. This valve is used to close off the flow of steam from the reactor vessel in the case downstream piping gets broken at any point due to any reason.

According to the operation rules, a main steam line isolation valve normally remains

open in order to allow steam to flow through the pipe. The valve is closed only when control systems sense a low water level or excessive flow in the reactor pressure vessel, and/or a low pressure in the main steam line. A typical nuclear power plant contains four main steam lines with two main steam line isolation valves per steam line.

Closing them in normal plant conditions would cause a pressurization of the reactor vessel, which would then be followed by an addition of positive reactivity. For the network packet that is depicted in Figure 5.1 to be classified as normal, it has to be received when either one or both of the aforementioned perturbations are sensed. Otherwise the network packet in question is classified as abnormal since it is violating the operation rules, i.e. it is closing a main steam line isolation valve in a plant condition in which the valve in question should remain open.

## 5.4 Activity Network Modeling of Detection Specifications

In summary, for a network packet to be classified as normal by the intrusion detection approach described in this chapter, it is required to satisfy two properties, namely (1) have a valid semantic meaning, and (2) have a semantic meaning that fully complies with supervisory or automatic operation rules. In order to make a concrete and consistent use of scrutiny, we need a deterministic state-transition formalism to model a joint representation of byte stream semantic analysis and operation rules. As can be derived from the next two sections of this chapter, byte stream semantic analysis and operation rules are state dependent and transition related concepts. In

this research our formalism of choice is the activity network [102]. We develop activity network models that reason in terms of network packets, since the physical process aware intrusion detection approach is to be deployed as a software component of a network traffic inspection tool.

The specification-based anomaly detection counterpart of our activity network formalism is the extended finite state machine. In [106], Sekar et al. use extended finite state machines to model protocol level specifications. We apply the network formalism in a functionally similar way. This is consistent, since the contribution of the proposed approach lies in an increase of the scrutiny of network traffic rather than in a modification of the foundations of specification-based intrusion detection itself.

Before we proceed, let us define physical process aware specifications as compositions of byte stream semantic analysis and supervisory or automatic operation rules. A key factor in the process of developing activity network models for intrusion detection consists of how to map elements of process aware specifications into activity network primitives. We model as activity network places the various fields of a network packet payload along with the program variables that are stored in the RAM of control systems.

We also model as activity network places various additional arguments that throughout the development of activity network models result necessary to fully characterize network packet transmissions between control systems via network packets. For example, in Figure 5.3 and Figure 5.5 we can tell places like pending function code, pending address, and pending value, which represent a write request that has been issued but that still has to be confirmed by the receiving control system.

We model as activity network activities all possible semantic meanings of network packets that comply with operation rules. We place the burden of byte stream semantic analysis and checks for compliance with operation rules on activity network input gates. Each input gate is equipped with a predicate that tests whether a defined semantic meaning corresponds to a network packet under inspection. If that is the case, the predicate consults the number of tokens at various places in order to determine whether the operation denoted by the semantic meaning in question is not violating any operation rules.

Only if these two conditions are satisfied does the activity that is associated with this input gate get enabled. The enabling of a specific activity is indicative of the fact that a network packet under inspection has successfully passed the intrusion detection scrutiny. We model as output gates the effects induced by network packets that have been deemed as normal. As a network packet is sniffed from a process control network, the value of each field of that packet is extracted and is used as the number of tokens at the place that represents the field in question.

For a network packet to be classified as normal, there has to be an input gate whose predicate holds, in which case an associated activity is enabled and completes, with the result being that an activity network model transitions from a specific marking into another marking.

## 5.5 Concrete Activity Network Models

### 5.5.1 Supervisory Control Specifications

We now provide concrete examples of detection specifications derived from rules that regulate the supervisory network operation of a DCS-controlled nuclear power plant. We also show how one of these specifications and the associated part of byte stream semantic analysis are encoded into an activity network model. A nuclear power plant is operated over process control networks via HMI controls according to precise instructions. For candidate operators to be licensed to operate a nuclear power plant, they are required to learn the aforementioned instructions in specific training courses, and also demonstrate their knowledge in especially prepared certification exams.

Thus, a normal network operation of a nuclear power plant strictly follows the instructions in question. It is exactly these instructions or supervisory operation rules from which we derive process aware specifications that reason in terms of network packets. As in other specification-based detection approaches, the specifications that we develop in this dissertation, including those that are derived from supervisory operation rules, are deterministic. This is due to the fact that operation rules along with operation guides, if any, are deterministic.

A power-to-flow operating map, for instance, is a clean example of the latter. A power-to-flow is a graph that indicates the expected relation between thermal power and water level in the reactor pressure vessel. One of the available mechanisms for changing thermal power is to set the rate of specific water pumps, which in turn

change the water level. An operator specifies a water level set point. Thereafter it is a logic solving scan program, i.e. control applications, running in a control system that calculates the exact changes of the rate of water pumps that bring the water level to the said set point.

An operator has to keep the thermal power within defined thresholds, which depend on the current values of various plant parameters. In order to be able to do so, an operator consults the power-to-flow operating map to estimate a change in the water level, and hence the water level set point, which produces a change in the thermal power such that the new value of the thermal power lies within the desired thresholds. These thresholds themselves are defined in supervisory operation rules.

Taking into account that the power-to-flow operating map and the thresholds in question are deterministic, we can develop process aware specifications that, given a current value of thermal power, determine the possible network packets that would cause a change in the water level such that the associated change in thermal power would produce a new value of thermal power that lies within preliminarily defined thresholds. We now provide an example of an activity network that represents process aware specifications that are derived from a supervisory operation rule and byte stream semantic analysis.

The said rule protects one of the most important limits on reactor operation, namely the rate at which the temperature of the water in the reactor pressure vessel is changed. Since water is in direct contact with the reactor pressure vessel steel, the temperature of the former is diffused into the latter. Changes of water temperature cause a difference in temperature between the inside and outside surfaces of the re-

actor pressure vessel. This factor induces stresses in the walls of the reactor pressure vessel. Thus, a plant operator is required to operate a nuclear power plant in such a way as to minimize these stresses.

The plant operator does so by limiting the water temperature change rate to a defined threshold, and thus allow for the temperature of the lower temperature vessel surface to reach the temperature of the higher temperature vessel surface. In a typical General Electric boiling water reactor, the allowed water temperature change rate is about 100 degrees Fahrenheit per hour. The water temperature change rate is proportional to thermal power, therefore an operator can maintain a specific water temperature change rate by limiting the average thermal power that is maintained over each interval in which temperature is increased or decreased.

Earlier in this subsection we mentioned that an operator could change thermal power by changing the water level in the reactor pressure vessel. In this example we consider the case in which an operator employs the other available mechanism for controlling thermal power, namely insertion or withdrawal of control rods. We develop an activity network model, which inspects the network packets that insert or withdraw control rods, and thus checks whether they induce stresses in the walls of the reactor pressure vessel to a degree that lies beyond predefined minimal values.

The elements that are involved in supervisory withdrawals of control rods are depicted in Figure 5.2. Neutron detectors, which are located adjacent to nuclear fuel rods inside the reactor core, measure neutron population. Their measurement values are received over a fieldbus network by PLC3. PLC3 uses a logic solving scan program to process neutron population measurements, and hence produce an estimation of the



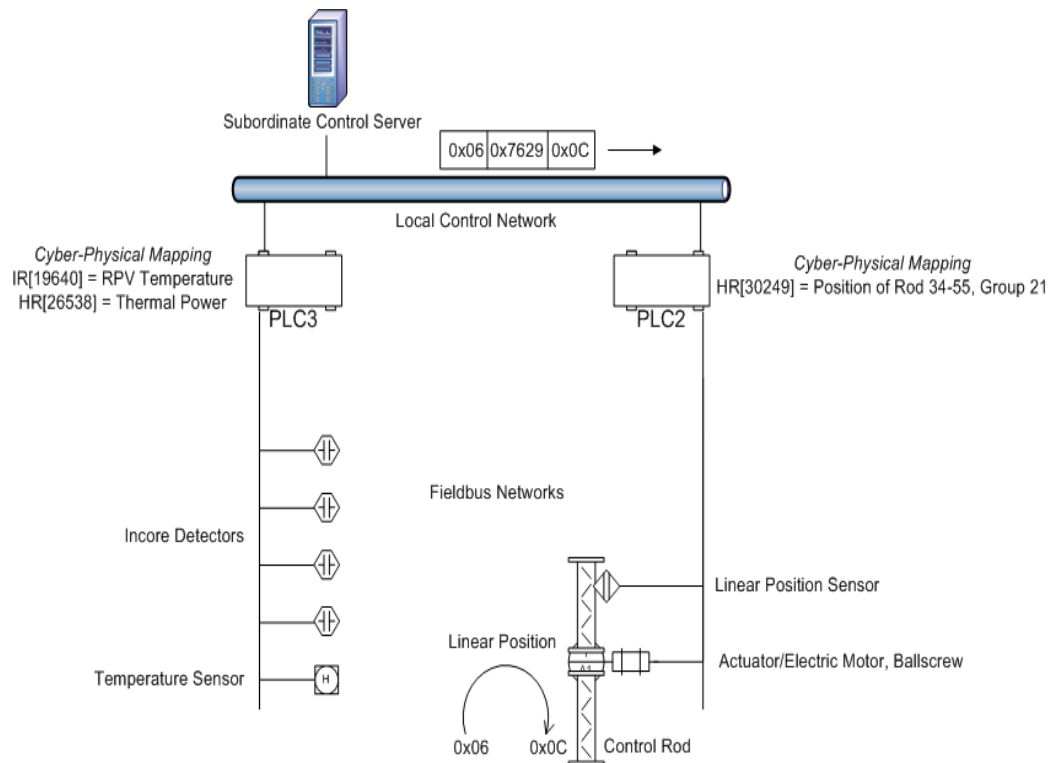


Figure 5.2: Schematic diagram of supervised thermal power increase via network packets that withdraw control rods.

current value of thermal power, which it then stores in a holding register variable with address 26538.

A temperature sensor is located adjacent to water within the reactor core. This sensor measures the water temperature and sends the measurement value over a fieldbus network to PLC3, which stores it in an input register variable with address 19640. The activity network model that we develop in this subsection focuses on a specific control rod, namely the one whose coordinates are control rod 34-55, control rod group 21. This control rod is inserted or withdrawn over a fieldbus network by PLC2 via an electric motor and a ballscrew.

PLC2 executes a logic solving scan program that processes a linear position set

point, and thereafter generates network packets to directly control the actual rotational speed of the electric motor along with its rotor's rotation direction. The rotational motion that is produced by the electric motor is converted into linear motion by the ballscrew. This linear motion then is used to insert or withdraw the control rod depending on the rotor's rotation direction. A linear position sensor measures the actual linear position of the control rod.

Let the Internet protocol (IP) addresses of the subordinate control server and PLC2 be represented by the identifiers 169 and 205, respectively. Some key elements of the activity network model that scrutinizes protocol packets for potential for inducing high stresses in the walls of the reactor pressure vessel are depicted in Figure 5.3. Let us see how this activity network model scrutinizes the network packet payload in Figure 5.2.

This network packet, which is sent by the subordinate control server to PLC2, requests to withdraw the control rod in question, more precisely change its linear position from 6 to 12. Notice that a control rod always moves between even positions. The possible exact semantic meanings of a network packet that requests to cause a change to the linear position of the control rod in consideration are: (1) withdrawing control rod 34-55, control rod group 21; and (2) inserting control rod 34-55, control rod group 21.

As this network packet is sniffed from a process control network, the values of each one of its fields, namely function code, register address, and register value, are assigned as amounts of tokens to the corresponding places in the activity network model. Both protocol fields and activity network places take discrete values; therefore there are no

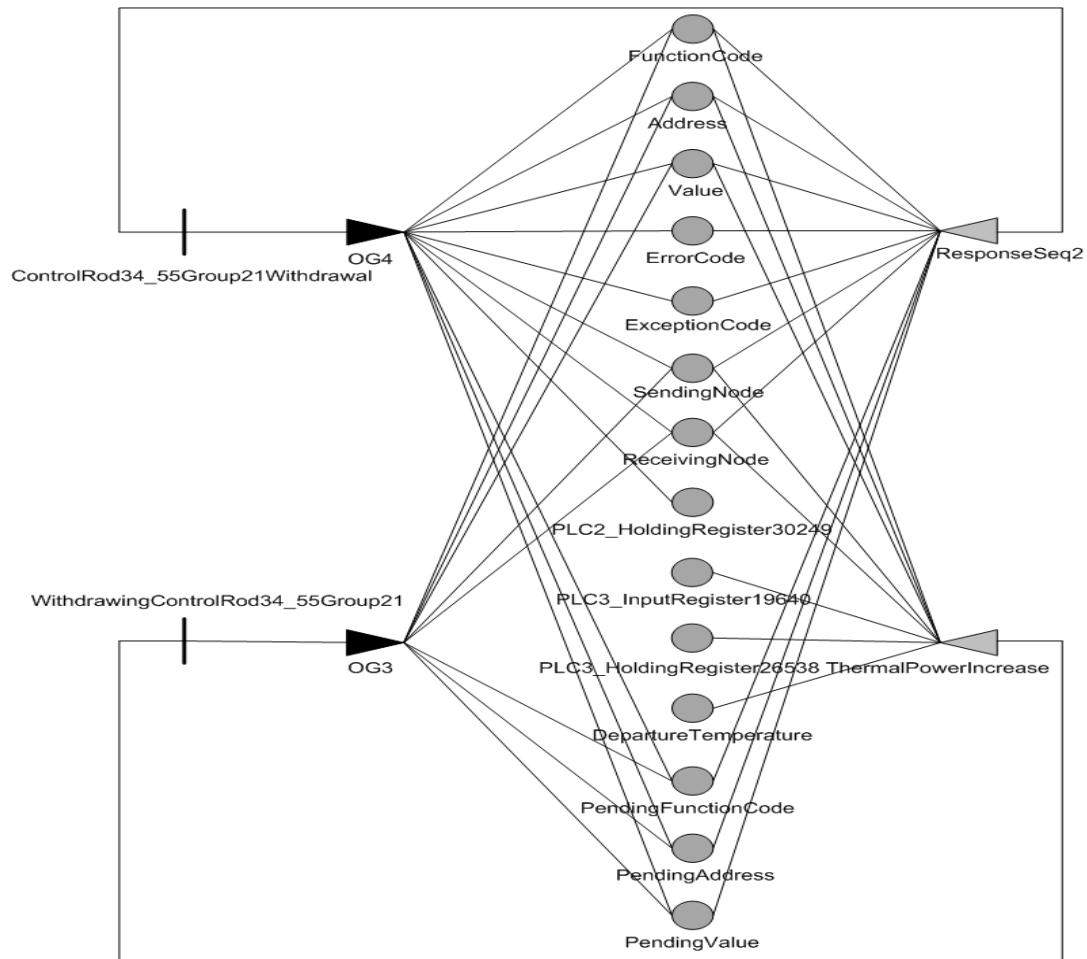


Figure 5.3: Excerpt from an activity network model that checks whether defined network traffic induces high stresses in the walls of the reactor pressure vessel.

inconsistencies in mirroring the former into the latter.

The input gate `ThermalPowerIncrease` conducts byte stream semantic analysis to determine whether a network packet under inspection has a semantic meaning denoted here as (1), in which case it checks whether that network packet fully complies with the supervisory operation rule that protects the walls of the reactor pressure vessel from excessive stresses. The part of the predicate of the said input gate that checks for the semantic meaning of the network packet being scrutinized is the following:

```
(SendingNode->Mark() == 169) && (ReceivingNode->Mark() == 205) &&  
(FunctionCode->Mark() == 6) && (Address->Mark() == 30249)
```

This code snippet basically checks that the network packet is originating from the subordinate control server, which is the device that according to the cyber-physical system configuration is configured to transmit network packets that convey control rod linear position set points. This code snippet also checks that the network packet is destined for PLC2, which according to the cyber-physical system configuration is the edge control system that is configured to directly control the electric motor that in turn inserts or withdraws the control rod.

In addition, this code snippet checks whether the network packet is writing the holding register variable with address 30249, which, again, according to the cyber-physical system configuration is the program variable that is mapped to the linear position of the control rod. The rest of the predicate verifies that the network packet will not induce high stresses in the walls of the reactor pressure vessel.

```
&& ((PLC3_InputRegister19640->Mark() + tempaddition(Value->Mark(),  
PLC3_HoldingRegister26538->Mark(), PLC3_InputRegister19640->Mark()))  
<= (DepartureTemperature->Mark() + 100)) &&  
(Value->Mark() < PLC2_HoldingRegister30249->Mark()) &&  
(PendingFunctionCode->Mark() == 0) && (PendingAddress->Mark() == 0) &&  
(PendingValue->Mark() == 0)
```

Control rod worth is defined as the amount of reactivity that is added per increment of control rod motion, and is a function of thermal power and linear position. Control rod worth is proportional to the thermal power change rate, and hence to the water temperature change rate. The function `tempaddition()` in the snippet of code given

above calculates the additional temperature  $\Delta T$  expected to be induced by the new linear position of the control rod that is being requested by the network packet being analyzed.

Let the departure temperature denote the original value of the temperature when it first began to change. The said code snippet adds  $\Delta T$  to the current value of the temperature, and then checks that the resulting value is less than or equal to the maximum value of the temperature allowed in one hour. This code snippet is basically verifying that the control rod motion requested by the network packet will not cause a change in the water temperature that has potential for inducing high stresses in the walls of the reactor pressure vessel.

