The Evolution of System-call Monitoring

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Abstract

Computer security systems protect computers and networks from unauthorized use by external agents and insiders. The similarities between computer security and the problem of protecting a body against damage from externally and internally generated threats are compelling and were recognized as early as 1972 when the term computer virus was coined. The connection to immunology was made explicit in the mid 1990s, leading to a variety of prototypes, commercial products, attacks, and analyses. The paper reviews one thread of this active research area, focusing on system-call monitoring and its application to anomaly intrusion detection and response.

The paper discusses the biological principles illustrated by the method, followed by a brief review of how system call monitoring was used in anomaly intrusion detection and the results that were obtained. Proposed attacks against the method are discussed, along with several important branches of research that have arisen since the original papers were published. These include other data modeling methods, extensions to the original system call method, and rate limiting responses. Finally, the significance of this body of work and areas of possible future investigation are outlined in the conclusion.

1 Introduction

During the 1990’s the Internet as we know it today grew from a small network of trusted insiders to a worldwide conglomerate of private citizens, governmental agencies, commercial enterprises, and academic institutions. As society at large embraced the Internet, opportunities and incentives for malicious activities exploded, creating demand for new computer security methods that could succeed in this open and uncontrolled environment. Open applications, mobile code and other developments helped erode the notion of a clear perimeter, which formerly separated a trusted system from its external environment. Previous approaches to computer security had emphasized top-down policy specification, provably correct implementations of policy, and deployment in correctly configured systems. Each of these assumptions became increasingly untenable, as the Internet grew and was integrated into human society.

The similarities between computer security in the age of the Internet and the problem of protecting a body against damage from internally and externally generated threats are compelling. They were recognized as early as 1972 when the term computer virus was introduced [67]. Later, Spafford argued that computer viruses are a form of artificial life [66], and several authors investigated the analogy between epidemiology and the spread of computer viruses across networks [38, 51, 59, 55]. The connection to immunology was made explicit in [15, 37], and since that time the ideas have been extended to incorporate significant amounts of immunology and to tackle ambitious computer security problems, including computer virus detection [15, 37], network security [24, 79, 33], spam filtering [57], and computer forensics [46].

As the primary defense system of the body, immune systems are a natural place to look for ideas about architectures and mechanisms for coping with dynamic threat environments. Immune systems detect foreign pathogens and misbehaving internal components (cells), and they choose and manage an effective response autonomously. Thus, the immune system can be thought of as a highly sophisticated intrusion detection and response system (IDS).

Despite debate in the immunological literature about how the immune system recognizes threats, in most of the work on computer immune systems it is assumed that natural immune systems work by distinguishing between protein fragments (peptides) that belong to the properly functioning body (self) and ones that come from invading and malfunctioning cells (nonself). To explore IDS designs that mimic those of the immune system, we must first decide what data or activity patterns will be used to distinguish between computational self and nonself. That is, we must de-
cide what data streams the IDS will monitor and identify a threat model. To build a computer immune system, then, a computational analog to peptides must be found, one that will allow security violations to be detected without generating too many false alarms in response to routine changes in system behavior.

In this paper we focus our attention on the definition of self introduced in [14, 25, 65] to protect executing programs. In this work, discrimination between normal and abnormal behavior was based on what system calls (operating system services) are normally invoked by a running program. As a program executes, it might make several million system calls in a short period of time, and this signature of normal behavior is sufficient to distinguish between normal behavior and many attacks. Many attacks cause a vulnerable program to execute infrequently used code paths, which in turn leads to anomalous patterns of system calls. Anomaly detection based on system calls is able to detect intrusions that target a single computer, such as buffer overflow attacks, SYN floods, configuration errors, race conditions, and Trojan horses under the assumption that such attacks produce code execution paths that are not executed in normal circumstances.

A large number of researchers adopted the system-call approach, some seeking to improve on the original methods [49, 54, 45, 62, 29], some applying its method to other problems [68, 30, 50], and some attempting to defeat the system [74, 70]. Sana Security developed a product known as Primary Response based on the technology, which it actively marketed to protect servers. At this writing, the system-call method is the most mature application of biological principles to computer security. In this paper, we first review the general principles that guided our design decisions (Section 2); we next describe briefly the original system-call method and summarize the results it achieved (Section 3). Next, we summarize several important lines of research that have arisen since the original paper was published (Sections 4, 5, 6, 7). Finally Section 8 speculates on the significance of this body of work.

