# **Data Collection, Data Cleansing and EDA**

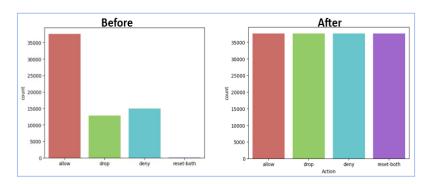
From the dataset given, there is no null data; therefore, handling of missing values is not required. However, when looking into the number of data in the "Action" column which will be used for training and testing in the later parts, the data of each attribute is an imbalance which could cause bias towards the majority class, which in this case is "allow".

Also, the model will not predict well when implemented on unseen data. In this project, the dataset is preprocessed via the following steps.

```
allow 37640
deny 14987
drop 12851
reset-both 54
Name: Action, dtype: int64
```

```
columns (total 12 columns)
                                         Non-Null Count Dtype
 NAT Source Port
                                         65532 non-null
                                                                      int64
                                         65532 non-null
65532 non-null
65532 non-null
65532 non-null
 NAT Destination Port
                                                                      int64
 Action
Bytes
Bytes Sent
 Bytes Received
Packets
                                         65532 non-null
                                                                       int64
                                          65532 non-null
                                                                       int64
Packets 6
Elapsed Time (sec) 66
Pkts_sent 66
pkts_received 66
pes: int64(11), object(1)
pry usage: 6.0+ MB
                                         65532 non-null
65532 non-null
65532 non-null
```

1) Import data, split and apply SMOTE (for resampling)



## 2) Feature Scaling

2.1) Check if the data is normal distributed or not by using Shapiro Test - The shapiro test resulted in p-value = 0.0 that suggests the data is not normal distributed (not normal distribution)

```
#Check Shapiro test (Normal distribution)
scipy.stats.shapiro(X_resampled)

/usr/local/lib/python3.9/dist-packages/scipy/stats/_morestats.py:1816: UserWarning: p-value may not be accurate for N > 5000.
warnings.warn("p-value may not be accurate for N > 5000.")
ShapiroResult(statistic=0.0008412003517150879, pvalue=0.0)
```

2.2) After check that data is not normal distributed, then apply Normalization to the data - Resulting in 4 features obtained from normalization including Bytes, Bytes Sent, Packets and Packets sent

```
#Normalization
x_normal= (X_resampled - np.min(X_resampled)) / (np.max(X_resampled) / np.min(X_resampled)).values
x_normal
```

	Source Port	Destination Port	NAT Source Port	NAT Destination Port	Bytes	Bytes Sent	Bytes Received	Packets	Elapsed Time (sec)	pkts_sent	pkts_received
0	0.0	0.0	0.0	0.0	0.000006	0.000002	0.0	9.651429e-07	0.0	0.000000	0.0
1	0.0	0.0	0.0	0.0	0.000223	0.000097	0.0	1.737257e-05	0.0	0.000012	0.0
2	0.0	0.0	0.0	0.0	0.000008	0.000004	0.0	9.651429e-07	0.0	0.000000	0.0
3	0.0	0.0	0.0	0.0	0.000154	0.000087	0.0	1.351200e-05	0.0	0.000009	0.0
4	0.0	0.0	0.0	0.0	0.001196	0.000425	0.0	2.895429e-05	0.0	0.000016	0.0
150555	0.0	0.0	0.0	0.0	0.000011	0.000010	0.0	2.895429e-06	0.0	0.000003	0.0
150556	0.0	0.0	0.0	0.0	0.000004	0.000005	0.0	0.000000e+00	0.0	0.000000	0.0
150557	0.0	0.0	0.0	0.0	0.000003	0.000005	0.0	0.000000e+00	0.0	0.000000	0.0
150558	0.0	0.0	0.0	0.0	0.000004	0.000005	0.0	0.000000e+00	0.0	0.000000	0.0
150559	0.0	0.0	0.0	0.0	0.000003	0.000004	0.0	0.000000e+00	0.0	0.000000	0.0
150560 ro	150560 rows × 11 columns										