The remaining lines of code in the snippet above are verifying that the network packet is a request rather than a response. In ModBus a request network packet and a response network packet may be identical, since a receiving device may respond to a sending device with a copy of the request network packet in order to notify positive processing of the said request. If the said input gate enables the associated activity, the network packet has successfully passed the intrusion detection scrutiny.

The output function of the output gate OG3 is used to denote the fact that the normal network packet is being processed by PLC3. That function is given below:

```
PendingFunctionCode->Mark() = FunctionCode->Mark();  
FunctionCode->Mark() = 0; PendingAddress->Mark() = Address->Mark();  
Address->Mark() = 0; PendingValue->Mark() = Value->Mark();  
Value->Mark() = 0; SendingNode->Mark() = 0; ReceivingNode->Mark() = 0;
```

According to the ModBus protocol specification a successful reception of a request network packet does not imply its successful processing. A receiving device may not be able to handle a request network packet due to factors like detection of parity errors in its RAM, detection of communication errors, etc. The input gate `ResponseSeq2` in the activity network model of Figure 5.3 conducts byte stream semantic analysis to determine whether a network packet under inspection has a semantic meaning that corresponds to the status of handling the request network packet that was analyzed previously, in which case the associated activity gets enabled. The predicate of input gate `ResponseSeq2` is given below:

```
((SendingNode->Mark() == 205) && (ReceivingNode->Mark() == 169))
&& (((FunctionCode->Mark() == PendingFunctionCode->Mark()) &&
(Address->Mark() == PendingAddress->Mark()) &&
(Value->Mark() == PendingValue->Mark())) ||
((ErrorCode->Mark() == 134) && (ExceptionCode->Mark() > 0) &&
(ExceptionCode->Mark() < 5)))
```

The output function of output gate `OG4` assesses whether PLC2 is sending a normal response indicating to have handled the query correctly, in which case it commits the change of the control rod linear position from its original value to the set point indicated in the request network packet, namely from 6 to 12. If that is not the case, the said output function voids the temporary effects of the request network packet. This is because the holding register variable with address 30249 in the RAM of PLC2 was not written, and thus the control rod linear position remained unchanged.

The output function of output gate `OG4` is given below:

```
if (ErrorCode->Mark() == 0) {
```

```
    PLC2_HoldingRegister30249->Mark() = PendingValue->Mark();
    flush(ErrorCode->Mark());
} else {
    flush(ErrorCode->Mark());
}
```

## 5.5.2 Automatic Control Specifications

The logic of automatic operation functions is encoded into logic solving scan programs. These computer programs are executed many times per second in order to check for the creation of specific conditions that urge a fast intervention, and hence provide a timely corrective response. An example of an automatic operation rule is the rod sequence enforcement in a nuclear power plant. In order to limit control rod worth, a mandatory sequence of control rod movements is required as rods are withdrawn or inserted. Violations of this specific sequence have potential for creating unsafe conditions.

Consequently, the sequence in question is enforced via one or more logic solving scan programs. In this research we derive process aware specifications also from logic solving scan programs, or if possible, from the high level program specifications upon which they were developed. We now provide an example of an activity network that represents process aware specifications that are derived from an automatic operation rule. The rule in question protects a reactor from unsafe conditions that may be created as a consequence of a fault in any of the water pumps.

A rapid drop in the reactor water level characterizes the loss of a water pump, with the result being an excessive increase of thermal power. The said rule requires control systems to detect the loss of any water pumps, and upon detection of that event to

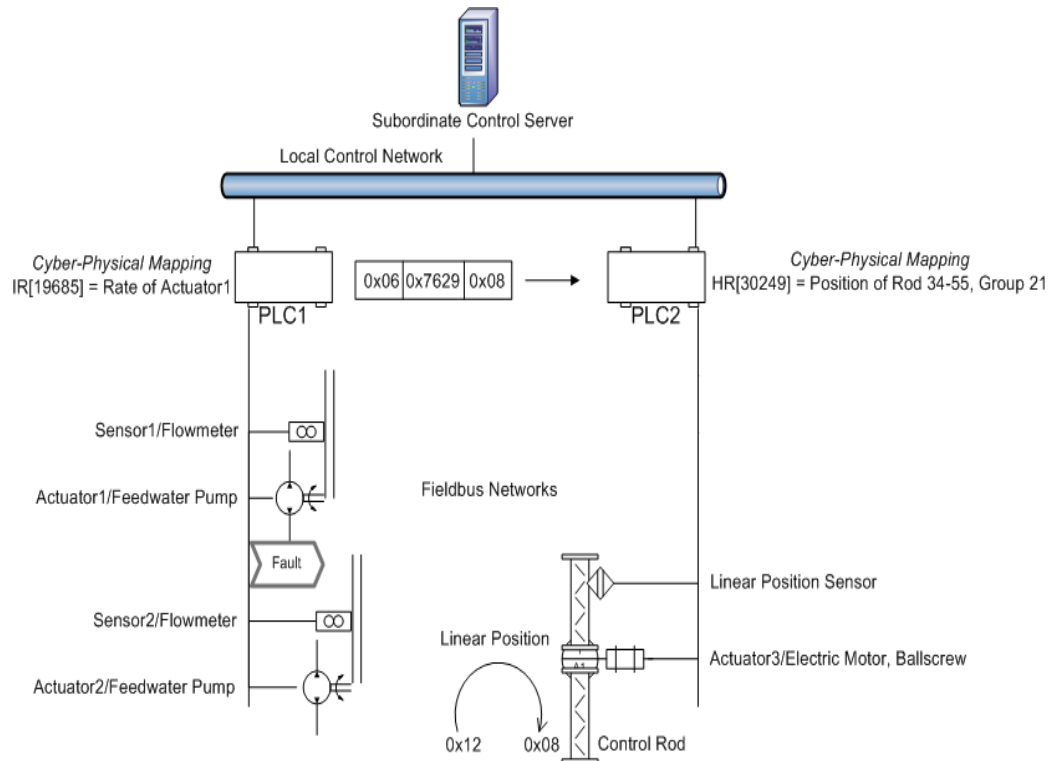


Figure 5.4: Schematic diagram of an automatic corrective withdrawal of a control rod that is conducted via a network packet in response to the loss of a water pump.

rapidly insert specific control rods. These control rod withdrawals decrease thermal power to values that are normal for the reduced water level. The elements that are involved in automatic withdrawals of control rods, as a water pump is lost due to a fault, are depicted in Figure 5.4.

PLC1 is an edge control system that controls and monitors two motor-driven water pumps. The rate of each one of these water pumps is measured by flowmeters, which send their measurement values over a fieldbus network to PLC1. Let the input register variable with address 19685 in the RAM of PLC1 be mapped to the rate of the first water pump from top. PLC2 along with the control rod, electric motor, ballscrew, and linear position sensor are those that were discussed in the previous subsection.



Some key elements of the activity network model that scrutinizes network packets to see whether they are the corrective response to the loss of a water pump are depicted in Figure 5.5.

The input gate `LossOfFeedwaterPump` conducts byte stream semantic analysis to determine whether a network packet being scrutinized has the following semantic meaning: inserting control rod 34-55, control rod group 21. If that is the case, the said input gate checks whether one of the water pumps results to have been lost. For modeling purposes, let the IP address of PLC1 be represented by the identifier 168. The part of the predicate of input gate `LossOfFeedwaterPump` that checks for the semantic meaning of the network packet being scrutinized is given below:

```
(SendingNode->Mark() == 168) && (ReceivingNode->Mark() == 205) &&  
(FunctionCode->Mark() == 6) && (Address->Mark() == 30249) &&  
(Value->Mark() < PLC2_HoldingRegister30249->Mark()) &&
```

The remaining of the said predicate verifies that the network packet is being sent in response to the loss of a water pump, and that it will not insert the control rod in question beyond its insertion limit.

```
(PLC1_InputRegister19685->Mark() == 0) && (Value->Mark() > 5) &&  
(PendingFunctionCode->Mark() == 0) && (PendingAddress->Mark() == 0) &&  
(PendingValue->Mark() == 0)
```

The other lines in the code snippet given above verify that the network packet being analyzed is a request rather than a response. The remaining elements of the activity

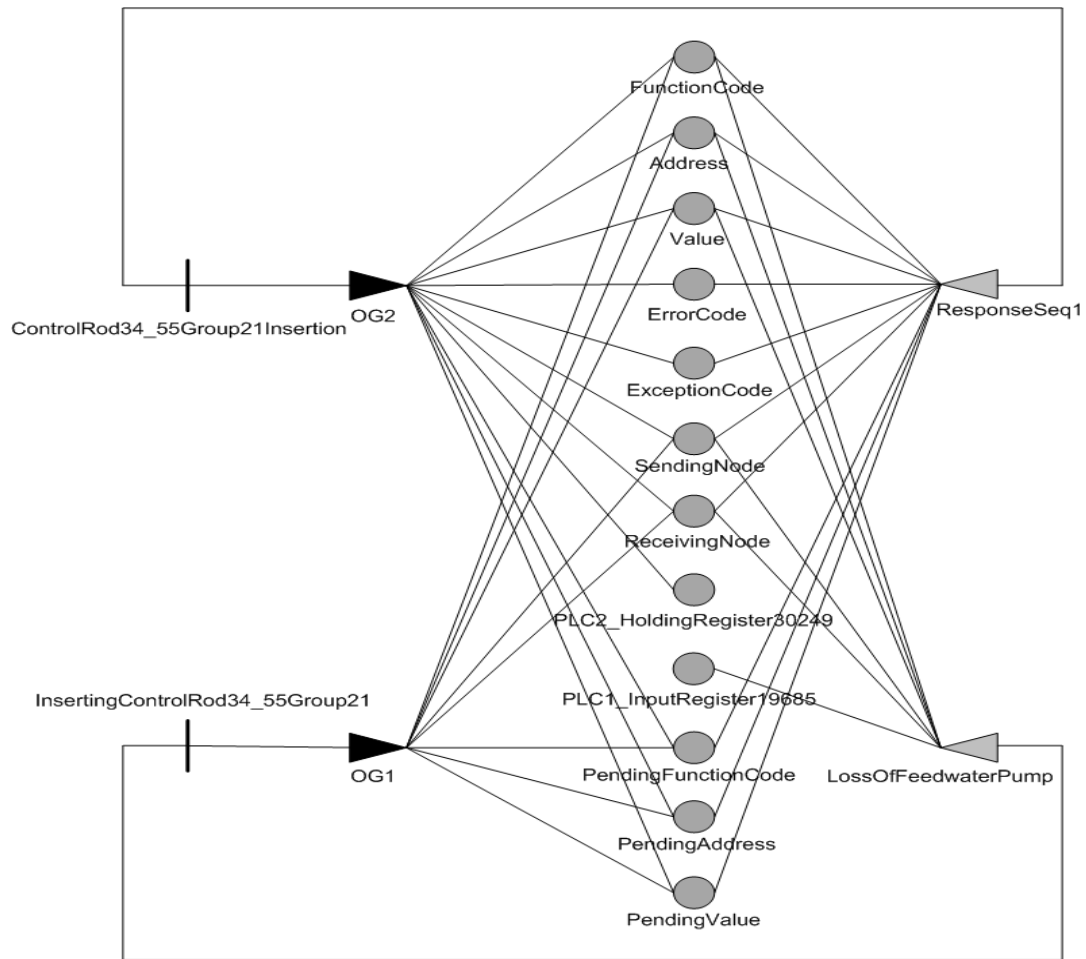


Figure 5.5: Excerpt from an activity network model that checks whether a network packet under inspection is the corrective response to the loss of a water pump.

network model are defined similarly to their counterpart elements discussed in the previous subsection.

## 5.6 Discussion

We now discuss the complexity of detection specifications, which is the main factor that directly affects the practicality of the physical process aware specification-based intrusion detection approach. As in any other specification-based approaches, the

level of abstraction is quite relevant to keeping the proposed approach practical. In other words, specifying in full the normal behavior of a system in general is not practical. For example, as discussed in the related work section, a thorough specification of the behavior of a computer program is not practical [74].

Consequently, specification-based approaches that focus on the behavior of a computer program capture only specific details, and thus refrain from attempting to capture the full behavior of a computer program [74, 107]. Moving along this line, we deem that capturing the full dynamics of a physical system such as a nuclear power plant is not practical. Consequently, we do not attempt to include the full behavior of physical processes into the specifications of normal control network traffic.

As written earlier in this chapter, we aim at capturing the normal behavior of a physical system, as exhibited in contents of network packet payloads, by deriving specifications from supervisory operation rules and control applications. To our experience, the complexity of supervisory operation rules is manageable, and therefore the derivation of detection specifications from these rules is feasible.

A consideration of a control application in its entirety to derive specifications of network packets, which are expected to be received or transmitted by that control application, leads us to construct a replica of the control application in question within the activity network models. In other words, we would have ended up with activity network models that perform redundant program execution [67]. While redundant program execution has been already used for computer security [23], we deem that in our problem domain the creation of entire replicas of control applications is unnecessary.

For the purpose of developing specifications of control network traffic, in this research we consider only those functions of a control application that read from or write to network sockets, in conjunction with program variables that are stored in the RAM of a control system. To our experience, the complexity of deriving these detection specifications from a control application is relatively high, but yet manageable. As a future work, we deem that drawing from areas such as nuclear physics and reactor theory to specify the expected normal behavior of a nuclear power plant in terms of network packets has potential for further improving the effectiveness of the proposed approach.

# Chapter 6

## MIRAGE THEORY FOR DECEPTION-BASED DETECTION

### 6.1 Introduction

In this chapter we provide a discussion of mirage theory, i.e. a novel deception approach that we have derived from military deception (MILDEC) [117] and its applications [126]. In [117], MILDEC is defined as those actions executed to deliberately mislead adversary decision makers as to friendly military capabilities, intentions, and operations, thereby causing the adversary to take specific actions or inactions that will contribute to the accomplishment of the friendly mission.

Mirage theory is comprised of actions that are devised to deliberately mislead an adversary as to DCS-controlled physical processes and equipment such as nuclear power

plants, thereby causing the adversary to take specific actions that will contribute to the detection of his/her intrusion in process control networks. Deception means in MILDEC are grouped into three categories, namely physical means, technical means, and administrative means. Examples of physical means include dummy and decoy equipment and devices, tactical actions, movement of military forces, etc.

Examples of technical means include emission of chemical or biological odors, emission of radiation, reflection of energy, computers, etc., while examples of administrative means include techniques to convey or deny physical evidence. Mirage theory employs mainly technical deception means, namely emission of deceptive network traffic along with computers and computer networks. Mirage theory relies to a large degree on a MILDEC concept that is referred to as a display. Displays are simulation, disguising, and/or portrayal of friendly objects, units, or capabilities that may not exist, but are made to appear so.

In this regard mirage theory employs computers or computer clusters to simulate or emulate the presence of physical processes and equipment. The ultimate goal of mirage theory is to cause an adversary to target computer systems that monitor and control simulated or emulated physical processes via simulated or emulated sensors and actuators. Actions taken by a deceived adversary are thereafter leveraged to detect and characterize his/her malicious activity.

Our research on mirage theory was inspired by a lesson that we drew from history, namely the Operation Fortitude South, which is a MILDEC application that was conducted in the second world war [126]. The allied invasion of German occupied territory of France was preceded by a strategic plan whose codename was Operation

Fortitude South, which was made by the allies to deceive the command of German military into believing that the allies would attack from Pas de Calais rather than from Normandy. In addition to large intelligence operations such as espionage and controlled leaks of information through diplomatic channels, this plan included also the creation and deployment of a special electronic unit that was called the 5th wireless group.

This group used some newly developed transmitters to generate radio communications based on preprogrammed and especially written scripts. These radio communications contained conversations that are typical to military assault operations. As the German military in France had few aerial reconnaissance capabilities left, eavesdropping on radio communications was the principal mechanism that they could use to determine movements of allied troops. The Operation Fortitude South was highly successful to a degree that Adolf Hitler concentrated a large number of military units, including Panzer tank units, in Pas de Calais.

Mirage theory exploits similar concepts, namely the adversary's reliance on analysis of intercepted network data to derive the presence and characteristics of physical targets, and the lack of means to verify that intercepted traffic is indeed generated by existing physical targets. In this chapter the terms physical system and continuous space are used interchangeably. The terms cyber-physical system and DCS-controlled physical system are also used interchangeably. The terms communicating finite state machine and automaton are used interchangeably as well.

## 6.2 Conducting Defensive Deception for Intrusion Detection

As illustrated in the top part of Figure 6.1, the interactions between sensing or actuating devices and edge control systems take place via application of electrical signals with certain characteristics. In a typical sensing activity sensors, i.e. transducers, measure physical phenomena and report continuous values by generating analog values, i.e. voltages or currents. For instance, incore detectors in a nuclear reactor measure neutron flux. Incore detectors apply electrical signals that are proportional to neutron population in the reactor core.

Neutron flux measurements that are conveyed by these electrical signals are processed by computer systems, which together form a neutron monitoring system. For measurement values to be processed by computer systems, the corresponding electrical signals are periodically sampled and converted into discrete numerical values via analog-to-digital conversion integrated circuits [48]. Edge control systems actuate physical equipment also by applying electrical signals. Discrete numerical values in a computer system are converted into analog values via digital-to-analog conversion integrated circuits.

For instance, an edge control system may set the rotational speed of an AC induction motor by controlling the applied voltage frequency. In the actual context we see two spaces, namely one in which values are in a continuous form and another in which values are in a discrete form. In this work we refer to these spaces as the continuous space and the discrete space, respectively. As also depicted in Figure 6.1, analog-



to-digital and digital-to-analog conversion integrated circuits may be thought of as a boundary between the continuous and discrete spaces.