## 2 General Principles

The biological analogy led to a set of general design principles, which remain relevant to computer security more than a decade later. These include:

- A **generic mechanism** that provides coverage of a broad range of attacks, even if it is not 100% provably secure for any particular threat model. This approach is similar in spirit to “universal weak methods” in artificial intelligence that are applicable to many problems and do not require specialized domain knowledge. Although some of the pattern recognition mechanisms of the adaptive and innate immune systems are biased towards detecting important classes of infection, many are generic “danger detectors.” The existence of autoimmune disease provides evidence that they are imperfect; yet they are highly effective at eliminating infections, and natural selection has conserved and enhanced immune systems in all higher animals. Choosing a ubiquitous and fundamental data stream, such as system calls, allowed us to design a system that could protect a wide variety of programs against a wide variety of threats without specialized knowledge.

- **Adaptable** to changes in the protected system. Computer systems, environments, and users are highly dynamic, and normal legitimate uses of systems are continually evolving. Just as biological defense systems need to cope with natural adaptive processes, so must computer security systems if they are to be robust. In our system, adaptability was achieved through the use of simple learning mechanisms, which were used to construct models of normal behavior and to update them over time.

- **Autonomy**: Computer systems have traditionally been thought of as tools that depend upon humans for guidance. However, as computer systems have become powerful, numerous, and interconnected, it is no longer feasible for humans to manage them directly. Biological systems necessarily operate independently, on-line, and in real-time because they live and interact with physical environments. In our system, we addressed this requirement with the most lightweight simple design we could think of—ignoring system call arguments, modeling data with simple data structures and without calculating probabilities or frequencies, and a generic response mechanism that slows down suspicious processes.

- **Graduated Response**: In computer security, responses tend to be binary, as in the case of access controls (either a user is allowed access or not), firewalls (either a connection is blocked or it is not), or cryptography (where either a file is encrypted or it is not). Biological systems have graduated responses, where small perturbations result in small responses, and large deviations cause more aggressive responses. We adopted this principle in process Homeostasis (pH), where system calls were delayed according to how many anomalous system calls had preceded them. Graduated responses allowed us to move away from the concept of security as a binary property and to tolerate imperfect detection.

- **Diversity** of the protection system. Natural immune systems are diverse. Individual differences arise
normal profiles

normal behavior and monitors for deviations that indicate
cesses. An anomaly detection system develops a profile of
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inputs to servers, it would be better to monitor the runtime
behavior of programs, because only code that is running can
actually cause damage. And, it is harder to forge behavior
than to forge data.

3 A Sense of Self for Unix Processes

Computer systems are vulnerable to external attack via
many different routes. One of the most important of these
is server programs that run with enhanced privilege, such
as remote login servers (e.g., ssh), mail servers (e.g. send-
mail), web-servers, etc. Software or configuration flaws in
these running programs are exploited by attackers to gain
illegitimate entry into systems, where they can take advan-
tage of the privilege of the compromised process to seize
control of the computer system. Privileged server processes
form the main gateways for remote entry into a system, and
hence it is vital to protect them from attack. These gateway
server programs are frequently patched, but new vulnera-
bilities continue to be discovered, leading to widespread
abuses such as the code-red worm [8], and many others [56].

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3.1 Behavioral characteristics

The central hypothesis of the original research [14] was
that anomaly intrusion detection can provide an effective
additional layer of protection for vulnerable privileged pro-
ceses. An anomaly detection system develops a profile of
normal behavior and monitors for deviations that indicate
attacks. Traditionally, anomaly detection systems focused
on characterizing user-behavior [3, 9, 44] and were often
criticized for having high false positive rates because user
behavior is erratic. The key to effective anomaly detection
is to monitor a characteristic that is stable under normal,
legitimate behavior, and perturbed by attacks.