## 3) Features Selection

There are 4 features are selected for training and testing including Destination port, Bytes, Bytes Sent and Elapsed Time (sec)

```
sel = SelectFromModel(RandomForestClassifier(n_estimators = 100), max_features=4)
sel.fit(X_resampled, y_resampled)
sel.get_support()
selected_feat = X_resampled.columns[(sel.get_support())]
print(len(selected_feat))
print(selected_feat)
```

```
4 Index(['Destination Port', 'Bytes', 'Bytes Sent', 'Elapsed Time (sec)'], dtype='object')
```

## **Decision Tree Classification**

### **Data Pipeline for Decision Tree Classification**

In the previous section, separated groups of training and testing data are obtained. They are given dataset undergoes preprocessing process through data pipeline including data sampling, feature selection, grid search, classification training model and classification report

Apply Decision Tree Model for training and testing and compare the results from 2 different sets of parameters including:

1) use all default parameters and

2) use parameters filtered by grid search (best estimators) and apply pruning parameters with cross-validation.

1) Use default parameters The result shows accuracy of 0.99 and weighted average of 0.99 for precision, recall and F1-score which suggest that the model is overfit.

```
# 1) Decision Tree Classification using all 'Default' parameters (gini, best splitter, 2 min sample split, 1 min sample leaf)

from sklearn.tree import DecisionTreeClassifier

classifier_initial = DecisionTreeClassifier(criterion='gini', splitter='best', max_depth=None, min_samples_split=2, min_samples_leaf=1, min_weight_fraction_leaf=0.0,

max_features=None, random_state=None, max_leaf_nodes=None, min_impurity_decrease=0.0, class_weight=None, ccp_alpha=0.0)

classifier_initial.fit(X_trainTree, y_trainTree)
```

	precision	recall	f1-score	support
allow	1.00	1.00	1.00	7526
deny	0.98	0.97	0.98	7503
drop	1.00	1.00	1.00	7528
reset-both	0.98	0.98	0.98	7555
accuracy			0.99	30112
macro avg	0.99	0.99	0.99	30112
weighted avg	0.99	0.99	0.99	30112



This results in a very complex tree that leads to overfit. So, we should adjust the parameters, apply pruning parameters and cross-validation to help solving overfit.

Apply Grid Search to estimate best parameters for training and testing. The grid search suggests to use 'entropy' criterion, maximum tree depth of 15 and minimum sample leaf of 5. Moreover, we decided to apply ccp\_alpha (ccp\_alpha = 0.0175 give best-fit for training and testing for this database) to help pruning and reducing complexity of the tree and avoid overfitting.

2) Adjust parameters, apply pruning parameters and do cross-validation: After applying best estimated parameters from grid search together with pruning parameter (ccp\_alpha), the result shows accuracy of 0.93 and weighted average of 0.94 for precision, 0.93 for recall and F1-score which suggests that the model is not much overfit.

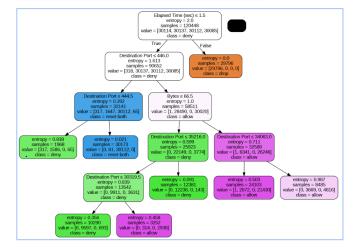
```
from sklearn.tree import DecisionTreeClassifier
classifier_final = DecisionTreeClassifier(criterion='entropy', splitter='best',
classifier_final.fit(X_trainTree, y_trainTree)

max_depth = 10, min_samples_split=2, min_samples_leaf= 5, ccp_alpha=0.0175)
```

	precision	recall	f1-score	support
allow deny drop reset-both	1.00 0.95 1.00 0.81	0.99 0.77 1.00 0.97	0.99 0.85 1.00 0.89	7526 7503 7528 7555
accuracy macro avg weighted avg	0.94 0.94	0.93 0.93	0.93 0.93 0.93	30112 30112 30112

```
Cross validation scores: [0.93329182 0.93212951 0.93212951 0.93328905 0.93316451]
Average cross-validation score: 0.9328008837988213
```

The cross-validation also suggests an average cross-validation score of approx. 0.93 which is not much overfit. The model after adjust parameters, apply pruning and cross-validation is getting better fit (best-fit) and the overfitting problem is solved.



The tree after adjusting and applying pruning parameters is a lot less complex and is better used for training and testing. This suggests that pruning parameters (e.g. ccp\_alpha) is very important for decision tree classification as it can easily overfit the data, particularly when the tree is complex, deep and has too many leaves.