In fact it is in these integrated circuits that information changes form from continuous to discrete and vice versa. The basis of mirage theory is formed by leverage of the boundary between continuous and discrete spaces, leverage of how the presence of a continuous space is reflected on a corresponding discrete space, and simulation or emulation of physical processes and physical equipment. A computer network attack provides an adversary with access that may extend to a whole discrete space. Nevertheless, due to physical limits there are no feasible ways for an adversary to gain visibility over a continuous space through a computer network attack.

In other words, a computer network attack won't enable an adversary to virtually move beyond the analog-to-digital and digital-to-analog conversion integrated circuits. Consequently an adversary cannot verify whether input electrical signals are indeed applied by existing sensing devices, nor can he/she verify whether output electrical signals indeed reach an existing actuating device. Referring to the bottom part of Figure 6.1, in mirage theory we generate measurement values in a digital form via computer simulation or emulation, and hence employ digital-to-analog converters to generate the electrical signals that correspond to these digital values.

What edge control systems receive in input comprises a series of analog values as if such values were generated by existing sensing devices. Edge control systems then convert these logical values into digital values via analog-to-digital converters, and thereafter process them. Since it is after the conversion to a digital form that the values in question become accessible to an adversary, the previously described ma-

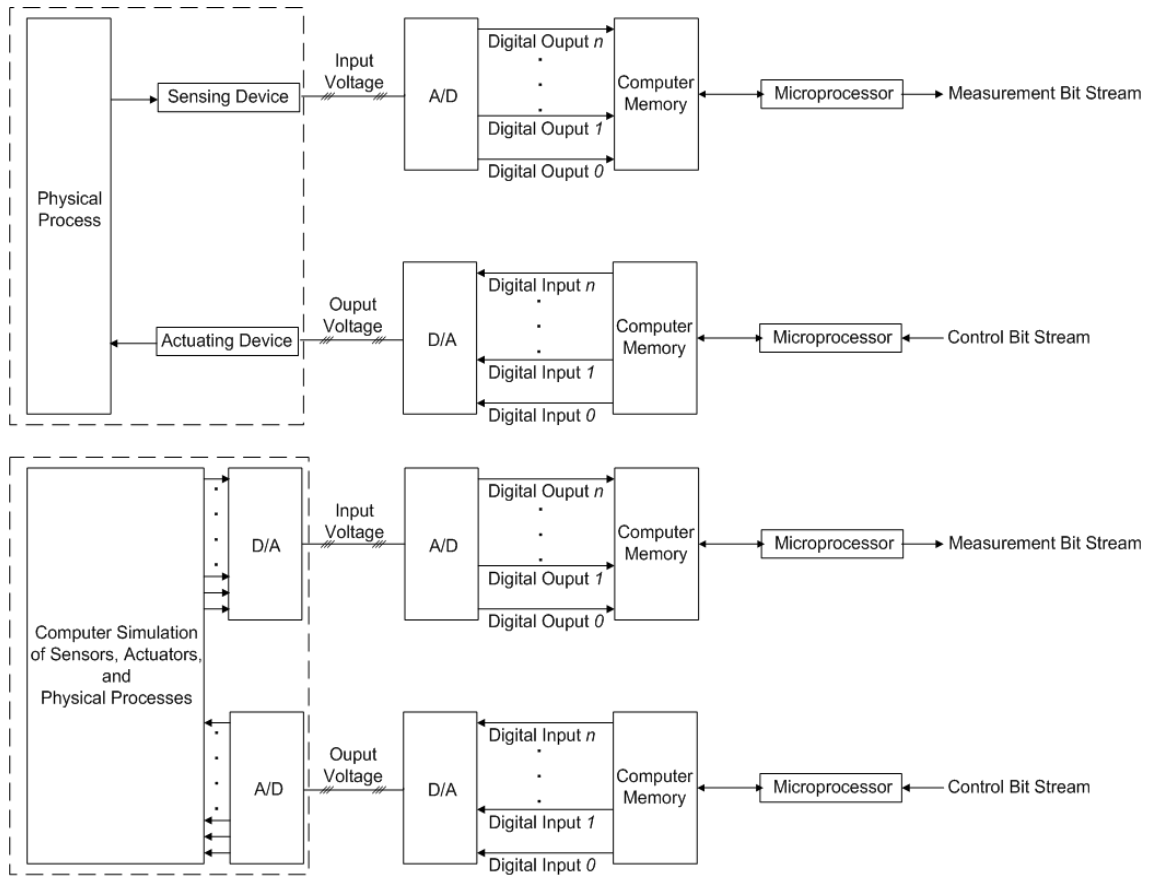


Figure 6.1: Boundary between continuous and discrete spaces exploited in mirage theory to camouflage computer simulation or emulation of sensors, actuators, and physical processes.

nipulation based on computer simulation or emulation is totally transparent.

Similarly, we employ analog-to-digital converters to receive analog values from edge control systems. Resulting digital values thereafter may be fed to a computer system in order to simulate or emulate the effects that electrical signals that are applied by edge control systems would have had on existing physical processes or equipment. When values that are generated by an edge control system are converted into an analog form, an adversary entirely loses visibility on them. As a consequence the previously described manipulation is, again, transparent.

From a network access perspective the presence of physical processes and physical equipment is derived from network packets that flow over a process control network. For instance, in a nuclear power plant control network a network packet such as the one depicted in Figure 6.2 denotes the presence of an electric motor that generates rotational motion, a ball screw that translates this rotational motion into a linear motion, and a control rod that is inserted or withdrawn via the linear motion in question.

The reconnaissance that normally precedes initiation of physical damage through a computer network attack over a target process control network includes analyses of network packets that flow over this network. By employing techniques such as applied regression analysis an adversary analyzes data that are conveyed by network packets, with the result being an identification of the configuration of a target cyber-physical system along with equipment and physical process specifications indicated in Figure 6.2.

Not only is the information derived through these reconnaissance analyses indicative of the presence of physical processes and equipment, but it also details them. The interaction between a simulated or emulated continuous space and a genuine discrete space, as depicted in the bottom part of Figure 6.1, is characterized by network traffic that guides the reconnaissance analyses conducted by an adversary into identification of physical processes and equipment, which in reality are all simulated or emulated, along with the computer systems that control and monitor them. As written previously, in mirage theory only continuous space is simulated or emulated. Discrete space is intentionally chosen to be genuine in its entirety. In mirage theory process

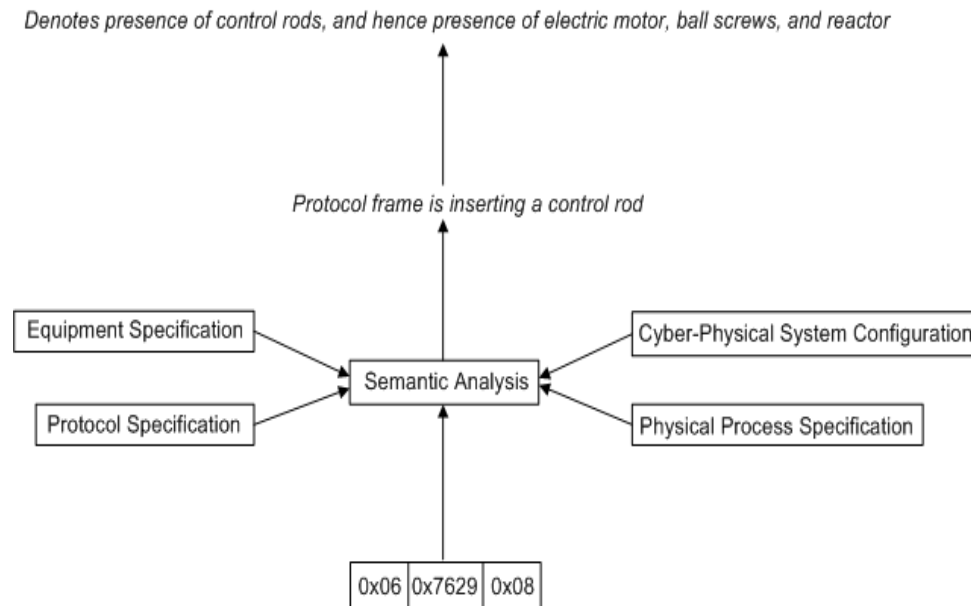


Figure 6.2: A network packet payload that is indicative of the presence of physical equipment and a physical process.

control systems and networks are deployed and configured as if they were to monitor and control a real physical process through real sensors and actuators. The computer code that is to be run in these control systems also needs to have been written for control systems that are intended to monitor and control a real physical process through real sensors and actuators.

A clean way of constructing the discrete space of an application of mirage theory is to deploy a replica of the discrete space of a real cyber-physical system in production. The ultimate goal of mirage theory is to deceive an adversary into targeting a simulated or emulated physical process and/or equipment by actively attacking a control system over a process control network in the discrete space of an application of mirage theory itself.

## 6.3 Real-Time Deceptive Event Generation

Taking into account that an adversary cannot cross the boundary between continuous and discrete spaces, a possible option that he/she may explore for detecting deception consists of analyses of network packets having as an objective to identify inconsistencies that may be caused by errors in the simulation or emulation of physical processes and equipment. Even tiny imperfections in the simulation or emulation of physical processes and equipment are reflected on network data in the discrete space, and hence have potential for enabling an adversary to catch inconsistencies by employing advanced analysis techniques such as those based on applied mathematics. In this section we discuss our research on faithful simulation or emulation of physical processes and equipment, namely continuous simulation and traffic mirroring.

### 6.3.1 Continuous Simulation of Physical Processes and Equipment

In mirage theory we need to simulate a continuous space in real-time in order to faithfully mimic the appearance of existing DCS-controlled physical systems such as nuclear power plants or radar units. We deem that a viable simulation technique for such purpose is continuous simulation [19] as, in addition to having the necessity to simulate continuous systems, we are also interested in modeling the internal dynamics within each one of these continuous systems in order to generate a faithful simulation. As a matter of fact physical processes and physical equipment such as, for instance, nuclear fission and AC induction motors, respectively, are continuous systems.

Their state variables, which are modeled as functions, change continuously over time. Furthermore, the rates of change of these variables, which are modeled as derivatives, change continuously over time as well. Continuous simulation models of a continuous space are comprised of ordinary or partial differential equations that characterize the behaviour, i.e. internal dynamics, of physical processes and equipment at any point in time. The continuous simulation itself is conducted by solving these differential equations via analytical methods, i.e. explicit formulas, or numerical analysis in computer clusters behind the boundary between continuous and discrete spaces, as indicated in the bottom part of Figure 6.1.

With regard to detection of network packets that are part of a computer network attack, we organize this process as in anomaly intrusion detection, namely in a learning phase and a monitoring phase. We model each process control system that is involved in deceptive communications, i.e. network packets that are generated as a result of simulation of a continuous space, as a communicating finite state machine [115].

Both input that causes these automata to transition from one state to another and output that is generated when state transitions take place are network packets. An example of the said communicating finite state machines is given in Figure 6.3. The purpose of a learning phase is to thoroughly construct these automata, while in a successive monitoring phase these automata are used to distinguish between deceptive network packets and possible malicious network packets.

In a learning phase we define a sequence of process set points, which when entered in a HMI [110] will emulate the DCS-controlled operation of a physical system. Recall that all or part of the continuous space is simulated. Examples of set points in a

nuclear power plant include discrete values of the level of water within a reactor pressure vessel, logical values, i.e. on or off, for starting or stopping a defined water pump, logical values for opening or closing a main steam isolation valve, logical values for opening or closing the circuit breaker of an electric generator, discrete values of the terminal speed of a turbine, etc.

The said set points are then issued from a computer system that would normally be used by a system operator, i.e. the computer system that is associated with a HMI and that is depicted in the upper left corner of Figure 6.4, with the result being a realistic operation of a DCS-controlled physical system as if the continuous space was real rather than simulated. As the simulated continuous space is operated, we sniff all network packets that flow over the process control network.

The network packets that a control system receives and transmits are modeled as input and output, respectively, in the associated communicating finite state machine. Each one of the network packets in input causes a state transition. Nevertheless, the automaton may transition from one state to another state even though it has received no network packets in input. Similarly, it may transition from one state to another state while producing no network packets in output.

Overall, a communicating finite state machine acts as a sequence detector with respect to the network traffic that is received from or transmitted by the control system that it models. Although we coded a few communicating finite state machines in the concurrent hierarchical state machine language system [78], and those mainly in the form of a proof of concept prototype, to our knowledge the activity of constructing these automaton-based sequence detectors can be automated.

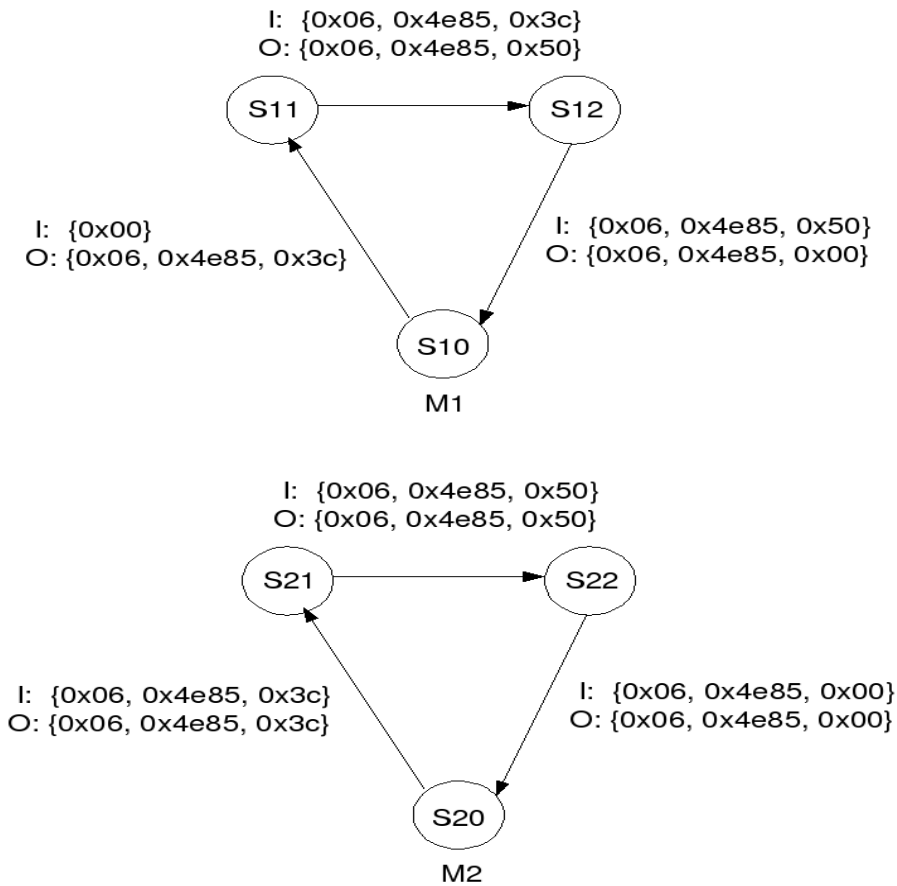


Figure 6.3: Excerpt from two communicating finite state machines that model two individual control systems in a process control network.

In a monitoring phase we employ a computer system, which would normally be used by a system operator, to issue the sequence of process set points that were defined and used in the learning phase. Here, again, the process of mimicking a system operator, i.e. issuing set points, can be easily fully automated. From a network access perspective, which is what an adversary sees and perceives, network traffic that flows over the process control network is indicative of the presence of a physical system that is being operated digitally by system operators. Communicating finite state machines



are embedded in a network packet inspection tool. As network packets flow across a process control network, the detection tool inspects them to determine the network identifiers of the source and destination nodes, i.e. for example IP addresses in the case the process control protocol runs over TCP/IP, and thereafter submits them individually to the corresponding automata. If these sequence detectors recognize the network packets submitted to them, then they simply transition to another state, and from there the inspection loop keeps running.

We do allow for small variations of values in the data field of network packets in order to deal with various sources of small errors, such as for example jitter effects on analog to digital and digital to analog converters. If sequence detectors do not recognize a given network packet, then it means that they are processing a network packet that was not generated in the learning phase, therefore the inspection tool raises an intrusion alert.

We deem that if learning is conducted correctly in the learning phase, then a computer network attack is manifested as one or more extra network packets, i.e. network packets that do not result to have been generated in the learning phase. Later on in this chapter we discuss an attack-defense model in which an adversary conducts a loss of cooling attack on a power plant. The attack is materialized by transmitting a network packet that writes a malicious value to a program variable, which is mapped to applied voltage frequency, in a target control system.

According to our thesis the said malicious network packet is not generated in the learning phase, therefore sequence detectors in the inspection tool won't recognize it. We see a series of pros and cons in employing continuous simulation to simulate a

continuous space. Continuous simulation allows for interactivity with an adversary, in the sense that an adversary can generate malicious network packets and verify their negative impact on his/her targets. This is useful in the case security officers are interested in letting an adversary do some progress, in order to extract a better characterization of his/her attack.

Furthermore, there are cases in which it may be necessary to allow for more than a single unseen network packet in order to have sufficient confidence that a computer network attack is actually taking place. With continuous simulation we have no reliance on existing DCS-controlled physical systems. We can independently deploy an entire process control network and associate it with a simulated continuous space. We can, for example, deploy a large number of dummy power plants that are based on continuous simulation, while not needing the presence of an existing power plant. On the other hand, it is challenging to conduct a continuous simulation of a nuclear power plant in real-time.