Many characteristics could potentially be used in an
anomaly detection system. Our choice was based on the
observation that server programs tend to execute a limited
set of tasks repeatedly, often with little variation. Those
tasks correspond to regular paths through the program code.
We chose a proxy in the form of short sequences of system
calls executed by running programs. Our focus on system
calls followed earlier work by Fink, Levitt and Ko [13, 39]
that used system calls in a specification-based intrusion de-
tection system. System call sequences can be monitored
from the operating system, without necessitating recompi-
lation or instrumentation of binary or source code, making
the system extremely portable and potentially applicable to
any program that exhibits regular code paths.

We wanted a system that was sufficiently lightweight that
it could monitor all running programs in real-time, and even
respond to prevent attacks before they caused harm (as was
demonstrated in pH; see section 7). For this reason, we
chose to define the normal profile using short sequences of
system calls. There are many possible ways to represent
short sequences of system calls, for example, lookahead
pairs, n-grams, trees, etc. Figure 1 shows some of these
representations, and they are described in Section 5. Most
of our early work used lookahead pairs, although we ex-
perimented with exact sequences and Markov models. We
disregarded system call parameters (the flow of data), to fur-
ther simplify the problem. Our goal was to start as simply as
possible, and later expand the system if required: the need
for speed and real-time monitoring/response dictated that
we discover the simplest possible mechanisms that would
actually work.

3.2 Developing a normal profile

The first step in anomaly detection is gathering the data
that will constitute the profile of normal behavior. We used
two different methods for this: generating a synthetic nor-
mal profile by exercising a program in all of its anticipated
normal modes of usage; and collecting real normal profiles
by recording system call traces during normal, online usage
of a production system1. The learning algorithm was used
to determine the minimum set of short sequences of sys-
tem calls that adequately defined normal: it’s goal was to
include all normally used code paths, but exclude those that
are never used, even if those paths exist within the program

1 An alternative approach is to determine normal through static analysis
of the program code. See section 6.3
source code. An important class of attacks involves injecting foreign code (e.g., buffer overflows), but many other attacks force a program to exercise existing but rarely used code paths, and hence do not require foreign code injection. Developing a normal profile is a typical machine learning problem: Undergeneralization leads to false positives, and overgeneralization leads to false negatives.

Experimentation with a wide range of programs (e.g., sendmail, lpr, inetd, ftp, named, xlock, login, ssh) demonstrated that these programs exhibit regular behavior and can be characterized by compact normal profiles [40, 25, 14]. Figure 2 shows how normal behavior converges to a fixed set of system call sequences of length 6 for lpr in a production environment—the Artificial Intelligence Laboratory at the Massachusetts Institute of Technology (MIT). The figure shows how initially there are many new sequences, but after a while few novel sequences are observed and the profile converges to a fixed size.

Not only can normal behavior be defined by limited sets of sequences of system calls, but what constitutes normal differs widely from one program to the next. For example, a typical run of ftp differed by between 28 and 35% (depending on the sequence length) from sendmail [14]. More importantly, different environments and usage patterns resulted in dramatically different normal, even for the identical program and operating system. For instance, the normal profile for lpr gathered at MIT differed markedly from the normal profile gathered at the University of New Mexico’s Computer Science Department (UNM); only 29% of the unique sequences in the MIT profile were also present in the UNM profile. Later work on pH corroborated these results in lookahead pairs, showing 1) that two program profiles were 20–25% similar on average (over hundreds of programs) and 2) the same programs running on three different hosts with the same OS version differed, on average, in 22-25% of their lookahead pairs [64].

These results offered clear support for what we have termed the “Diversity Hypothesis”: Normal code paths executed by a running program are highly dependent on typical usage patterns, configuration and environment, and hence can differ widely from one installation to the next, even for the same program and operating system. Diversity in biology confers robustness on a population, and can do the same for computer systems: an attack that succeeds against one implementation could fail against another because normal is different. Further, the attacker will not necessarily know a priori what constitutes normal for a given implementation—knowledge of the source code is not sufficient; also required is knowledge of the environment and usage patterns.