## **Random Forest**

### The steps are as following:

- Import necessary libraries such as RandomForestClassifier, make\_classification, train\_test\_split, GridSearchCV, accuracy\_score, precision\_recall\_fscore\_support, classification\_report, and confusion\_matrix.
- A dictionary param\_grid is defined, which contains a range of values for the hyperparameters of the Random Forest Classifier.
- 3. An instance of the Random Forest Classifier is created with **random\_state** is 42.
- 4. Create a GridSearchCV object.
- 5. Train the model on the training data using GridSearchCV to optimize the model's hyperparameters..
- Define the predicted data using the best estimator by GridSearchCV.
- 7. Calculate the accuracy of the model.
- Show the best hyperparameters, accuracy score, and the classification report of the model.

### Let's see the result of each method

# 1) Use Random Forest model without EDA and Gridsearch:

- We use a dataset with no EDA (Exploratory Data Analysis).
   The GridSearchCV function was used to optimize the model's hyperparameters.
- The result shows accuracy of 0.999 ~ 1 and weighted average of 1 for precision, recall and F1-score which suggest that the model is overfit.

<pre># Define the parameter grid for Grid Search param_grid = {     'n_estimators': [50, 100, 150],     'max_depth': [None, 5, 10],     'max_features': ['auto', 'sqrt'] }</pre>	
<pre># Create a Random Forest classifier rf = RandomForestClassifier(random_state=42)</pre>	
<pre># Create a Grid Search object grid_search = GridSearchCV(rf, param_grid=param_grid, cv=5)</pre>	
# Train the model on the training data grid_search.fit(X_trainBasic, y_trainBasic)	
<pre># Predict the classes of the test data using the best estimator found by Grid Se y_pred = grid_search.best_estimatorpredict(X_testBasic)</pre>	arch
<pre># Calculate the accuracy of the model accuracy = accuracy_score(y_testBasic, y_pred)</pre>	
<pre># Print the best hyperparameters and accuracy score print("Best hyperparameters:", grid_search.best_params_) print("Accuracy:", accuracy)</pre>	
<pre>print(classification_report(y_testBasic, y_pred))</pre>	

Best hyperg	parameters: {	'max depth	': 10, 'max	features':	'auto',	'n estimators':	50}
Accuracy: (	.99908445868	61982		_			
	precision		f1-score	support			
	Proorbron	100411	11 00010	Duppord			
allo			1.00	7545			
der	ny 1.00	1.00	1.00	2994			
dro	p 1.00	1.00	1.00	2562			
reset-bot	h 1.00	0.50	0.67	6			
			1.00	12107			
accurac				13107			
macro av	rg 1.00	0.87	0.92	13107			
weighted av	rg 1.00	1.00	1.00	13107			

Accuracy: 6	9.988542773645	0585		
	precision	recall	f1-score	support
allo	w 1.00	1.00	1.00	7526
der	ny 0.98	0.97	0.98	7503
dro	p 1.00	1.00	1.00	7528
reset-bot	th 0.98	0.98	0.98	7555
accurac	Су		0.99	30112
macro av	/g 0.99	0.99	0.99	30112
weighted av	/g 0.99	0.99	0.99	30112
			· ·	

### 2) Use Random Forest model over EDA data without Gridsearch:

 Using EDA data, so that the model has less bias towards the majority data. The learning has less overfit as accuracy reduces from 1 to 0.9885

### 2) Use Random Forest model with the data that already EDA and Gridsearch:

- We use a dataset with EDA that are X\_trainTree and y\_trainTree (from the EDA with decision tree).
- The result shows accuracy of 0.988 and weighted average of 0.99 for precision, recall and F1-score which suggest that the model is overfit.
- 2.1) define gridsearch by n\_estimators, max\_depth, max\_features
- 2.2) define gridsearch by n\_estimators, max\_depth, min\_samples\_split, max\_samples\_leaf

Best parameters: {'max\_depth': None, 'min\_samples\_leaf': 1, 'min\_samples\_split': 2, 'n\_estimators': 200}
Best score: 0.9886507115468666

After We see the 1st and 2nd result, the results are too overfitting. So, we would like to try to adjust the parameters by applying pruning parameters and cross-validation to help solving overfit.