The issue is that differential equations that model complex systems such as nuclear power plants are too complex to be solved analytically. Their solutions are to be obtained via numerical analysis, which requires considerable computing resources for making the internal dynamics within a simulated continuous space appear as taking place in real-time. Furthermore, numerical analysis generally produces numerically approximated solutions of differential equations, a fact which in theory may open a window for an adversary to look for imperfections that indicate the simulation nature of a target continuous space. In practice though we do not see approximate solutions of differential equations as an issue as long as they stay within an acceptable degree

of accuracy range.

The rationality behind our assumption lies in the fact that, to the best of our knowledge, analyses of network traffic that is induced by an existing continuous space do not reflect any absolute perfections. Thus, the challenge that an adversary has to face does not consist in how to differentiate between a perfect view and an imperfect view of a target continuous space. An example of a source of imperfection in our context is the conversion of information. There are no ideal analog to digital converters.

Analog to digital conversion of information is characterized by unavoidable errors such as quantization errors, aperture errors, non-linearity errors when applicable, etc. Similarly, digital to analog conversion of information is not ideal either. Furthermore, the said errors are mostly random. Thus, the challenge that an adversary has to face consists in how to differentiate between randomly imperfect views of a target continuous space.

### **6.3.2 Deceptive Emulation via Network Traffic Mirroring**

Traffic mirroring is a technique for emulating a continuous space. Thus, it is an alternative to continuous simulation. The main idea behind this emulation technique is to sniff network traffic in a process control network in production, i.e. a process control network that is used to operate an existing physical system, and thereafter replay the said traffic in a deceptive process control network, i.e. a process control network that is deployed as part of a mirage theory application. A schematic diagram of how traffic mirroring may be applied is depicted in Figure 6.4.

As of the time that the research reported in this chapter was conducted, we had no

access for experimentation purposes to a real world power plant. Due do this limitation we couldn't implement network traffic mirroring and analyze it in practice, consequently we describe it in this chapter as a theoretical approach to emulation of a continuous space. In addition, the concepts that accompany our proposal of the said emulation technique, including network sniffing systems, traffic mirroring network, and inspection tool, are purely hypothetical.

The deceptive process control network, which is depicted in the left part of Figure 6.4, is the replica of a process control network in production, which is depicted in the right part of Figure 6.4. Network sniffing systems are deployed in all network segments of the process control network in production. These systems are equipped with two network interfaces, namely one attached to a segment of the process control network in production, and another one attached to a network that is used to propagate network packets to the deceptive process control network. We refer to the latter as a traffic mirroring network.

The network sniffing systems operate at the data link layer, therefore they are not assigned a network layer address on the network interface that is attached to a segment of the process control network in production. Furthermore, for obvious reasons we need the network sniffing systems not to reveal their existence. For this purpose the network stack of a network sniffing system may be modified such that it doesn't respond to any queries, and hence evade network discovery tools. The network sniffing systems are assigned a network layer address on the network interface that is attached to the traffic mirroring network.

As network packets flow across the process control network in production, they are

intercepted by the network sniffing systems, which in turn associate a timestamp with them and send them to the general purpose computers depicted in the right part of Figure 6.4. More precisely, network packets that convey set points and that are transmitted by the HMI system in the process control network in production are sent to the replica of a HMI system in the deceptive process control network. At emulation time the replica of a HMI system replays these network packets into the deceptive process control network according to their associated timestamps.

Network packets that convey sensor data are sent to those computer systems that are equipped with digital to analog converters. In Figure 6.4, for example, to each one of the flowmeters corresponds a computer system, which at emulation time converts sensor data from digital to analog according to their timestamps. Thus, in general the said systems emulate transducers that are in the process control network in production. Sniffing and replaying network packets that convey set points and sensor data is sufficient for emulating a continuous space.

As set points are transmitted from the replica of a HMI system into the deceptive process control network, they trigger exchanges of network packets between control systems, with the result being a transmission of network packets that convey actuator control data. Upon reception of the said data, actuators in the deceptive process control network generate electrical signals, which are received from computer systems in the traffic mirroring network that are equipped with digital to analog converters. Once these computer systems derive the digital form of an analog value, they ignore it as their only objective is to mimic the reception of physical parameter changes by physical equipment.

As computer systems that emulate transducers generate electrical signals, which correspond to the analog form of sensor data that are received from network sniffing systems, these signals are converted into digital sensor data and then are transmitted over the deceptive process control network.

The resulting network packets, which convey the said sensor data, trigger exchanges of network packets between control systems in the deceptive process control network. Some of these sensor data are also sent to the replica of a HMI system in the form of process status updates. Thus, overall, what we expect to achieve with synchronized replays of set points and sensor data is a logical mirror. The said mirror is intended to reflect network packets that flow across the process control network into the deceptive process control network, with a shift  $\Delta t$  with respect to time.

With regard to detection of malicious network packets, we propose an adaptation of the approach used in the case continuous simulation is used to simulate a continuous space. More precisely, we propose to model each control system in the process control network in production as a communicating finite state machine like those depicted in Figure 6.3. The emulation and intrusion detection activities are organized into intervals of time  $\Delta t$ . During each one of these intervals the network sniffing systems intercept network packets as they flow across the process control network in production.

If we assume that the activity of constructing automata can be automated, then the said network packets are used in an automated construction of communicating finite state machines, which model control systems in the process control network in production. The interval of time  $\Delta t$  is chosen sufficiently long for the automated

contruction of communicating finite state machines to be complete by the end of  $\Delta t$  itself. As in the case of continuous simulation, we may integrate these automata into a network packet inspection tool.

In the next interval of time  $\Delta t$ , as the network packets that convey set points and sensor data are replayed in the deceptive process control network, the inspection tool intercepts all network packets that flow accross the deceptive process control network. The inspection tool then submits these network packets to the communicating finite state machines, which act as sequence detectors. As in the case of continuous simulation, we need to tolerate small variations of values in the data field of network packets in order to deal with small errors induced by factors such as jitter effects.

Furthermore, considering that the control systems in the deceptive process control network are replicas of the control systems in the process control network in production, we expect the said sequence detectors to be valid for the former as well as for the latter. As in the case of continuous simulation, if the sequence detectors recognize the network packets that are submitted to them, then they transition to from ones state to another. If not, we deem that the network traffic flowing across the process control network in production is diverging from the network traffic flowing across the deceptive process control network.

We deem that one of the most relevant advantages of employing traffic mirroring to emulate a continuous space is its potential for producing a highly accurate copy of the network traffic that flows in a process control network in production. On the other hand, traffic mirroring does not allow for interactivity with an adversary. With traffic mirroring we have to rely on an existing DCS-controlled physical system. That

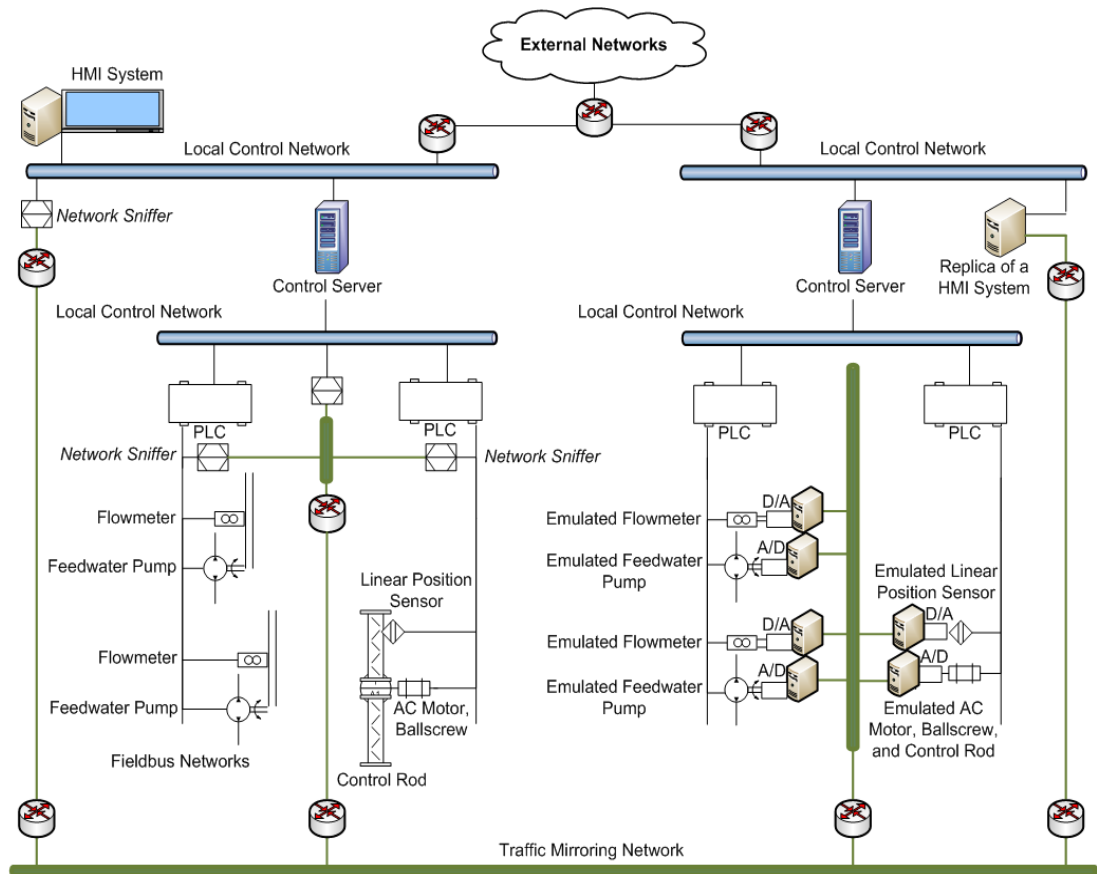


Figure 6.4: Schematic diagram of an emulation of a continuous space via traffic mirroring.

said, a logical connection with a process control network in production may be a disadvantage as much as an advantage.

While we cannot independently deploy an entire process control network and associate it with an emulated continuous space, divergences captured by the sequence detectors may be an indication of intrusion in the process control network in production.



## 6.4 Analysis of Deception Capabilities in Mirage Theory

We now provide a practical attack-defense model in order to analyze the deception capabilities of mirage theory. In this model an adversary attempts a loss of cooling attack on a DCS-controlled power plant that is based on a boiling water reactor design. In the said power plant a number of water pumps feed water into the reactor core. The injected water picks up the heat produced by nuclear fission, and thereafter is transformed into steam. Steam is then directed through pipes to spin the shaft of a turbine that is connected to an electric generator. In addition to being transformed into steam, the injected water serves to also cool nuclear fuel in the reactor.

Let water be fed into a reactor core by motor-driven water pumps that are controlled by PLCs. In this example attack-defense model the adversary conducts a computer network attack on these PLCs in order to cause physical damage to the motors that they control, and hence prevent the motor-driven water pumps from functioning. Let the PLCs that control motor-driven water pumps in this model be part of a DCS whose communications are based on ModBus TCP protocol.

For an adversary to affect the operation of an electric motor, he/she should preliminarily identify that part of a cyber-physical mapping which relates program variables in a target PLC with physical parameters that characterize the operation of the associated electric motor. This is due to the fact that an adversary can affect these physical parameters only by modifying the corresponding program variables. We provide a statistical technique that may be used for such purpose. We thereafter show

how mirage theory deceives an adversary by generating data that guide his/her data analysis, and hence quantify empirically the deception capabilities exhibited in this attack-defense model by analyzing under the light of signal detection theory [66, 82] the reaction of mirage theory.

### **6.4.1 Reconnaissance for a Computer Network Attack on an Electric Motor**

We have found persistent statistical relations between certain program variables in RAM of PLCs, depending on what physical parameters they are mapped to. More precisely, we have developed a statistical technique which, under the condition that a linear relation between program variables of interest is in place, employs the degree of linear association as measured by a linear correlation coefficient to identify such variables of interest and hence reveal their ModBus addresses [24]. In our attack-defense model an adversary applies the said technique to conduct a network inertial attack on an alternating current (AC) induction motor [53], which in turn drives a water pump.

An inertial attack is conducted by speeding up or slowing down heavy equipment at high rates. It is reported to have potential for forcing heavy equipment to fail as in general heavy equipment is not tolerant to abrupt speed changes [70]. For an adversary to be able to launch an inertial attack, he/she needs to find out what program variable in the RAM of a target PLC is mapped to applied voltage frequency, which is a physical parameter that is used to set the actual rotational speed of an AC induction motor controlled by the PLC in question.

Let this PLC use a continuous sensor, namely a battery powered stroboscopic tachometer, to measure the rotational speed of the AC induction rotor. The adversary is assumed to have acquired access to a target process control network, and hence can reconstruct the content of variables in the RAM of a target PLC by sniffing network packets or by sending ModBus queries to the target PLC. The first step for the adversary is to find out whether a program variable of interest in a target PLC is linearly correlated with other program variables that are acquirable via network sniffing or scanning.

Referring to our model, an adversary is interested in finding out whether a program variable that is mapped to applied voltage frequency in a target PLC, which controls an AC induction motor, can be linearly associated with a variable, say actual rotational speed, that is available in the discrete space. Let  $\gamma$ ,  $\omega$ ,  $\tau$ ,  $p$ ,  $\delta$ ,  $l$ , and  $\nu$  denote applied voltage frequency, actual rotational speed, synchronous speed, number of poles, magnetic slip, load, and nameplate speed at full load of an AC induction motor, respectively.

In laboratory settings we study a PLC-controlled AC induction motor that is characterized by values of physical parameters  $p$ ,  $\delta$ ,  $\tau$ ,  $\nu$ , and  $l$ , chosen randomly among those available. These values are given in Table 6.1. Our thesis is that, although the internal architecture and configuration of a randomly chosen AC induction motor may be totally different than the internal architecture and configuration of an AC induction motor controlled by the target PLC, some program variables that are mapped to physical parameters such as  $\gamma$  and  $\omega$  exhibit hidden but calculable statistical relations.

$p$	$\omega$	$\tau$	$l$	$\nu$	$\delta$	$\gamma$
4	1246.3	1884.0	0.9	1175.4	637.7	62.8
4	1255.6	1977.0	0.9	1175.4	721.4	65.9
4	1236.1	1782.0	0.9	1175.4	545.9	59.4
4	1218.7	1608.0	0.9	1175.4	389.3	53.6
4	1205.8	1479.0	0.9	1175.4	273.2	49.3
4	1178.8	1209.0	0.9	1175.4	30.2	40.3
4	1203.7	1458.0	0.9	1175.4	254.3	48.6
4	1222.6	1647.0	0.9	1175.4	424.4	54.9
4	1197.7	1398.0	0.9	1175.4	200.3	46.6
4	1186.0	1281.0	0.9	1175.4	95.0	42.7

Table 6.1: A sample of values of physical parameters that characterize the operation of an AC induction motor studied in laboratory settings.

Furthermore, these statistical relations are persistent among electric motors, even though their internal architectures and configurations may differ to large degrees. We show that the said thesis holds for a linear relation between  $\gamma$  and  $\omega$ , a fact that is leveraged by the adversary in our attack-defense model to find out what variable in the target PLC is mapped to  $\omega$ . Taking into account that the actual rotational speed  $\omega$  of the AC induction motor as reported by the tachometer is a continuous input value, by referring to the ModBus specification the adversary derives that the target PLC uses an input register variable to hold  $\omega$  in its RAM.

Furthermore, since the applied voltage frequency  $\gamma$  is a continuous output value, the adversary derives that the target PLC uses a holding register variable to hold  $\gamma$ . The reconnaissance analysis proceeds with assessing whether the program variable of interest and program variables that the program variable of interest may be potentially linearly correlated with, i.e. the holding register variable mapped to  $\gamma$  and the input register variable mapped to  $\omega$  in our attack-defense model, follow a Gaussian distribution [46]. We use ModScan [120] to acquire values of the holding register variable

mapped to  $\gamma$  and values of the input register variable mapped to  $\omega$  over a defined period of time from the testing PLC that controls the AC induction motor in laboratory settings.

These values are given in Table 6.1 along with the values of physical parameters  $p$ ,  $\delta$ ,  $\tau$ ,  $\nu$ , and  $l$  mentioned previously. A series of ModBus scanner tools such as ModScan [13, 120] have been developed for security assessments, and some of them are publicly available. These tools enable a security analyst or adversary to acquire the values of discrete input variables, coil variables, input register variables, and holding register variables, which are stored in the RAM of a target PLC.