### 3.3 Detecting attacks

The normal profile must not only be stable and compact, but it must differ from behavior generated by attacks. Extensive experimentation demonstrated that normal sequences of system calls differ from a wide variety of attacks, including buffer overflows, SYN floods, configuration errors, race conditions, etc [14, 25, 40, 64]. This variety shows that the method is capable not only of detecting foreign code injection attacks (such as buffer overflows) but attacks that exercise unused code paths that exist in the program source. In contrast with methods based on static analysis, this last point illustrates the importance of a precise definition of normal that excludes unused source code paths.

One question of interest was determining the minimum necessary system call length required to detect all attacks.
Shorter sequences are good because they result in more compact normal profiles, faster learning times, and less overhead during sequence matching. However, short sequences can potentially be more easily evaded (see section 4) and give less clear signals of an attack. A good minimal length was found to be 6 system calls [25], although for implementation reasons our later work used 8. Even at such short sequence lengths, attacks were usually obvious because they consisted of temporally clumped anomalies, as shown in Figure 3. In this figure, the x-axis represents time (in units of system calls) and the y-axis is the normalized number of recently seen anomalous system calls.

Many of the detected anomalies were not malicious. For example, the method detected errors such as forwarding loops, failed print jobs, and system misconfigurations. This illustrated one additional benefit of anomaly detection: It can be used to detect faults caused by non-malicious errors. This contrasts with a signature detection system, which usually has only the ability to detect known malicious events.

4 Subverting system call monitoring

Because most security properties of current software systems and algorithms cannot be proven, advances in security have long relied upon researchers studying systems and finding security vulnerabilities in them. Mimicry attacks were the earliest attempt to defeat the system call modeling approach. Wagner and Dean proposed that it was possible to craft sequences of system calls that exploited an attack, but appeared normal [74]. The trick to achieving this involves inserting “nullified” system calls, i.e. calls that have no effect, either because the return values are ignored or the parameters are manipulated. This enables an attacker to construct an attack sequence within a legitimate sequence using the “nullified” calls as padding. The mimicry has to persist as long as the attacker is exploiting the process that is being monitored, even once the initial penetration has succeeded. See Figure 4.

However, there are limitations to such “nullified” mimicry attacks. First, the attacker needs to be able to inject the code containing the specially crafted sequence, which limits these mimicry attacks to only those that can exploit code-injection attacks, such as buffer overflows. Second, the diversity of normal profiles on different systems is a barrier because the attacker requires precise knowledge of the normal profile [75]. To what degree this defeats mimicry in practice has not been thoroughly investigated, but it is worth recalling that the identical program in two different production environments produced normal profiles with only 29% of sequences in common (see section 3.2). This reduces the probability that a mimicry sequence crafted for one installation would work in others. Third, the mimicry attack requires injecting a potentially long sequence of code, which may not be possible in all vulnerabilities. The example given in [74] (shown in Figure 4) requires an additional 128 nullified calls to hide an attack sequence of only 8 system calls. Finally, mimicry attacks may be difficult to implement in practice because of the anomalies generated by the “preamble” of such attacks [35].

However, mimicry attack strategies have become increasingly sophisticated, using automated attack methods including model checking [21], genetic algorithms [34], and symbolic code execution [41]. Although these approaches may not always be reliable in practice, work on persistent interposition attacks shows that the application itself can be
used to facilitate mimicry attacks [58]. These results suggest that if an attacker can corrupt program memory, then it is possible to evade virtually any system call-based monitoring system—assuming it is the only defense. It remains unclear how feasible mimicry attacks are on systems with memory corruption defenses such as address-space randomization [60].

Another attack involves crafting sequences that are short enough to avoid producing anomalies, hence exploiting “blind spots” in detection coverage [71, 70]. Any intrusion detection system is a trade-off between false positives and false negatives. In order to reduce potential false positives, the original system used a temporal threshold: Anomalous sequences signaled attacks only if the number of anomalies within a recent time window exceeded a given threshold. This opens the possibility of designing attacks that can stay below the threshold, either by generating very few anomalies or by spreading them out over a long time period. Once again, such attacks require that the attacker inject code containing particular sequences of system calls.