Apply Model for training and testing and compare the results from 3 different sets of parameters including:

# 3) Use Random Forest model with the data that already EDA + apply pruning parameters to reduce overfitting:

- We use a dataset with EDA that are **X\_trainTree** and **y\_trainTree** (from the EDA decision tree).
- We apply pruning parameter (ccp\_alpha) = 0.0175
- The result shows accuracy of 0.91 and weighted average of 0.91 for precision, recall and F1-score which suggest that the model
  is overfit.

# **Data pipeline for Random Forest**

Data pipeline grouping preprocessing steps together. In this case, we group SMOTE and feature selection steps. Using GridSearch using the command below.

```
pipe = Pipeline([
    ('smote', SMOTE(random_state=42)),
    ('rf', RandomForestClassifier(random_state=42))
])
```

```
# Create a Grid Search object with the pipeline grid_search = GridSearchCV(pipe, param_grid=param_grid, cv=5)
```

## **XG** boost

	precision	recall	f1-score	support
allow	1.00	1.00	1.00	7526
deny	0.98	0.97	0.98	7503
drop	1.00	1.00	1.00	7528
reset-both	0.98	0.98	0.98	7555
accuracy			0.99	30112
macro avg	0.99	0.99	0.99	30112
weighted avg	0.99	0.99	0.99	30112

```
from sklearn.ensemble import GradientBoostingClassifier
from sklearn.model_selection import GridSearchCV

parameters = {
    "losss": ["deviance"],
    "learning_rate": [0.01, 0.025, 0.05, 0.075, 0.1, 0.15, 0.2],
    "min_samples_split": np_linspace(0.1, 0.5, 12),
    "max_samples_lear": np_linspace(0.1, 0.5, 12),
    "max_deatures": ["log2", "sqrt"],
    "criterion": ["friedman_mse", "mae"],
    "subsample": [10.5, 0.618, 0.8, 0.85, 0.9, 0.95, 1.0],
    "n_estimators": [10]
    }
    clf = GridSearchCV(GradientBoostingClassifier(), parameters, cv=10, n_jobs=-1)
    clf.fit(X_trainTree, y_trainTree)
    print(clf.score(X_trainTree, y_trainTree))
    print(clf.best_params.)
```

Apply model for training and testing, and result in only EDA data sets of parameters.

- 1) Used GridSearchCV to perform hyperparameter tuning for a machine learning model by a dataset with EDA that are X\_trainTree and y\_trainTree
  - We selected parameters, defined various hyperparameters and their possible values. These hyperparameters include:
  - Set GridSearchCV object is created with the GradientBoosting
  - And then The result shows best parameters:

('criterion': 'friedman\_mse', 'learning\_rate': 0.2, 'loss': 'deviance', 'max\_depth': 5, 'max\_features': 'sqrt', 'min\_samples\_leaf': 0.1, 'min\_samples\_split': 0.136363636363636363, 'n\_estimators': 10, 'subsample': 1.0)

## 2) Use the result parameters by GridsearchCV in XGboost model.

- We set the parameters according to GridsearchCV's suggestion
- We build a pipeline This pipeline consists of three steps: 1) SMOTE
   2) Feature Selection 3) Apply XGboost Classifier.

	precision	recall	f1-score	support
allow	0.99	0.98	0.98	7526
deny	0.85	0.76	0.80	7503
drop	0.96	1.00	0.98	7528
reset-both	0.82	0.87	0.85	7555
accuracy			0.90	30112
macro avg	0.90	0.90	0.90	30112
weighted avg	0.90	0.90	0.90	30112

After applying best estimated parameters from grid search, the result shows accuracy of 0.90 and weighted average of 0.90 for precision, 0.90 for recall and F1-score which suggests that the model is **not much overfit**.