Furthermore, most of these tools also enable a security analyst or adversary to send attack packets that attempt to write to logical or word variables in a target PLC once he/she has identified the cyber-physical mapping. ModBus variables in a target PLC may be scanned several times, a process that normally produces a large set of data. The challenge consists in analyzing these data to identify a cyber-physical mapping, and it is this challenge that is addressed by the proposed statistical technique. Let  $\bar{\gamma}$  and  $\bar{\omega}$  denote the mean average of  $\gamma$  and the mean average of  $\omega$ , respectively.  $\bar{\gamma}$  and  $\bar{\omega}$  are estimated through the formulae shown below:

$$\bar{\gamma} = \left( \frac{\sum_{i=1}^{10} \gamma}{10} \right) = 52.41 \quad (6.1)$$

and

$$\bar{\omega} = \left( \frac{\sum_{i=1}^{10} \omega}{10} \right) = 1215.13 \quad (6.2)$$

The normal density curves for  $\gamma$  and  $\omega$  are depicted in Figure 6.5. Under the condition that the program variables that are being analyzed follow a Gaussian distribution, the adversary applies the least squares regression method [11] to estimate the regres-

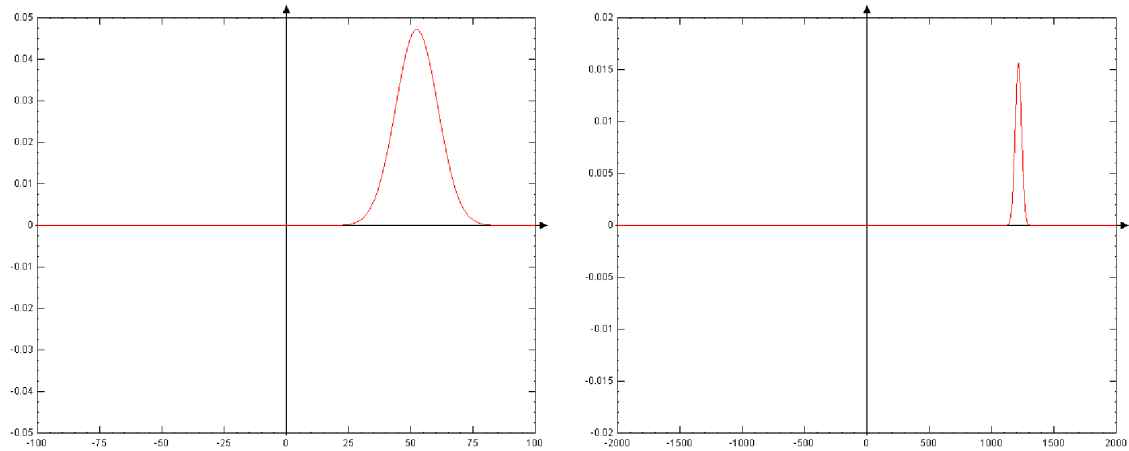


Figure 6.5: Normal density curves for applied voltage frequency  $\gamma$  and actual motor rotational speed  $\omega$ , left and right respectively, in which the standard deviation of  $\gamma$  is 8.46751 and the standard deviation of  $\omega$  is 25.40254

sion line that characterizes the linear relationship between these program variables. More precisely, he/she estimates the intercept and slope of this regression line, and hence builds the regression line itself along with a scatter plot displaying values of the program variables under investigation.

He/she then uses the regression line and the scatter plot to characterize the degree of linear association between these program variables, and hence estimates their linear regression coefficient. In our specific attack-defense model the adversary pilots his analysis towards quantification of a linear relation between the holding register variable that is mapped to  $\gamma$  and the input register variable that is mapped to  $\omega$ .

More precisely, he/she is interested in their degree of linear association as measured by a linear correlation coefficient that we denote with  $r$ . In the analysis of the data that are shown in Table 6.1 we consider  $\gamma$  as a dependent variable, and  $\omega$  as an independent variable. Note that we are not assuming causality between these two program variables in this order. Let  $a$  and  $b$  denote intercept and slope, respectively,

in the linear relation between  $\gamma$  and  $\omega$ . The linear relation between  $\gamma$  and  $\omega$  is modeled by the equation below:

$$\gamma = a + b \omega \quad (6.3)$$

where  $a$  and  $b$  are estimated via least squares regression [11] as shown in the following equations:

$$b = \left( \frac{\sum_{i=1}^{10} ((\omega_i - \bar{\omega})(\gamma_i - \bar{\gamma}))}{\sum_{i=1}^{10} (\omega_i - \bar{\omega})^2} \right) = 0.33 \quad (6.4)$$

$$\bar{\gamma} = a + b \bar{\omega} \Rightarrow a = \bar{\gamma} - b \bar{\omega} = -352.6 \quad (6.5)$$

Thus, the linear relation between  $\gamma$  and  $\omega$  is modeled as:

$$\gamma = (-352.6) + 0.33 \omega \quad (6.6)$$

The scatter plot and linear regression line for this linear relation are depicted in Figure 6.6. Let  $\hat{\gamma}$  denote the values of  $\gamma$  estimated by the linear regression line of Figure 6.6. The linear correlation coefficient  $r$  measuring the degree of linear association between  $\gamma$  and  $\omega$  is estimated by the following equation:

$$r = \left( \sqrt{\frac{\sum_{i=1}^{10} (\hat{\gamma}_i - \bar{\gamma})^2}{\sum_{i=1}^{10} (\gamma_i - \bar{\gamma})^2}} \right) = 1 \quad (6.7)$$

Armed with a quantification of the correlation coefficient  $r$  that measures the degree of linear association between  $\gamma$  and  $\omega$ , an adversary reconstructs the content of program variables that are stored in the RAM of a target PLC. Table 6.2 presents a sample of these data. For the sake of clarity, IR and HR stand for input register variable and holding register variable, respectively. The ModBus address of each reconstructed variable is given in square brackets. Recall that the adversary has already derived that it is an input register variable and a holding register variable in the RAM of the target PLC that is mapped to  $\omega$  and  $\gamma$ , respectively.

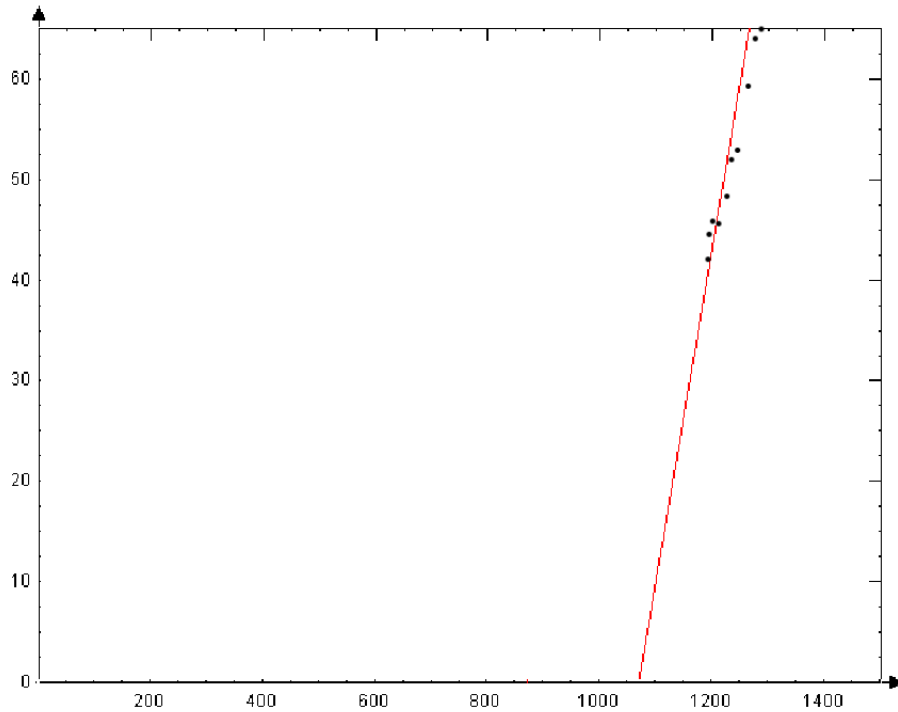


Figure 6.6: Scatter plot and linear regression line for the statistical relation between  $\gamma$  and  $\omega$ .

At this point the adversary estimates the degree of linear association between all program variables, which is, he/she estimates their linear regression coefficients. These estimations are given in Table 6.3. Let  $r_{lab}$  be the regression coefficient between a program variable that is mapped to a physical parameter of interest and a program variable that is mapped to another physical parameter, which in turn is linearly correlated with the physical parameter of interest, as preliminarily estimated in laboratory settings.

The identification of a program variable of interest in a target PLC takes place when defined program variables are found to have a regression coefficient that is equal to



<i>IR</i> [16]	<i>IR</i> [53]	<i>IR</i> [18]	<i>IR</i> [69]	<i>HR</i> [19685]	<i>HR</i> [20008]	<i>HR</i> [18610]	<i>HR</i> [655]
702.5	1884.0	1205.3	685.2	63.9	36.5	42.1	49.6
803.8	1977.0	903.9	679.2	55.4	39.2	41.6	52.4
901.8	1782.0	1306.9	722.4	55.8	38.3	45.2	62.3
904.1	1608.0	1004.8	763.2	67.3	45.8	48.6	60.1
1004.7	1884.0	1407.8	735.6	57.8	48.1	46.3	59.2
903.1	1977.0	1409.4	796.8	58.1	49.3	51.4	57.3
1004.9	1782.0	1408.3	868.8	61.8	51.5	57.4	57.9
809.6	1608.0	1598.3	817.2	48.9	58.3	53.1	61.4
1208.8	1782.0	1203.9	890.2	38.9	61.8	59.1	63.8
803.5	1608.0	957.5	945.6	48.6	47.5	63.8	65.0

Table 6.2: Excerpt from the data set acquired through ModScan from a target PLC.

	<i>IR</i> [16]	<i>IR</i> [53]	<i>IR</i> [18]	<i>IR</i> [69]
<i>HR</i> [19685]	-0.41	0.16	-0.05	-0.54
<i>HR</i> [20008]	0.64	-0.36	0.43	0.71
<i>HR</i> [18610]	0.4	-0.54	0.05	0.99
<i>HR</i> [655]	0.49	-0.66	0.1	0.72

Table 6.3: Measurements of the degree of linear association between holding register variables and input register variables that were scanned from the memory of a target PLC.

$r_{lab}$ . Thus, in our specific attack-defense model the holding register variable that is mapped to applied voltage frequency  $\gamma$  is the one whose linear association with an input register variable, which is presumably mapped to the actual rotational speed  $r_{lab}$ , has a degree that is equal to 1.

From referring to Table 6.3 we see that the ModBus address of the holding register variable that is mapped to applied voltage frequency  $\gamma$  is 18610. Furthermore, the ModBus address of the input register variable that is mapped to actual rotational speed is 69. In fact the correlation coefficient of these two program variables is slightly less than 1, namely 0.99, since a series of roundings of numbers were performed during

the mathematical estimations.

### **6.4.2 Empirical Quantification of Deception Effects**

The reconnaissance for a loss of cooling attack produces information such as presence of motor-driven water pumps that are controlled over a reachable discrete space, presence of physical processes such as nuclear fission, evaporation, condensation, etc., in a target continuous space, address or name of a program variable in the RAM of a target PLC that is mapped to applied voltage frequency, the IP address of a target PLC, the TCP port used by a slave ModBus application in a target PLC to receive and send data, etc.

This information has a direct influence on the adversary's decision making process with regard to target selection and attack engineering. Mirage theory intervenes during the reconnaissance process with the objective of interfering with the adversary's decision-making process. Such interference is conducted by manipulating the adversary's perception of a target continuous space through the lenses of an associated discrete space. We analyze the effects of mirage theory on the adversary's decision-making process under the light of signal detection theory.

Signal detection theory is a method to characterize and quantify the ability of a subject to discern between signal and noise. If we draw three parallel lines between signal detection theory and mirage theory, namely a parallel line between signal and presence of existing physical processes and equipment, another parallel line between noise and simulated or emulated physical processes and equipment, and another parallel line between subject and adversary, then we end up with applying signal detection

theory to characterize and quantify the ability of an adversary to discern between an existing continuous space and a simulated or emulated continuous space.

The subjects in our analysis comprised a team of students who were taught the internals of process control networks, ModBus TCP, PLCs, and AC induction motors. Most importantly, the student team was taught how to apply the statistical technique discussed in the previous subsection for the purpose of identifying in a large set of data a holding register variable that is mapped to applied voltage frequency. Thus, the student team took the role of the adversaries.

The complete network packets exchanged, i.e. network packets that comprise data link, IP, and TCP headers, and application data units [19], were sniffed and gathered in a data set, which was presented to members of the student team individually. The student team was told that only one of the holding register variables is mapped to an applied voltage frequency. Each member of the student team was asked to reconstruct the values of program variables from ordered series of network packets printed on chapter, and from there identify an existing target of a loss of cooling attack by the means of estimation of degrees of linear association.

This test revealed that during the reconnaissance for a loss of cooling attack an adversary is subject to what in signal detection theory is defined as external noise. The most common form of external noise met during this test was that the degree of linear association between several program variables was estimated to be  $r_{lab}$ . In other words, more than two program variables were found to be linearly associated to the same degree. External noise was found also during the application of other optional or complementary reconnaissance techniques.

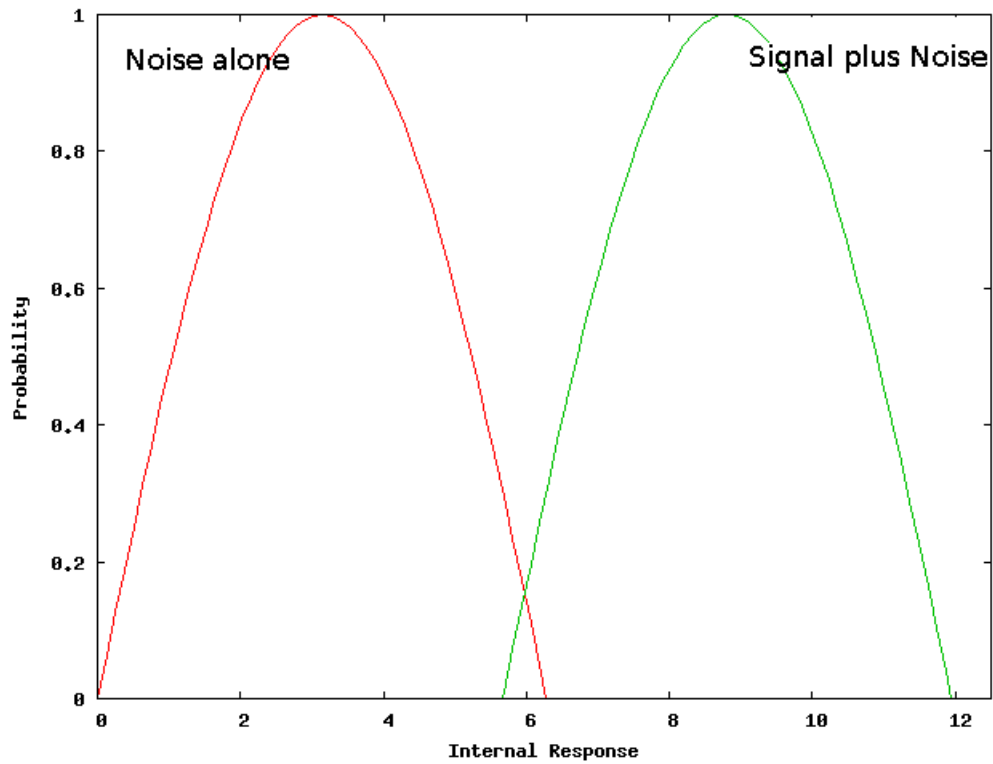


Figure 6.7: POC curves for a PLC that controls a motor-driven water pump, as estimated during a simulated loss of cooling attack.

For instance, an adversary may identify variables of interest by comparing the values of reconstructed program variables to typical values of parameters related to physical processes or equipment. Thus, when conducting reconnaissance for a loss of cooling attack an adversary may assess whether values of each holding register variable are typical for a parameter such as applied voltage frequency. The external noise in this case is that values of several holding register variables may be typical for applied voltage frequency.

Despite the affects of external noise, the said test showed that the adversary's decision-making process with regard to target selection is subject to a relatively low uncer-

tainty. Figure 6.7 depicts the internal response probability of occurrence (POC) curves that characterize the said uncertainty. The horizontal axis in Figure 6.7 represents information that motivates an adversary to take the decision that the signal is present, while the vertical axis represents the frequency of the occurrence of a defined amount of such information.

The POC curves in Figure 6.7 show that the signal strength is high and the amount of noise, both external and internal, is low. Consequently the overlap of these two POC curves is small, while their spread is reduced. The discriminability index derived from the separation and spread of the two POC curves in Figure 6.7 has a value around  $d' = 5.6$ . Thus, with such a high discriminability index an existing continuous space is considerably discriminable from a simulated or emulated continuous space.

These estimations overall indicate that adversaries who have expertise in process control can identify correctly the target of a loss of cooling attack with a high rate of correct selections and a low rate of wrong selections. The receiver operating characteristic (ROC) curve, which is plotted with hit rate on the vertical axis and false alarms rate on the horizontal axis, for a discriminability index  $d' = 5.6$  goes up to the upper left corner converging with a straight line that intersects the vertical axis at a value of 100% and is parallel with the horizontal axis.