Non-control-flow attacks are yet another way of potentially subverting the system call modeling method. The goal is to manipulate the parameters to system calls without changing the call sequence. Chen et al. demonstrated that there are viable vulnerabilities that can be exploited with this method, for example, by using normal system calls in the sequence to elevate privileges and then overwriting the password file [7]. In a sense, this approach is an extension of the original mimicry attack: instead of nullifying system calls for the purpose of crafting an attack sequence, the manipulated calls become the means of attack directly, without any need to create an attack sequence.

The advent of mimicry and other attacks against the system call modeling approach led to a wealth of research aimed at improving the original method to make it more attack resistant. Many of the extensions discussed below were inspired by a need to address these attacks.

5 Data modeling methods

The methods described in Section 3 and [14, 25] depend only on an enumeration of the empirically observed sequences, or $n$-grams, in traces of normal behavior. Two different methods of enumeration were studied, each of which defines a different model, or generalization, of the data. There was no statistical analysis of these patterns in the original work. As shown in Figure 1, the lookahead pair method constructs a list for each system call of the system calls that follow it at a separation of $0, 1, 2$, up to $n$ positions later in the trace. The * character is a wildcard, so the pattern \texttt{mmap, *}, \texttt{getrlimit} specifies that any 3-symbol sequence that begins with mmap and ends with getrlimit will be treated as normal. This method can be implemented efficiently and produced good results on the original data sets. On some data sets, representing the $n$-grams exactly gave better discrimination than lookahead pairs, although it is more inefficient to implement. Researchers also experimented with variable-length window sizes [49, 78, 11], random schema masks [28]. The correspondence between $n$-gram representations and finite state automata (FSA) was studied in several papers, including [49, 31]. This work has been extended to more structured representations, but these require additional information such as the execution context, and are discussed in Section 6.

Several methods used statistical machine learning to develop accurate models of normal system call patterns. In an early example, DFA induction was used to learn a FSA that recognized the language of the program traces [40]. In this work, the learning algorithm determined the frequencies with which individual symbols (system calls) occurred, conditioned on some number of previous symbols. Individual states in the automaton represented the recent history of observed symbols, while transitions out of the states specified both which symbols were likely to be produced next and what the resulting state of the automaton would be.

Other machine learning approaches include Hidden Markov Models (HMM) [76, 17], neural networks [18, 10], k-nearest neighbors [47], and Bayes models [42]. Each of these projects was designed to produce a more accurate model, with the goal of reducing false positives. This comes at the cost of more computationally expensive algorithms. In some cases, the algorithms require multiple passes over the entire data set, thus violating the real-time component of the autonomy principle. Another limitation of most statistical methods is the assumption of stationarity. This means that the concept of normal behavior is assumed not to change while the system is being trained and tested. This assumption violates the adaptable principle, a problem addressed in [48] for network traffic, where probabilities were based on the time since the last event rather than on average rate.

Data mining seeks to discover what features are most important out of a large collection of data. This idea was applied to system calls with the goal of discovering a more compact definition of normal than that obtained by simply recording all observed patterns in the training set [45]. Also, by identifying the most important features of such patterns, it was hypothesized that the method would be more likely to generalize effectively.

To summarize, many approaches to modeling system call data have been developed. These range from simple computationally efficient models to more sophisticated approaches that require additional computation. Most innovations have
been aimed either at reducing false-positive rates or at coping with mimicry attacks. It is surprisingly difficult to compare the performance of the different methods in a systematic way. However, one early study [76] concluded that differences among data sets had significantly more impact on results than differences among data modeling methods.

6 Extensions

The idea of using short sequences of system calls for anomaly detection has been extended in several ways. These can be grouped into several broad categories. Here we discuss some of the key advances, without an attempt to exhaustively review all of the research that has been done in these areas.

6.1 Data flow

The original work deliberately discarded any information related to system call parameters. This resulted in a simple, lightweight method. However, a logical extension is to consider the effects of parameters to system calls. Another way of viewing this is that sequences of system calls model code path flow, and system call parameters model data flow.