## **KNN**

Apply model for training and testing and compare the results from 2 different sets of parameters including: 1) use all default parameters and 2) use parameters filtered by grid search (best estimators)

- for k in <u>range(1, 11)</u>: knn = KNeighborsClassifier(n\_neighbors=k) knn.fit(X\_trainBasic, y\_trainBasic)
  y\_pred = knn.predict(X\_testBasic) f1 = classification\_report(y\_testBasic, y\_pred, output\_dict=True)['weighted avg']['f1-score']  $print(f"KNN with k=\{k\}: F1-score = \{f1:.4f\}")$
- 1) Use default parameters by a dataset without EDA that X\_trainBasic and y\_trainBasic:
  - We set the parameter only K parameter

```
recall
                                                                                    After running the code, the result show KNN with k= 5: F1-score = 0.9934 accuracy of 0.99
                                                        1.00
0.99
1.00
                                                                       7545
2994
2562
                           1.00
          deny
                           1.00
          drop
                                          1.00
                                                        0.99
0.74
0.99
                                                                     13107
13107
                                         0.99
veighted avg
                          0.99
## create a pipeline
pipeline = Pipeline([
      ('smote', SMOTE(sampling_strategy='auto')),
('feature_selection', SelectFromModel(RandomForestClassifier(n_estimators=100), max_features=4)),
('classifier', KNeighborsClassifier())
#GridSearch Parameter
parameters = {
    "classifier_n_neighbors":[3,5,7,9,11,13,15,17,21],
    "classifier_metric": ["minkowski", "manhattan", "ir
    "classifier_weights": ["uniform", "distance"]
grid = GridSearchCV(pipeline, parameters, cv=5, n_jobs=-1, scoring='f1_macro')
## fit the pipeline with training data
grid.fit(X_train, y_train)
## predict the labels of new data
y_pred = grid.predict(X_test)
print classification report
print(classification_report(y_test, y_pred))
```

After applying best estimated parameters from grid search, the result shows accuracy of 0.99 and weighted average of 0.77 for precision, 0.99 for recall and F1-score which suggests that the model is still overfit.

and weighted average of 0.74 for precision which suggest that the model is overfit.

KNN with k=5: F1-score = 0.9934

- 2) Use GridSearchCV to perform hyperparameter tuning for learning model by a dataset with EDA
- We set the parameters according to GridsearchCV's suggestion
- We build a pipeline This pipeline consists of three steps: 1) SMOTE 2) Feature Selection 3) Apply KNNClassifier.

	precision	recall	f1-score	support
allow	1.00	0.98	0.99	7545
deny	0.98	0.98	0.98	2994
drop	1.00	1.00	1.00	2562
reset-both	0.05	0.83	0.09	6
accuracy			0.99	13107
macro avg	0.76	0.95	0.77	13107
weighted avg	0.99	0.99	0.99	13107

## **Summary**

## 1) Summarize the Models

Analyzing the definition of Firewall, the main objection of it is to prevent inappropriate access to the source behind the firewall. Since we need to distinguish the access, we focus on "Recall" in our model evaluation.

## Recall of each optimized model

	Decision Tree	Random Forest	XGBoost	KNN
allow	0.99	1.00	0.98	0.98
deny	0.77	0.80	0.76	0.98
drop	1.00	1.00	1.00	1.00
reset-both	0.97	0.85	0.87	0.83
macro avg	0.93	0.91	0.90	0.95
weighted avg	0.93	0.91	0.90	0.99

From the results above, we can conclude that "Random Forest" is the most suitable model for this case for the following reasons.

- KNN: Highest weighted average but the lowest score on reset-both. The score can be overfitting.
- **Decision Tree:** High weighted average but quite low score on "deny" with very high score on "reset-both" which may lead to overfitting.
- XGBoost: Similar to Random Forest but weighted average is lower.

## 2) Compare best model with the results in the reference paper

TABLE III. EVALUATION RESULTS

Method	F <sub>1</sub> Score	Precision	Recall
SVM Linear	75.4	67.5	85.3
SVM Polynomial	53.6	61.8	47.4
SVM RBF	76.4	63.0	97.1
SVM Sigmoid	74.8	60.3	98.5

Random Forest 91.0 91.0 91.0

From the table above, we can conclude that the optimized Random Forest model has more accuracy on Precision and less likely to be overfitted by the score of Recall with high F1 Score.

However, using specific dataset and specific machine learning algorithm in this study can lead to possible limitations including the results may not be generalized for different dataset or log files, the SVM approach might not be the best approach for other classification problems and the classification performance can be depended on other unselected features.

## **Team Members**

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