This ROC curve indicates that an adversary's decision making process with regard to target selection is characterized by a large number of hits and just a few false alarms. The previous test was conducted again, but this time the student team was made subject to deception effects that were induced by an application of mirage theory. The target process control network included a number of PLCs that controlled emu-

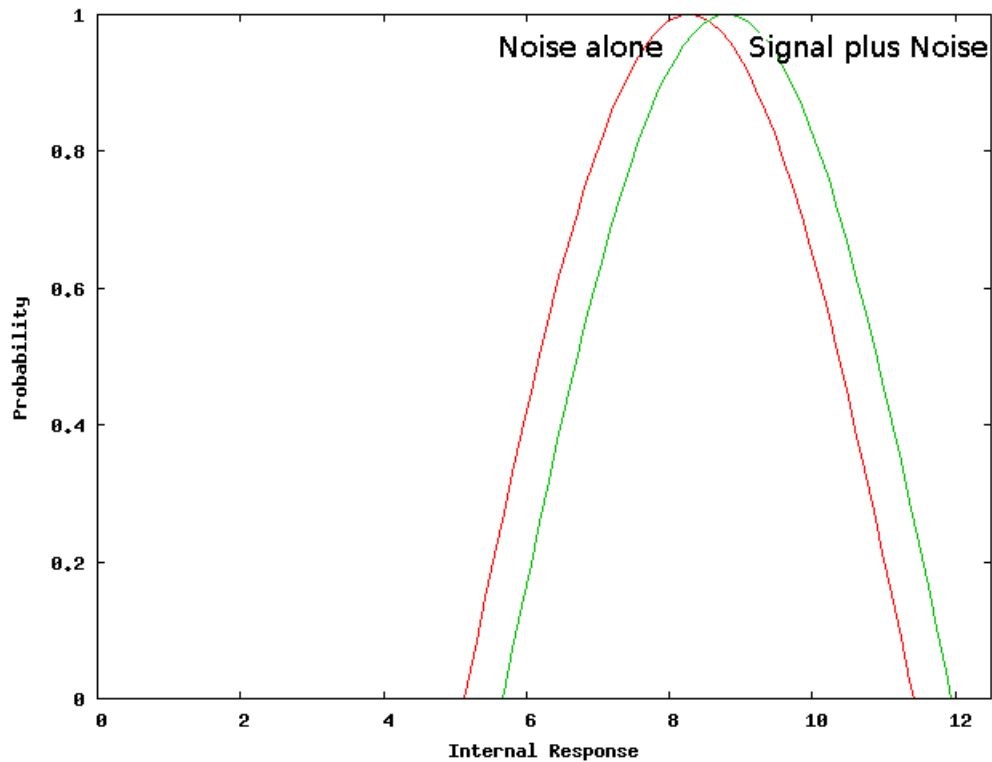


Figure 6.8: POC curves that characterize the uncertainty under which adversaries identify the target of a loss of cooling attack in the attack-defense model given in this section.

lated motor-driven water pumps. As in the former test, in the latter test we sniffed a set of complete network packets that were sent over the process control network, and thereafter presented them to each member of the student team individually.

Emulation of motor-driven water pumps resulted in generation of deceptive network packets that drastically increase the uncertainty to which the adversary's decision-making process is exposed with regard to target selection. These deceptive communications acted as what in signal detection theory is defined as internal noise. As in signal detection theory, a subject, i.e. an adversary, has little or no control over the internal noise that is emitted during a decision making process. The POC curves

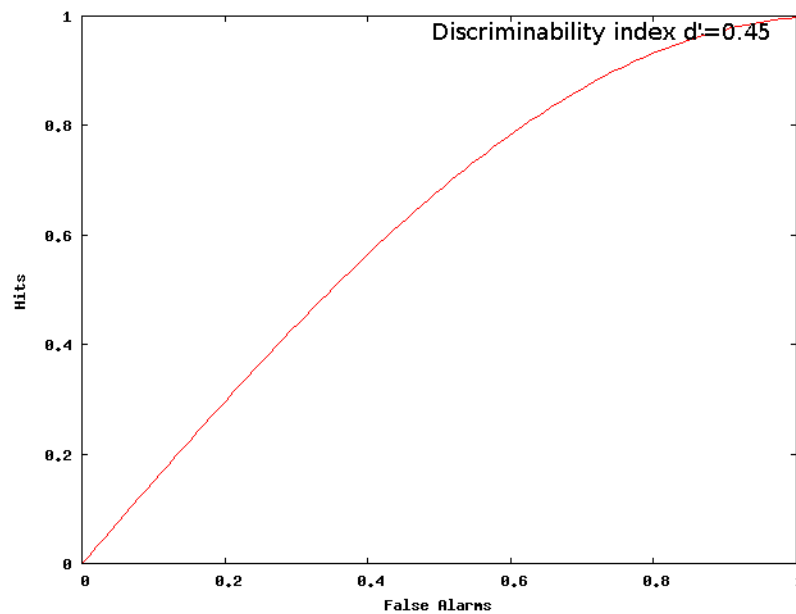


Figure 6.9: ROC curve that corresponds to the POC curves of Figure 6.8.

that characterize the uncertainty that was induced by deceptive network packets are depicted in Figure 6.8.

The internal noise makes an existing continuous space hardly discriminable from a simulated or emulated continuous space. Under the effects of mirage theory the strength of the internal response is lowered. More precisely, mirage theory lowers the discriminability index of the reconnaissance for a loss of cooling attack from  $d' = 5.6$  to  $d' = 0.45$ . The effects of mirage theory in terms of hit rates and false alarm rates are provided by the ROC curve depicted in Figure 6.9.

# Chapter 7

## A BAYESIAN THEORY OF CONFIRMATION FOR INTRUSION REPORT FUSION

### 7.1 Introduction

Intrusion detection approaches devised for operation in process control networks are required to be highly effective in terms of probability of detection and false alarms rate due to the sensitivity of the tasks that those special purpose networks conduct in industrial environments. More specifically, no single attack on process control networks can be left undetected due to permanent physical damage that those attacks have potential to cause on the digitally controlled physical system. False positives may also prove more costly in process control networks when compared to general purpose computer networks.



As Gu et al. and Dietterich show in [43] and [28], respectively, an intrusion detection ensemble, i.e. a set of diverse intrusion detection algorithms employed as a group, outperforms each one of those diverse algorithms used individually. Moving along this line, we have devised three intrusion detection algorithms especially for process control networks, namely an Estimation-Inspection (EI) algorithm, a physical process aware specification-based approach, and a theory of deception that we refer to as mirage theory.

We now propose in this dissertation a probabilistic technique for fusing the intrusion reports generated by such intrusion detection approaches. This fusion technique is a Bayesian theory of confirmation whose objective is to have the three intrusion detection approaches correct the limitations of each other while contributing to a joint intrusion detection intelligence.

## **7.2 Problem Statement**

Let us recall the modeling of the portion of RAM of control systems that is used to store sensor data and actuator control data along with set points as the matrix given below:



the matrix  $W$  evolves the state of a DCS-controlled physical system. So may do a network packet that reads an element of the matrix  $W$ , since the read value, if new, is usually stored in another element of the matrix  $W$ .

A normal operation of a DCS-controlled physical system is comprised of network packets that evolve the states of the said DCS-controlled physical system. Computer network attacks on control systems inject data into the RAM of control systems via malicious network packets, and hence they also evolve the state of a target DCS-controlled physical system. The challenge of determining whether a network packet is normal or abnormal takes the form of determining whether the network packet in question is taking a DCS-controlled physical system from a normal state into an abnormal state.

This challenge is exactly what we attack via the EI algorithm, the specification-based approach, and the mirage theory. Given a state of a DCS-controlled physical system, each one of these approaches has its own algorithmic logic to estimate the normalcy or abnormality of the said state. They classify a network packet as normal only if the packet in question is taking a DCS-controlled physical system into a state that they deem as being normal. In our research we have demonstrated the effective intrusion detection features of these three approaches, while not leaving any shortcomings behind.

In other words, we are not aware of any shortcomings of the EI algorithm, the specification-based approach, and the mirage theory, which could potentially become sources of false positives and/or false negatives. Nevertheless, we believe that it is rational to assume that these three approaches do have a series of shortcomings,

which simply are unknown to us. We seek an intrusion report fusion technique that could enable us to have the various intrusion detection approaches eliminate, or at least alleviate, the shortcomings of each other, while contributing with their effective intrusion detection features to a joint intrusion detection intelligence.

Let  $H_n$  denote the hypothesis that a network packet under inspection is normal, and  $H_a$  the hypothesis that the network packet under inspection is abnormal. Employing individually the EI algorithm, the specification-based approach, and the mirage theory, we can estimate the probability that hypothesis  $H_n$  holds and the probability that hypothesis  $H_a$  holds. Let us denote these probabilities as  $P(H_n)$  and  $P(H_a)$ , respectively. The idea behind the intrusion report fusion technique is to revise  $P(H_n)$  and  $P(H_a)$  in such a way as to reduce the overall number of false positives and false negatives, and with that increase the confidence with which to detect intrusions when they really take place in a process control network.

We have the EI algorithm, the specification-based approach, and the mirage theory, generate pieces of evidence in the form of intrusion reports for any of the two hypotheses  $H_n$  and  $H_a$  that they may defend after each network packet inspection<sup>1</sup>. Each such piece of evidence is reducible to the specification of a state of the DCS-controlled physical system that each one of the approaches may deem as being normal or abnormal, respectively. The said state is where a network packet under inspection is taking the DCS-controlled physical system to. Following the Heuer's ACH methodology, we work on a matrix with hypotheses across the top and pieces of evidence down the

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<sup>1</sup>Mirage theory generates an intrusion report only if the network packet under inspection operates on any of the deceptive variables. If that is not the case, mirage theory remains neutral with regard to support or rejection of the normalcy and abnormality hypotheses.

side.

An example of such matrix is given in Figure 7.1. Given a piece of evidence  $X = (val(x_1), val(x_2), \dots, val(x_g))$ , where  $val(x_k)$  denotes a specific value of  $x_k$  for  $k \in \{1, 2, \dots, g\}$ , we are interested to estimate the degrees to which each one of the two hypotheses  $H_n$  and  $H_a$  is confirmed by the three intrusion detection approaches through  $X$ . In this case the EI algorithm, the specification-based approach, and the mirage theory are employed simultaneously in parallel. Let us denote the said degrees of confirmation as  $P(H_n | X)$  and  $P(H_a | X)$ , respectively.

In this research we use the Bayes theorem in its ratio form in order to estimate and compare the posterior probabilities  $P(H_n | X)$  and  $P(H_a | X)$  from the prior probabilities  $P(H_n)$  and  $P(H_a)$ . For being able to do so, for each one of the hypotheses  $H_n$  and  $H_a$  individually, we need to compute a probability distribution, i.e. a probability density function, that indicates the likelihood of occurrence of each possible piece of evidence were the associated hypothesis true.

Such likelihoods are also known as hypothesis-based probabilities of evidence [45], which in this research we denote as  $P(X | H_n)$  and  $P(X | H_a)$ , respectively. Re-assembling, we need to compute all of the terms on the right of the equation given below:

$$\frac{P(H_n | X)}{P(H_a | X)} = \frac{P(X | H_n)}{P(X | H_a)} \frac{P(H_n)}{P(H_a)}$$

which is the Bayes theorem in its ratio form as applied to our problem domain.

		Hypotheses	
		$H_n$	$H_a$
Evidence	Statistical algorithm	0.36	0.18
	Physical process aware approach	0.24	0.15
	Theory of deception	0.13	0.29

Figure 7.1: Example of an ACH matrix in the proposed theory of confirmation.

### 7.3 Estimating the Hypothesis-based Probabilities of Evidence

Let  $\mathbb{X}$  denote the set of states of the DCS-controlled physical system. Thus,  $\mathbb{X}$  is defined as:  $\mathbb{X} = \{X \mid X = val(x_1), val(x_2), \dots, val(x_g)\}$ . The EI algorithm, the specification-based approach, and the mirage theory may produce each element  $X$  of the set  $\mathbb{X}$  as a piece of evidence for any of the two hypotheses  $H_n$  and  $H_a$  that they may defend. Consequently we need to be able to estimate  $P(X \mid H_n)$  and  $P(X \mid H_a)$  for all  $X \in \mathbb{X}$ .

In this research we treat the estimation of  $P(X \mid H_n)$  as a statistics problem, in which, for each intrusion detection approach  $ids \in \{EI \text{ algorithm, specification – based approach, mirage theory}\}$ , we analyze a sample of normal states

$\{X \in \mathbb{X} \mid X \text{ is normal} \wedge X \text{ is classified as normal by } ids\}$  to infer the probability distribution that has most likely generated the said sample of states from the perspective of approach *ids*.

The said probability distribution is selected from the unconstrained probability model on  $\mathbb{X}$ , i.e. a non-empty set of all possible probability distributions on  $\mathbb{X}$ . We follow the same approach to the estimation of  $P(X \mid H_a)$ , but this time, for each intrusion detection approach *ids*, we analyze a sample of abnormal states  $\{X \in \mathbb{X} \mid X \text{ is abnormal} \wedge X \text{ is classified as abnormal by } ids\}$ . We cannot compute  $P(X \mid H_n)$  and  $P(X \mid H_a)$  directly as we are in a setting in which we are incompletely informed. Let us see why.

Our statistical analysis is based on a set of network packets sniffed from the process control network of a real world DCS-controlled physical system as the latter is operated normally. From the said set of data we can derive the sample of normal states that were followed by the DCS-controlled physical system throughout its normal operation. This sample of normal states contains only a limited number of the population of all possible normal states of the DCS-controlled physical system. Furthermore, the generation of all possible combinations of all possible values of  $x_1, x_2, \dots, x_g$  that constitute a normal state is unpractical.

Consequently our statistical analysis would cover only the specific states that appear in the sample of normal states, with the consequence being that we cannot estimate  $P(X \mid H_n)$  if  $X$  does not appear in the sample of normal states. A similar limitation holds with regard to the estimation of  $P(X \mid H_a)$ . We can generate a set of abnormal network packets, and thus consider them in conjunction with the sample of normal

states in order to derive a sample of abnormal states.

This sample of abnormal states contains only a limited number of the population of all possible abnormal states of the DCS-controlled physical system. This is because clearly the attacks that we could generate are only a sample of the population of all possible attacks on the DCS-controlled physical system. Furthermore, the generation of all possible combinations of all possible values of  $x_1, x_2, \dots, x_g$  that constitute an abnormal state is unpractical.

Since our statistical analysis would cover only the specific states that appear in the sample of abnormal states, we cannot estimate  $P(X | H_a)$  if  $X$  does not appear in the sample of abnormal states. The approach that we take to overcome these limitations is to transform the problem of estimating  $P(X | H_n)$  and  $P(X | H_a)$  in a form that allows us to attack it by applying the Expectation-Maximization (EM) algorithm [27]. We do so as the EM algorithm is known to be effective with regard to estimation of probability distributions in a setting in which we are informed only in part. The majority of the statistical concepts that underlie our discussion in this section are drawn from the context of the EM algorithm [27].

### 7.3.1 Developing Incomplete-data Spaces and the Associated Symbolic Analyzers

The set of states of the DCS-controlled physical system  $\mathbb{X}$  is a complete-data space comprised of types  $X$ . If  $X = val(x_1), val(x_2), \dots, val(x_g)$ , then

$$P(X | H_n) = P(val(x_1) | H_n) P(val(x_2) | H_n) \dots P(val(x_g) | H_n)$$



and

$$P(X | H_a) = P(val(x_1) | H_a) P(val(x_2) | H_a) \dots P(val(x_g) | H_a)$$

This means that the problem of estimating the probability distributions on  $\mathbb{X}$  that are most likely to have generated the aforementioned samples of states, is reduced to identifying the corresponding probability distributions on each variable  $x_k$ , for  $k \in \{1, 2, \dots, g\}$ , that are most likely to have generated those samples of states. In this research we define an incomplete-data space for each variable  $x_k$ , where  $k \in \{1, 2, \dots, g\}$ . Let us first discuss the process of defining an incomplete-data space for a word variable, say  $x_1$ .

This process is depicted in Figure 7.2. The segment of possible values of  $x_1$  is partitioned into  $\delta$  subsegments of contiguous values of  $x_1$ . We refer to these subsegments as  $\delta$  partitions. For example, in Figure 7.2 the possible values of  $x_1$  are organized into four  $\delta$  partitions. Let  $anyval(x_k)$  denote any possible value of  $x_k$ . An incomplete-data type  $Y_j$  consists of  $(y_1, y_2, \dots, y_g)$ , where  $y_1$  is any value of  $x_1$  that lies in the  $j$ -th  $\delta$  partition, while  $y_2, \dots, y_g$  are equal to  $anyval(x_2), \dots, anyval(x_g)$ , respectively. Let  $\mathbb{Y}$  denote the incomplete-data space for variable  $x_1$ .

In this case  $\mathbb{Y}$  is comprised of the incomplete-data types  $\{Y_1, Y_2, Y_3, Y_4\}$ . The choice of  $\delta$  is proportional to the size of the segment of possible values of  $x_1$ . The incomplete-data space for a logical variable, say  $x_1$  again, is defined in a similar way. This time  $\delta$  can only be two, and thus the two possible  $\delta$  partitions are 0 and 1. The incomplete-data types  $Y_1$  and  $Y_2$  consist of  $(y_1, y_2, \dots, y_g)$ , where  $y_1 = 0$  and  $y_1 = 1$ , respectively. In both of these incomplete-data types,  $y_2, \dots, y_g$  are equal to  $anyval(x_2), \dots, anyval(x_g)$ , respectively.

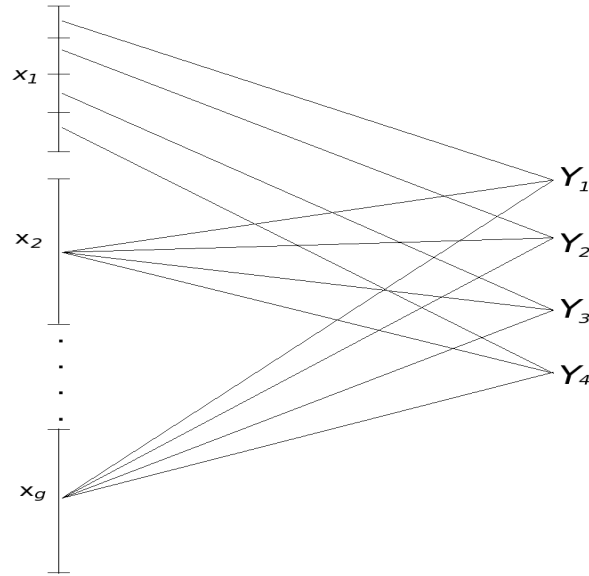


Figure 7.2: Example of the derivation of an incomplete-data space for a word variable  $x_1$ .