Tandon and Chan used a rule-learning system to augment a code-flow anomaly detection system with a data-flow system [72]. They combined rules for sequences of system calls with those for system call arguments. They reported improved attack detection, but at the cost of increased complexity: Their system ran 4-10 times more slowly when arguments were included. Sufatrio and Yap incorporated data flow in the form of a supplied specification for system call arguments [69], and Bhatkar et al. reported that modeling the temporal aspects of data flow in conjunction with control flow further improved detection [6].

Kruegel et al. went one step further, looking only at the arguments and disregarding code flow altogether [43]. They explored several different models for anomaly detection based on system call arguments, including the distribution of string lengths and characters in arguments, Markov models of argument grammar, and explicit enumeration of limited argument options. They demonstrated that their approach is effective against attacks (primarily buffer overflows) and that it has low overhead. Mutz et al. extended this approach by using a Bayesian network to combine the output of the different system call argument models [53].

6.2 Execution context

Apart from system call arguments, there are many additional sources of information associated with system calls that can be used to improve anomaly detection. One of these is the location within the program code from where a system call is issued, which can be determined by the program counter. Sekar et al. first proposed using program counter information to build a FSA of system call sequences [62].

A FSA is a natural model for program code paths; however, inferring a FSA from sequence information alone is difficult. The Hidden Markov Model presented in Warren-der et al. is similar to a FSA, and has large learning overheads [76]. Further, in the absence of program counter information, the FSA does not improve detection or reduce false positives dramatically. The key insight in Sekar et al. was that using program counter information in the FSA can overcome these limitations. The states in the FSA are program locations derived from program counters, and the transitions are system calls. Hence the model defines allowable system call transitions from one program location to the next.

A FSA using program counters is a close representation of the true structure of the code, and as such it is able to model loops and both long and short range correlations effectively, unlike the n-gram approach. This results in both increased accuracy of attack detection and reduced false positives [62]. A further benefit is that a FSA model using program counters converges to a stable normal model an order of magnitude faster than an n-gram model.

In addition to the program counter, the call stack is a rich source of information. The VtPath model [12] augments the FSA approach with stack return addresses—each transition of the FSA includes a list of all the return addresses. This is used to generate a virtual path between system calls which can then be additionally checked for anomalies. This additional information improves attack detection and reduces false positives, without incurring additional overhead.

In a similar approach, execution graphs were used to extend simple system call enumeration to a more structured representation [16]. In this approach, the return address pointer is stored with the system call, and this information is used to reconstruct a graph similar to a control flow graph by simply observing the patterns of system calls in a running program. The paper proves that given a set of observed program behavior, the algorithm constructs an execution graph that is consistent with a control flow graph that is obtained through static analysis.

6.3 Static analysis

In the original research, the normal profile was determined by observing running code and recording the sequences of system calls that were executed during normal behavior. However, learning normal at runtime has limitations. First, incompletely learning normal can result in false positives. Second, if learning takes place online, in a vulnerable system, then attacks could potentially be injected...
into the normal definition. Finally, normal can change, for example, when a system is reconfigured, and hence require relearning.

To address these issues, researchers used static analysis of the program source [73, 22] or binary [20, 5] to develop models of legitimate code paths. This guarantees zero false positives, and no attack injection during learning. The defense mechanism is ready to deploy immediately, without any vulnerable learning period. Such an approach can be effective at defining a normal profile that detects foreign code injection, such as buffer overflow attacks, Trojans, and foreign library calls [74].

However, this approach is limited because attacks often exploit code paths that exist in the program source but are never or rarely used in normal behavior, e.g., a configuration error such as not disabling debugging access. This problem can be mitigated by incorporating more information about the program environment (e.g., configuration, command-line parameters, environment variables) into the static analysis [19]. In general, static and dynamic analysis can complement each other, e.g., by using static analysis to generate a base normal profile, and then incorporating refinements suggested by dynamic analysis [83].

6.4 Other observables

The general idea of profiling program behavior using sequences of operations that indicate code flow is a powerful one that can be applied to many observables other than system calls. For example, Jones and Lin used sequences of library calls, rather than system calls [30]. Similar to the original system call sequence research, Jones and Lin ignored parameters to library calls and only monitored the sequences of calls. They demonstrated that library calls are a feasible observable for anomaly detection, and can be used to detect a variety of attacks, including buffer overflows, denial-of-service attacks and Trojans. In another example, Xu et al. modeled control flow at the level of function calls by inserting waypoints into the code at the entry and exit of functions [82], and Gaurev and Keromytis augmented system call monitoring with libc function monitoring [36]. An even more fine-grained approach to control flow is monitor at the level of machine code instructions [1, 63]. This approach can give better attack detection, but at the cost of increased overhead (up to 50% in some cases).

In some domains, other observables may in fact be more suitable. For example, distributed applications may be difficult to monitor comprehensively using sequences of system calls alone. Stillerman et al. showed that in distributed applications a good observable is the messages that are passed across the network [68]. To demonstrate this, they implemented an anomaly detection system for a distributed CORBA application, which consists of many distributed objects that communicate via messages passed over the network. The sequence of messages is a good proxy for object behavior, and can be used to differentiate between normal application behavior and rogue clients.

Further, there may be other sources of information available in other domains that are not available when monitoring running server programs. One example is dynamic execution environments, such as Java, where the interpreter can easily collect a wealth of information about program execution during runtime. Inoue and Forrest showed that Java method invocations are effective observables for anomaly detection [27]. Their approach went beyond attack detection—they used Java’s sandboxing security mechanism to implement dynamic sandboxing, where minimal security policies are inferred using run-time monitoring.

7 Automated Response

Although there has been extensive research into methods for intrusion detection using system calls, there has been much less work on how to respond to detected anomalies. Most anomaly detection systems produce more alerts than can be handled easily by users or administrators. The problem is compounded when many copies of a system are deployed in a single organization. What is needed, then, are automated responses to detected anomalies. One impediment, however, is the problem of false positives. A binary response, such as shutting down a machine or unauthenticating a user, is unacceptable if there is even a small probability that the response was made in error. If the principle of graduated response is adopted, however, small adjustments can be made continually, and there is less risk of damaging the system needlessly or enabling a denial of service.

The first effort to couple an automated response to system call anomalies was a Linux kernel extension called pH [64, 65]. pH detects anomalies using lookahead pairs. Instead of killing or outright blocking the behavior of anomalously behaving processes, it delays anomalous system calls: Isolated anomalies are delayed imperceptibly, and clustered anomalies are delayed exponentially longer. Real attacks tend to generate large delays (on the order of hours or days). Because most network connections have built-in time outs, this response automatically blocks many attacks; further, it gives administrators time to intervene manually. Many false alarms produce a small number of isolated anomalies, and pH responds with a proportionally small delay that is usually imperceptible to the user. In the rare case of a false positive causing a long delay, a simple override was provided for the user or administrator.

Although pH was the first system to use delays as a response to detected anomalies, delay-based strategies have been used in other defenses, especially in networking and for remote login interfaces (e.g., to prevent online dictio-
nary attacks). For example, Williamson observed that unusually frequent outgoing network requests could signal an anomaly, and that the damage caused by such behavior could be mitigated simply by reducing the rate at which new network connections could be initiated [80]. This technology became part of HP’s ProCurve Network Immunity Manager [26], and it was extended to include incoming connections and more types of network connections in [4]. This idea of slowing down a computation or communication is often referred to as throttling or rate limiting. It has been studied extensively in the networking community, for example in active networks [23], Domain Name Service [81], Border Gateway Protocol [33, 32], and peer-to-peer networks [2].

A commercial implementation of system-call anomaly detection, however, implemented another response strategy. Sana Security’s Primary Response used a layered approach. The first layer was a mechanism to explicitly prevent code-injection, in all forms, covering a large class of common attacks and preventing subversion through mimicry attacks. The second layer blocked anomalous system calls that manipulated the file system. This can prevent many non-code-injection attacks and most applications are more robust to failures of file system calls than other system calls. Further, Primary Response also profiled parameters to file-related system calls, and hence could use that additional information to further reduce false positives and prevent non-control-flow attacks.