In this case the incomplete-data space  $\mathbb{Y}$  for variable  $x_1$  is comprised of the incomplete-data types  $\{Y_1, Y_2\}$ . In the context of our application of the EM algorithm, the complete-data space for a variable  $x_k$  is the segment of values  $[min(x_k), max(x_k)]$ , where  $min(x_k)$  and  $max(x_k)$  denote the minimum value and the maximum value of variable  $x_k$ , respectively. A symbolic analyzer, say  $A$ , is a relation that maps each incomplete-data type to a set of complete-data types.

Thus, overall the symbolic analyzer  $A$  maps the incomplete-data space  $\mathbb{Y}$  to the complete-data space  $[min(x_k), max(x_k)]$  with respect to variable  $x_k$ . Let us see how this mapping is done for the word variable  $x_1$  in the example of Figure 7.2. Given an incomplete-data type  $Y_j = (y_1, y_2, \dots, y_g)$ . The symbolic analyzer  $A$  examines  $y_1$  to determine the  $\delta$  partition of the values of  $x_1$  where  $y_1$  lies in.  $Y_j$  is then mapped to the set of  $val(x_1)$  that lie in that  $\delta$  partition.

Referring to the example of Figure 7.2, the symbolic analyzer  $A$  maps  $Y_1$  to the set of  $val(x_1)$  that lie in the first  $\delta$  partition,  $Y_2$  to the set of  $val(x_1)$  that lie in the second  $\delta$  partition,  $Y_3$  to the set of  $val(x_1)$  that lie in the third  $\delta$  partition, and  $Y_4$  to the set of  $val(x_1)$  that lie in the fourth  $\delta$  partition. The mapping of  $Y_j$  is done in a similar way in the case  $x_1$  is a logical variable. If  $y_1 = 0$ ,  $Y_j$  is mapped to the value 0 of variable  $x_1$ . If  $y_1 = 1$ , then  $Y_j$  is mapped to the value 1 of variable  $x_1$ .

### 7.3.2 Algorithmic Approach

We now discuss how we estimate the hypothesis-based probability distributions on logical or word variables stored in the RAM of control systems. The algorithmic approach is given in Algorithm 2. The theory of confirmation first defines the complete-data space  $\mathbb{X}$  whose types are states of the DCS-controlled physical system [Algorithm 2; line 1]. It is this space's hypothesis-based probability distributions that we cannot compute directly. As written earlier in this dissertation, for the sake of the application of the EM algorithm we consider as a complete-data space the interval of values  $[min(x_k), max(x_k)]$  for each variable  $x_k$ .

Once we compute the hypothesis-based probability distributions on each variable  $x_k$ , we can then compute the hypothesis-based probability distributions on  $\mathbb{X}$ . Taking into account that the EI algorithm, the specification-based approach, and the mirage theory have their own individual detection logic, the hypothesis-based probability distributions on each variable  $x_k$  differ according to what intrusion detection approach is being used. In other words, given the hypothesis  $H_n$  is true or the hypothesis  $H_a$  is true, the probability of receiving a specific piece of evidence is different for different

intrusion detection approaches.

Thus, the theory of confirmation computes the hypothesis-based probability distributions on each variable  $x_k$  [Algorithm 2; line 3] for each one of the three intrusion detection approaches [Algorithm 2; line 2]. Let  $M(x_k)$  denote the unconstrained probability model on variable  $x_k$ , i.e. a non-empty set of all possible probability distributions on variable  $x_k$  [Algorithm 2; line 4]. The theory of confirmation randomly chooses a probability distribution  $p_0$  from  $M(x_k)$  [Algorithm 2; line 5].

The probability distribution  $p_0$  is needed to initiate the execution of the EM algorithm. In [Algorithm 2; lines 6-14], the theory of confirmation defines an incomplete-data space  $\mathbb{Y}$  for each word variable  $x_k$ . It also defines the symbolic analyzer  $A$  that maps types of  $\mathbb{Y}$  to the appropriate  $\delta$  partition of variable  $x_k$ , as discussed in the previous subsection. In [Algorithm 2; lines 15-21], the theory of confirmation performs the same task for each logical variable  $x_k$ . Recall that we have in hand a sample of normal tokens from  $\mathbb{X}$ , and a sample of abnormal tokens from  $\mathbb{X}$ .

Following the discussion made in the previous subsection, we derive the corresponding sample of normal tokens from  $\mathbb{Y}$ , say  $n$ , and the corresponding sample of abnormal tokens from  $\mathbb{Y}$ , say  $m$ , respectively. Let  $n_{ids}$  denote a sample comprised of those normal tokens of  $n$  that are classified as normal by the intrusion detection currently in consideration [Algorithm 2; line 22]. Further, let  $m_{ids}$  denote a sample comprised of those abnormal tokens of  $m$  that are classified as abnormal by the intrusion detection currently in consideration [Algorithm 2; line 23].

Thus,  $n_{ids} \subseteq n$  and  $m_{ids} \subseteq m$ . Both  $n_{ids}$  and  $m_{ids}$  are non-empty and finite. In [Algorithm 2; line 24], the theory of confirmation passes the symbolic analyzer  $A$ ,

the sample  $n_{ids}$  of normal tokens that are classified as normal by the intrusion detection currently in consideration, the unconstrained probability model on variable  $x_k$ , namely  $M(x_k)$ , and the randomly chosen probability distribution  $p_0$ , to the EM algorithm. The EM algorithm then estimates the instance  $p_{ids}^{n-x_k}$  of  $M(x_k)$  that maximizes the likelihood of  $n_{ids}$ .

Similarly, in [Algorithm 2; line 25], the theory of confirmation passes the symbolic analyzer  $A$ , the sample  $m_{ids}$  of abnormal tokens that are classified as abnormal by the intrusion detection currently in consideration, the unconstrained probability model  $M(x_k)$ , and the randomly chosen probability distribution  $p_0$ , to the EM algorithm, which estimates the instance  $p_{ids}^{m-x_k}$  of  $M(x_k)$  that maximizes the likelihood of  $m_{ids}$ . Let us see in Algorithm 3 how the EM algorithm estimates  $p_{ids}^{n-x_k}$ .

The estimation of  $p_{ids}^{m-x_k}$  is conducted by the EM in a similar way. In this case the EM algorithm works on  $m_{ids}$  rather than on  $n_{ids}$ .

**Algorithm 2** Estimate the hypothesis-based probability distributions on each logical or word variable

- 1:  $\mathbb{X} \Leftarrow \{X \mid X = val(x_1), val(x_2), \dots, val(x_g)\}$
- 2: **for all**  $ids$  such that  $ids \in \{\text{EI algorithm, specification-based approach, mirage theory}\}$  **do**
- 3:   **for all**  $x_k$  such that  $k \in \{1, 2, \dots, g\}$  **do**
- 4:      $M(x_k) \Leftarrow$  unrestricted probability model on  $x_k$
- 5:      $p_0 \Leftarrow$  a probability distribution on  $x_k$  chosen randomly from  $M(x_k)$
- 6:     **if**  $x_k$  models a word variable **then**

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```

7:      e ← number of δ partitions of xk
8:      Y ← NULL
9:      for all j such that j ∈ {1, 2, ..., e} do
10:         Yj ← (y1, y2, ..., yg), where min(xk) + δ(j - 1) ≤ yk < min(xk) + jδ and
            yl = anyval(xl) for l ≠ k
11:         Y ← Y ∪ Yj
12:         A(Yj) ← {val(xk) | min(xk) + δ(j - 1) ≤ val(xk) < min(xk) + jδ}
13:      end for
14: end if
15: if xk models a logical variable then
16:     Y1 ← (y1, y2, ..., yg), where yk = 0 and yl = anyval(xl) for l ≠ k
17:     Y2 ← (y1, y2, ..., yg), where yk = 1 and yl = anyval(xl) for l ≠ k
18:     Y ← Y0 ∪ Y1
19:     A(Y1) ← 0
20:     A(Y2) ← 1
21: end if
22: nids : Y → ℝ, such that for all Y ∈ Y, nids(Y) ≥ 0 and 0 < |nids| < ∞ ⇐
    sample of normal tokens classified as normal by ids
23: mids : Y → ℝ, such that for all Y ∈ Y, mids(Y) ≥ 0 and 0 < |mids| < ∞ ⇐
    sample of abnormal tokens classified as abnormal by ids
24: pidsn-xk ⇐ feed the EM algorithm with (A, nids, M(xk), p0)
25: pidsm-xk ⇐ feed the EM algorithm with (A, mids, M(xk), p0)
26: end for

```

27: **end for**

The EM algorithm (Algorithm 3) that estimates  $p_{ids}^{n-x_k}$  is comprised of an expectation step and a maximization step, which are iterated until the sequence of probabilities allocated to the incomplete-data sample  $n_{ids}$  converge to a local maximum value. Initially the aforementioned  $p_0$  chosen randomly from  $M(x_k)$  is used as the probability distribution  $q$  that is used to generate a complete-data sample [Algorithm 3; line 2]. Let  $n_{ids}^q$  denote the complete-data sample expected by the probability distribution  $q$  [Algorithm 3; line 3].

In [Algorithm 3; lines 4-8], the EM algorithm computes the complete-data sample expected by the probability distribution  $q$ . In other words, the EM algorithm uses the probability distribution  $q$  to distribute the frequency  $n_{ids}(Y)$ , for each incomplete-data type  $Y \in \mathbb{Y}$ , among the complete-data types  $val(x_k) \in A(Y)$ . Let  $\bar{p}$  denote the maximum-likelihood estimate of  $M(x_k)$  on  $n_{ids}^q$  [Algorithm 3; line 9]. Taking into account that  $M(x_k)$  is an unconstrained probability model, the maximum-likelihood estimate of  $M(x_k)$  on  $n_{ids}^q$  corresponds to the relative-frequency estimate of  $M(x_k)$  on  $n_{ids}^q$ .

In [Algorithm 3; lines 10-12], the EM algorithm computes  $\bar{p}$ , which becomes the probability distribution  $q$  that is used to generate a complete-data sample in the next iteration [Algorithm 3; line 13]. The relative-frequency estimate of  $M(x_k)$  on  $n_{ids}^q$  that the EM algorithm computes in the last iteration becomes  $p_{ids}^{n-x_k}$  [Algorithm 3; line 15].  $P(X | H_n)$  and  $P(X | H_a)$  are computed for each intrusion detection approach  $ids \in \{EI \text{ algorithm, specification - based approach, mirage theory}\}$  as shown below:

$$P(X \quad | \quad H_n) \quad = \quad p_{ids}^{n-x_1}(val(x_1)) \quad p_{ids}^{n-x_2}(val(x_2)) \quad \dots \quad p_{ids}^{n-x_g}(val(x_g))$$

and

$$P(X \mid H_a) = p_{ids}^{m-x_1}(val(x_1)) \ p_{ids}^{m-x_2}(val(x_2)) \ \dots \ p_{ids}^{m-x_g}(val(x_g))$$

In Figure 7.1, for example, we see that the EI algorithm has computed a probability 0.36 for  $P(X \mid H_n)$ , and a probability 0.18 for  $P(X \mid H_a)$ .

**Algorithm 3** Compute the normalcy maximum likelihood estimate of the unrestricted probability model on a logical or word variable

- 1: **for all**  $i$  such that  $i \in \{1, 2, \dots, r\}$  **do**
- 2:    $q \leftarrow p_{i-1}$
- 3:    $n_{ids}^q \leftarrow$  complete-data sample expected by the probability distribution  $q$
- 4:   **for all**  $Y$  such that  $Y \in \mathbb{Y}$  **do**
- 5:     **for all**  $val(x_k)$  such that  $val(x_k) \in A(Y)$  **do**
- 6:        $n_{ids}^q(val(x_k)) \leftarrow n_{ids}(Y) \frac{q(val(x_k))}{q(Y)}$
- 7:     **end for**
- 8:   **end for**
- 9:    $\bar{p} \leftarrow$  relative-frequency estimate of  $M(x_k)$  on  $n_{ids}^q$
- 10:   **for all**  $val(x_k)$  **do**
- 11:      $\bar{p}(val(x_k)) \leftarrow \frac{n_{ids}^q(val(x_k))}{|n_{ids}^q|}$
- 12:   **end for**
- 13:    $p_i = \bar{p}$
- 14: **end for**
- 15:  $p_{ids}^{n-x_k} \leftarrow p_r$



## 7.4 Estimating Prior Probabilities of Normalcy and Abnormality

We now discuss the estimation of  $P(H_n)$  and  $P(H_a)$ , which correspond to the probability of  $H_n$  and the probability of  $H_a$ , respectively, if we were to employ only one of the three intrusion detection approaches in question. In this research we use the probability tree method to estimate  $P(H_n)$  and  $P(H_a)$ . An example is given in Figure 7.3. The root of the tree is the starting point of the inspection of a variable value conveyed by a network packet payload. The children nodes of the root node are the intrusion detection approaches, namely the EI algorithm, the specification-based approach, and the mirage theory.

Each one of these three nodes has two children nodes, namely  $H_n$  and  $H_a$ . The EI algorithm, the specification-based approach, and the mirage theory have comparable effectiveness, and thus we would have no reasons for employing one specific approach rather than another. Consequently each one of the branches that connects the root node with an approach node is assigned a probability of  $1/3$ , since the choice of the approach to use is random. Upon inspection of a variable value conveyed by a network packet payload, the EI algorithm computes a stochastic vector in which it specifies a normalcy probability for the value in question.

If the said probability is 0.00, then the entire network packet is classified as abnormal, in which case the hypothesis  $H_a$  holds. Otherwise the specific variable value being analyzed is classified as normal, and thus the hypothesis  $H_n$  holds. In the case the estimated normalcy probability is 0.00, the probability 1.00 is assigned to the branch

that connects the EI algorithm node with the  $H_a$  node. This is because when the estimated normalcy probability is 0.00, the probability that the EI algorithm reports that the hypothesis  $H_a$  holds is 1.00.

Furthermore, the probability 0.00 is assigned to the branch that connects the EI algorithm node with the  $H_n$  node. When the estimated normalcy probability is 0.00, the probability that the EI algorithm reports that the hypothesis  $H_n$  holds is 0.00. In the case the estimated normalcy probability is greater than 0.00, the probability 1.00 is assigned to the branch that connects the EI algorithm node with the  $H_n$  node. This is because when the estimated normalcy probability is greater than 0.00, the probability that the EI algorithm reports that the hypothesis  $H_n$  holds is 1.00.

Furthermore, the probability that is assigned to the branch that connects the EI algorithm node with the  $H_a$  node is 0.00. When the estimated normalcy probability is greater than 0.00, the probability that the EI algorithm reports that the hypothesis  $H_a$  holds is 0.00. When inspecting a variable value conveyed by a network packet payload, the specification-based approach uses a series of rules in conjunction with selected portions of the current state of the DCS-controlled physical system to compute a range of normal values. If the value being inspected falls within the said range, the specification-based approach reports that the hypothesis  $H_n$  holds.

In this case we assign a probability of 1.0 to the branch that connects the specification-based approach node with the  $H_n$  node, and a probability of 0.00 to the branch that connects the specification-based approach node with the  $H_a$  node. If the value being inspected falls outside the computer range of normal values, the specification-based approach reports that the hypothesis  $H_a$  holds. In this case we assign a probability

of 0.0 to the branch that connects the specification-based approach node with the  $H_n$  node, and a probability of 1.00 to the branch that connects the specification-based approach node with the  $H_a$  node.

When inspecting a variable value conveyed by a network packet payload, mirage theory uses a communicating finite state machine in the form of sequence detector to assess whether the said network packet is foreign, i.e. it is not part of the network traffic that is generated by deceptive simulation. If the sequence detector recognizes the variable value in question, mirage theory reports that the hypothesis  $H_n$  holds. In this case we assign a probability of 1.0 to the branch that connects the mirage theory node with the  $H_n$  node, and a probability of 0.00 to the branch that connects the mirage theory node with the  $H_a$  node.

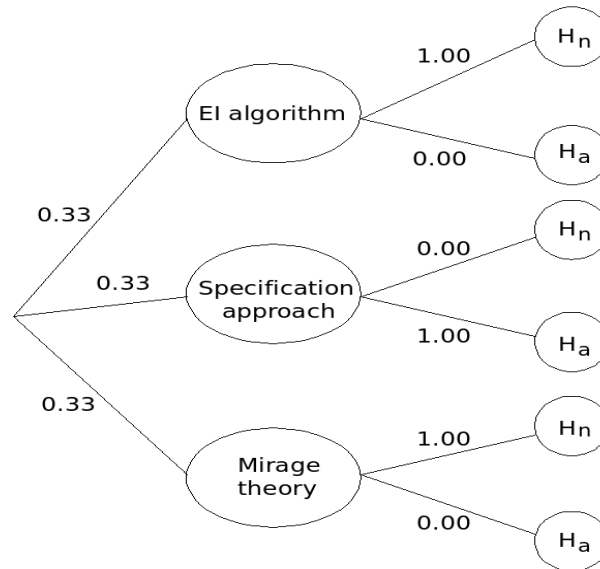


Figure 7.3: Probability tree estimation of prior normalcy and abnormality probabilities.

If the sequence detector does not recognize the variable value in question, mirage

theory reports that the hypothesis  $H_a$  holds. If this occurs, we assign a probability of 0.0 to the branch that connects the mirage theory node with the  $H_n$  node, and a probability of 1.00 to the branch that connects the mirage theory node with the  $H_a$  node. Following the multiplicative law of probability, the probability that each one of the intrusion detection approaches reports that the hypothesis  $H_n$  holds is obtained by multiplying the probabilities along the path from the root node to the  $H_n$  node. According to the probability tree method,  $P(H_n)$  is obtained by summing these estimated individual probabilities, as shown in the equation below:

$$P(H_n) = 0.33 P(H_n | EI \text{ algorithm}) + 0.33 P(H_n | \text{specification-based approach}) \\ + 0.33 P(H_n | \text{mirage theory})$$

Similarly, the probability that each one of the intrusion detection approaches reports that the hypothesis  $H_a$  holds is obtained by multiplying the probabilities along the path from the root node to the  $H_a$  node.  $P(H_a)$  is obtained by summing these estimated individual probabilities:

$$P(H_a) = 0.33 P(H_a | EI \text{ algorithm}) + 0.33 P(H_a | \text{specification-based approach}) \\ + 0.33 P(H_a | \text{mirage theory})$$

## 7.5 Bayesian Comparison of the Normalcy and Abnormality Hypotheses

We now discuss how we compare the two competing hypotheses, namely  $H_n$  and  $H_a$ . The algorithmic approach is given in Algorithm 4. Let  $\varphi(x_k)$  denote a  $val(x_k)$

that a network packet under inspection is writing to a variable  $x_k$ . The theory of confirmation inspects each  $\varphi(x_k)$  held in the payload of the said network packet [Algorithm 4; line 3]. Let  $alg1$ ,  $alg2$ , and  $alg3$  denote the EI algorithm, the specification-based approach, and the mirage theory, respectively.

In [Algorithm 4; lines 5-7], the theory of confirmation uses the probability tree method to estimate the prior probabilities of the hypotheses  $H_n$  and  $H_a$ . The theory of confirmation computes  $P(X | H_n)$  for each intrusion detection approach  $ids \in \{EI \text{ algorithm}, \text{specification} - \text{based approach}, \text{mirage theory}\}$ , and then sums the estimated probabilities to get the overall  $P(X | H_n)$  [Algorithm 4; lines 8-14]. Similarly, the theory of confirmation computes  $P(X | H_a)$  for each intrusion detection approach  $ids \in \{EI \text{ algorithm}, \text{specification} - \text{based approach}, \text{mirage theory}\}$ , and then sums those estimated probabilities to compute the overall  $P(X | H_a)$  [Algorithm 4; lines 15-21].

In Figure 7.1, for example, the overall  $P(X | H_n)$  is  $0.36+0.24+0.13 = 0.73$ , while the overall  $P(X | H_a)$  is  $0.18+0.15+0.29 = 0.62$ . At this point we have in hand the prior probabilities  $P(H_n)$  and  $P(H_a)$ , and the hypothesis-based probabilities of evidence, namely  $P(X | H_n)$  and  $P(X | H_a)$ , and thus are in the position of applying the Bayes theorem in its ratio form [Algorithm 4; line 22]. In [Algorithm 4; lines 23-29], the estimation theory compares the posterior probabilities  $P(H_n | X)$  and  $P(H_a | X)$ . If  $P(H_n | X)$  is greater than  $P(H_a | X)$ , the theory of confirmation classifies as normal the  $\varphi(x_k)$  currently under inspection.

If  $P(H_n | X)$  is smaller than  $P(H_a | X)$ , the theory of confirmation classifies as abnormal the said  $\varphi(x_k)$  along with the network packet under inspection.

**Algorithm 4** Compare competing hypotheses

```

1:  $U \Leftarrow \text{payload}$ 
2:  $Norm \Leftarrow \text{true}$ 
3: for all  $x_k$  such that  $\varphi(x_k) \in U$  do
4:    $X \Leftarrow \text{evidence}$ 
5:   build the probability tree associated with  $x_k$ 
6:    $P(H_n) \Leftarrow P(\text{alg1}) P(H_n | \text{alg1}) + P(\text{alg2}) P(H_n | \text{alg2}) + P(\text{alg3}) P(H_n | \text{alg3})$ 
7:    $P(H_a) \Leftarrow P(\text{alg1}) P(H_a | \text{alg1}) + P(\text{alg2}) P(H_a | \text{alg2}) + P(\text{alg3}) P(H_a | \text{alg3})$ 
8:    $P(X | H_n) = 0$ 
9:   for all  $ids$  such that  $ids \in \{\text{EI algorithm, specification-based approach, mirage theory}\}$  do
10:      $p_X = 1$ 
11:     for all  $x_k$  such that  $k \in \{1, 2, \dots, g\}$  do
12:        $p_X \Leftarrow p_X p_{ids}^{n-x_k}(\text{val}(x_k))$ 
13:     end for
14:      $P(X | H_n) = P(X | H_n) + p_X$ 
15:   end for
16:    $P(X | H_a) = 0$ 
17:   for all  $ids$  such that  $ids \in \{\text{EI algorithm, specification-based approach, mirage theory}\}$  do
18:      $p_X = 1$ 
19:     for all  $x_k$  such that  $k \in \{1, 2, \dots, g\}$  do

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19:      $p_X \leftarrow p_X p_{ids}^{m-x_k}(val(x_k))$ 
20:   end for
       $P(X | H_a) = P(X | H_n) + p_X$ 
21: end for
22:  $u \leftarrow \frac{P(H_n | X)}{P(H_a | X)} \leftarrow \frac{P(X | H_n)}{P(X | H_a)} \frac{P(H_n)}{P(H_a)}$ 
23: if  $u > 1$  then
24:   payload is normal
25: else if  $u < 1$  then
26:   payload is abnormal
27:    $Norm \leftarrow false$ 
28:   break for loop
29: end if
30: end for
31: return  $Norm$ 
```

# Chapter 8

## EXPERIMENTAL EVALUATION

### 8.1 Testbed

We created a small testbed ad hoc for (1) generating a learning data set for the inductive machine learning process within the intrusion detection ensemble, (2) conducting an empirical experimental evaluation of the intrusion detection ensemble. The DCS in the testbed in question was comprised of Linux PC-based PLCs [110], more precisely MatPLCs [121] installed on general purpose Linux machines with a x86 CPU architecture. We used custom MatPLC modules in master mode to control and monitor a limited number of simulated components of an ABWR.

These modules are implementations of control logic that processes MatPLC points, i.e. inputs, outputs, internal coils and registers of MatPLC. The said MatPLC points were mapped to physical I/O parameters, and hence represented the link between the MatPLC modules in master mode and some parameters of the simulated components of an ABWR. Network communications were conducted via the ModBus protocol over



TCP/IP. Sensors and actuators were emulated via custom MatPLC modules running in slave mode.

Furthermore, we used a MatPLC HMI GNU image manipulation program toolkit (GTK) module to read and write MatPLC points in the form of supervisory network operation of a power plant. We conducted a simulation of the mechanisms that are used to insert or withdraw a control rod, namely the joint operation of an AC induction motor that produces a torque and a ballscrew that transforms rotational motion into linear motion, a motor-driven water pump that is used to inject water within the reactor core, and limited portions of the nuclear fission process that involve reactivity [116] and core flow, i.e. water level in the reactor core.

## 8.2 Test Vulnerabilities and Exploitations

As we deployed and activated a prototype implementation of the intrusion detection ensemble in the MatPLCs, we ran the simulated components of an ABWR normally via the DCS over the network. The main purpose of this test was to assess whether the algorithms of the intrusion detection ensemble along with the alert fusion technique would mistakenly classify normal network packets as abnormal, and hence generate false positives. In order to assess the effectiveness of the intrusion detection ensemble with regard to detection of computer network attacks, we planted a series of memory errors into the ModBus implementation running in the MatPLCs, and thereafter developed attack code that exploited them.

The computer network attacks that we launched on the MatPLCs comprised the following: stack overflow exploitations with shellcode injection, stack overflow ex-

ploitations with arc injection, heap overflow exploitations with shellcode injection, frame pointer overwrites with shellcode injection, format bug exploitations with shellcode injection corrupting function pointers in the global offset table (GOT), indirect pointer overwrites with shellcode injection corrupting function pointers in GOT, and exploitations of out of boundary array indexes with shellcode injection.

Furthermore, we mounted inertial attacks on the simulated AC induction motor, and exclusion attacks that violated a functional dependency between the (limited) simulated control rod insertion and withdrawal system and the (limited) simulated reactor feedwater system.

### 8.3 Empirical Results

In this section we discuss the results of testing the EI algorithm, the physical process aware specification-based approach, and the Bayesian confirmation theory. The results of testing the mirage theory are given earlier in this dissertation, namely in chapter 6. The overall results of these tests are the following:

- We received a false alarms rate of 0 for both the EI algorithm and the physical process aware specification-based approach.
- We received a probability of detection of approximately 98% for both the EI algorithm and the physical process aware specification-based approach, which is, 98% of the malicious network packets were detected by the EI algorithm and the physical process aware specification-based approach. When possible, we crafted network packets in such a way as to inject shellcode two bytes at a time.

A few of these bytes managed to pass undetected, since they were indeed normal process data in defined states of the simulated components of an ABWR. All of the network packets that were injecting memory addresses were detected by the EI algorithm and the physical process aware specification-based approach. Overall, all of the computer network attacks that we generated in this test were detected by the EI algorithm and the physical process aware specification-based approach.

With regard to the testing of the proposed Bayesian confirmation theory, given that we are not aware of attacks that are capable of evading the three intrusion detection approaches when used individually, we employed a testing technique that is similar to fault injection in software testing. We injected logical flaws in the the EI algorithm, the specification-based approach, and the mirage theory.

Thus, we intentionally caused intrusion detection failures, with the result being a reduced probability of detection and an increased false alarms rate for each one of these three approaches. The purpose of such detection failure injection was to test the effectiveness of the proposed intrusion report fusion technique to repair the probability of detection and alleviate the false alarms rate. In front of the same set of attacks, the gain in intrusion detection effectiveness appeared to depend on the level of detection failure injection, i.e. the degree of intentional degrade of the probability of detection and false alarms rate.

The empirical results that regard the gain in probability of detection ( $P_d$ ) in the case the EI algorithm and the physical process aware specification-based approach were individually made subject to detection failure injection are given in Table 8.1 and

Injected $P_d$	Corrected $P_d$
0.81	0.92
0.72	0.81
0.64	0.72
0.51	0.57
0.43	0.46

Table 8.1: The gain in probability of detection in the case the EI algorithm is made subject to detection failure injection.

Table 8.2, respectively.

Mirage theory contributes to the correction of the probability of detection in the case a malicious network packet writes any of the deceptive variables configured in control systems. An example is a malicious network packet that performs a write of multiple variables, any of which is a deceptive variable. If a malicious network packet does not affect any of the deceptive variables, the Bayesian theory of confirmation leverages mostly the EI algorithm and the physical process aware specification-based approach to correct the detection failures of each-other.

The empirical results that regard the gain in probability of detection in the case mirage theory was individually made subject to detection failure injection are given in Table 8.3. When mirage theory experiences failures in sequence detection, the Bayesian theory of confirmation attempts to compute a correction of the probability of detection by leveraging the detection intelligence of the EI algorithm and the physical process aware specification-based approach.

Injected $P_d$	Corrected $P_d$
0.83	0.96
0.69	0.79
0.62	0.81
0.53	0.60
0.46	0.50

Table 8.2: The gain in probability of detection in the case the physical process aware specification-based approach is made subject to detection failure injection.

Injected $P_d$	Corrected $P_d$
0.85	0.98
0.73	0.95
0.62	0.93
0.56	0.92
0.41	0.89

Table 8.3: The gain in probability of detection in the case mirage theory is made subject to detection failure injection.

The empirical results that regard the gain in false alarms rate ( $F_a$ ), expressed as the number of false alarms raised per hour, in the case the EI algorithm and the physical process aware specification-based approach were individually made subject to detection failure injection are given in Table 8.4 and Table 8.5, respectively. Mirage theory makes a low contribution to the correction of the false alarms rate in either of these two cases as it has no visibility on program variables that are non-deceptive. In other words, the inspection of network packets that write operational, and hence non-deceptive, variables lies outside the scope of mirage theory.

The testing results of the case in which mirage theory was individually made subject to detection failure injection are given in Table 8.6. Both the EI algorithm and the physical process aware approach contribute to the correction of the false alarms rate when mirage theory experiences failures in sequence detection. A side effect of this

Injected $F_a$	Corrected $F_a$
10	6
9	6
7	4
5	2
3	1

Table 8.4: The gain in false alarms rate in the case the EI algorithm is made subject to detection failure injection.

Injected $F_a$	Corrected $F_a$
10	7
8	6
7	5
6	4
2	1

Table 8.5: The gain in false alarms rate in the case the physical process aware specification-based approach is made subject to detection failure injection.

intervention is that network packets that probe the continuous space to assess whether it is real or simulated won't result in a report of intrusion, despite the sequence detection is functioning correctly.

This is because since these packets do not attempt to exploit coding vulnerabilities in target control systems or cause physical damage to physical equipment or physical processes, they are classified as normal by both the EI algorithm and the physical process aware approach. The evaluation of these probe packets as normal then affects directly the ability of mirage theory to report foreign network packets as an attempt of intrusion. Nevertheless, this might not be an issue considering that the simulated continuous space is manifested in network traffic in a consistent way.

Injected $F_a$	Corrected $F_a$
9	6
8	6
5	2
2	0
1	0

Table 8.6: The gain in false alarms rate in the case mirage theory is made subject to detection failure injection.

## Chapter 9

# CONCLUSIONS

In this dissertation we discussed the development and empirical testing of an intrusion detection ensemble that we devised for defending cyber-physical systems such as DCS-controlled power plants from application-level computer network attacks. We discussed a statistical intrusion detection algorithm called the Estimation-Inspection algorithm. We described the mathematical modeling for the Estimation-Inspection algorithm, formally formulated the main thesis that underlies the Estimation-Inspection algorithm, developed the statistical foundation of the Estimation-Inspection algorithm, and then described in detail the Estimation-Inspection algorithm.

We assessed the effectiveness of the Estimation-Inspection algorithm both empirically and through modeling and simulation. From an empirical experimental evaluation of the Estimation-Inspection algorithm in a small testbed created ad hoc for this research, we received a probability of detection of 98% and a false alarms rate of 0. We validated the effectiveness of the Estimation-Inspection algorithm probabilistically via stochastic activity networks with activity-marking oriented reward structures, with



the concrete outcome being that the Estimation-Inspection algorithm constructs and employs probability mass functions that do not allow malicious network packets to take a DCS-controlled power plant to abnormal conditions.

In this dissertation we also discussed a specification-based intrusion detection approach for operation in a DCS-controlled power plant, namely a physical process aware specification-based approach. We discussed the main components of the said approach, namely byte stream semantic analysis and supervisory and automatic operation rules. We also discussed the modeling of a joint representation of the byte stream semantic analysis and operation rules via a deterministic state-transition formalism, namely activity networks, which is the concrete mechanism that this approach uses to determine whether a network packet is normal or abnormal.

From an empirical experimental evaluation of the physical process aware approach in the testbed, we observed a detection performance that is approximately the same as the detection performance of the Estimation-Inspection algorithm. In this dissertation we also discussed our research on mirage theory, which is a process control specific approach to intrusion detection that we derived from MILDEC and deep studies of historical military operations. We provided a description of the boundary between continuous and discrete spaces, which forms the basis of mirage theory from the concealment perspective.

We then explained the internals of mirage theory as built upon the said boundary. We provided an overview of how an adversary conducts reconnaissance that leads to target identification and attack engineering, and showed how mirage theory exploits the adversary's perception of a target cyber-physical system to cause him/her to vol-

untarily make the decision of targeting a simulated or emulated physical process or equipment.

In mirage theory the deceptive event generation process is performed via simulation or emulation of a continuous space. In this regard we discussed continuous simulation and traffic mirroring along with techniques for detecting intrusions once an adversary is deceived into attacking a simulated or emulated target. We then developed a practical attack-defense model in which we analyzed and quantified the deception capabilities of mirage theory.

More precisely, we applied signal detection theory to empirically quantify the deception effects of mirage theory on the adversary's mind. Our evaluations of mirage theory indicate that it is highly deceptive, and hence a viable approach to intrusion detection in process control networks. In this dissertation we also discussed a Bayesian theory of confirmation for fusing intrusion reports that are generated individually by the intrusion detection algorithms that we devised especially for process control networks.

The purpose of this Bayesian theory of confirmation is to increase the probability of detection by joining the best detection features of the intrusion detection approaches, while reducing the false alarms rate by having the intrusion detection approaches correct each-other's detection weaknesses. We formalized the problem of fusing intrusion reports in a process control network, and outlined the components of the proposed theory of confirmation that address the problem in question.

The intrusion reports represent evidence for or against two hypotheses, namely that a network packet under inspection is normal or abnormal. We described how we develop

incomplete-data spaces and the associated symbolic analyzers, which we use within the Expectation-Maximization algorithm to estimate the hypothesis-based probability distributions on logical or word variables stored in the RAM of control systems. We also showed how we use those probability distributions to estimate hypothesis-based probabilities of each piece of evidence.

We discussed how we estimate prior probabilities of the two hypotheses via the probability tree method. We then discussed how we estimate and compare the posterior probabilities of the two hypotheses via the Bayes theorem in its ratio form. In conclusion, we discussed an empirical testing of the proposed theory of confirmation via a technique that we devised especially for our problem domain, namely detection failure injection.

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