8 Summary and Conclusions

Over the past decade, we have witnessed continual evolution of new platforms and new forms of attack, including the advent of email viruses, spyware, botnets, and mutating malware, just to name a few. Research on system-call monitoring matured over this time period as well, and many variations of the original method have been explored. In the previous sections we highlighted representative examples of this work, examples that we feel illustrate the breadth and depth of the method. Despite dramatic changes in today’s computing environments and applications, system-call monitoring remains a fundamental technique underlying many current projects, e.g., [77, 52]. This is remarkable, although it is optimistic to expect system-call monitoring per se to remain an active and exciting research frontier indefinitely. Both the threats and the defenses against them will continue to evolve, likely migrating to higher application layers and to lower levels, such as on-chip attacks in multi-core architectures.

The design principles articulated in Section 2, those principles inspired by living systems, are potentially of more lasting significance. These include: generic mechanisms, adaptability, autonomy, graduated response, and diversity. Some of these principles have been adopted widely (diversity), some remain controversial (graduated response and adaptability), and some have been largely ignored (generic mechanisms and autonomy). Taken together, these principles constitute a hypothesis about what properties are required to protect computers and their users.

The design principles guided nearly all of our implementation decisions. This is one example of how the study of computer security can be more scientific than an ad hoc collection of specific instances. By articulating a hypothesis, and then designing the simplest possible experiment to test that hypothesis, i.e. that anomaly detection could protect privileged processes against important classes of attack, we were able to demonstrate that short sequences of system calls are a good discriminator between normal and malicious behavior. Rather than focusing only on producing an artifact that worked, we set out to understand what approaches could be used for effective defenses. Indeed, in the beginning we tested system call sequences only as a base case, expecting that enhancements would be required for the method to work. Instead of studying the enhancements, however, we found ourselves analyzing why the experiment succeeded.

A key component of our approach was designing repeatable experiments. This allowed others to confirm our results and test variations against the original system. Although this point seems obvious in retrospect, it was unique at the time. Our experiments were repeatable because our system design was comprehensible, and we published both our data sets and the software prototypes in the public domain. This enabled other groups to replicate our results, use the data sets for their own experiments, use our code to devise attacks against the method, and so forth.

Repeatable experiments are crucial to putting computer security on sounder footing. However, they are not sufficient. Careful comparisons between competing methods are also important, and this has been much more difficult for the field to achieve. Although public data sets and prototypes help this effort, it is still extraordinarily difficult to conduct comparisons carefully. There are several reasons for this: (1) Environments are complex; (2) Results depend heavily on data inputs; and (3) Metrics emphasize breadth of coverage. The complexity of modern computing environments poses a serious challenge to replicating results and comparing results from multiple experiments. Is it surprisingly difficult to document precisely the conditions under which an experiment is run, and seemingly trivial differences in system configuration can affect the outcome of an experiment dramatically. This problem is even more challenging in networking experiments than it is for single hosts. Further, we discovered that for system calls the outcome of our comparisons depended heavily on which program traces we selected for the comparison [76]. It was easy to skew the
results of our comparative studies by appropriate (or inappropriate) choice of data sets.

Most systems are judged by their ability to defend against as many attacks as possible. This leads to system designs that are optimized for broad coverage and corner cases, which typically lead to complex algorithms and implementations. As Sections 5 and 6 show, there is a nearly limitless variety of ways that the original idea of short sequences of system calls can be made more complex. To our knowledge, not a single paper has been published that proposes a simpler approach to monitoring system calls. Tuning up other people’s methods so they behave optimally requires considerable skill, effort, and discipline; in contrast, a system that highlights one key idea can easily be evaluated because there are fewer “knobs” to adjust—evaluations in different contexts are thus inherently easier to compare.

What began as a simple insight inspired by biology has grown into a robust and diverse field of research. We are excited at the progress and directions that this research has taken. Attacks on the ideas have led to creative new methods that make the original approach much more robust to subversion, and various other improvements and developments have resulted in a far better protection system than we could have hoped to see over a decade ago. This has validated some of the principles elucidated in section 2, but we see much scope for extending the research to investigate those principles in greater depth. We hope that this paper illustrates how inspirational the biological analogy can be, and encourages others to explore those principles so that this continues to be a vibrant ever-growing area of research.

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