# Test-Time Detection of Backdoor Triggers for Poisoned Deep Neural Networks

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#### Abstract

Backdoor (Trojan) attacks are emerging threats against deep neural networks (DNN). A DNN being attacked will predict to an attackerdesired *target class* whenever a test sample from any *source class* is embedded with a *backdoor pattern*; while correctly classifying clean (attack-free) test samples. Existing backdoor defenses have shown success in detecting whether a DNN is attacked and in reverse-engineering the backdoor pattern in a "post-training" regime: the defender has access to the DNN to be inspected and a small, clean dataset collected independently, but has no access to the (possibly poisoned) training set of the DNN. However, these defenses neither catch culprits in the act of triggering the backdoor mapping, nor mitigate the backdoor attack at test-time. In this paper, we propose an "in-flight" defense against backdoor attacks on image classification that 1) detects use of a backdoor trigger at *test-time*; and 2) infers the class of origin (source class) for a detected trigger example. The effectiveness of our defense is demonstrated experimentally against different strong backdoor attacks.

## 1 Introduction

Deep neural networks (DNN) have shown impressive performance in many applications, but are vulnerable to adversarial attacks [17]. Recently, backdoor attacks have been successfully launched against DNNs for image classification [2, 7, 13, 16, 18], speech recognition [16], text classification [3], 3D point cloud classification [22], and deep regression [14]. Typically, a backdoor attack is launched by embedding a specific backdoor pattern into a small number of training samples from one or more source classes and (mis)labeling them to an attacker-desired target class. The DNN being attacked will classify to the target class whenever a test sample originally from the source classes is embedded with the same backdoor pattern; while still correctly classifying clean test samples, *i.e.* without the backdoor pattern [7, 15].

Early backdoor defenses aim to inspect the training set and detect samples embedded with the backdoor pattern [1, 20]. But they are not applicable to scenarios where the training set of the DNN is not available (*e.g.*, legacy or proprietary systems); thus they are not discussed here. A more practical *posttraining* scenario assumes that the defender, *e.g.*, a downstream app user, has *no access* to the DNN's training set. Defenses for this scenario detect whether a trained DNN is backdoor attacked, infer the target class if an attack is detected, and usually reverse-engineer the backdoor pattern used by the attacker [5,8,21, 24,25]. A post-training defender does possess a small, clean dataset collected independently – this dataset is not sufficient for training a clean (backdoor-free) DNN *from scratch* if an attack is detected.

However, existing post-training defenses cannot catch entities in the act of exploiting the backdoor mapping at test-time. In particular, while these defenses successfully detect backdoor attacks and correctly infer the attacker's target class, they neither decide whether a test sample classified to the target class is backdoor-free nor mitigate the attack by correctly classifying test samples embedded with the backdoor pattern to their true source classes (as a clean DNN will do).

In this paper, we make the following contributions: (1) We propose a method that, at *test-time*, detects image backdoor triggers and infers the source class for detected backdoor trigger images, given the reverse-engineered backdoor pattern and the target class obtained from a post-training backdoor detector. While we focus on image classification here, our method can be extended to other domains. (2) Our detector requires neither access to the DNN's training set nor any DNN training/fine-tuning. It is efficient in data used for detector and computational resources. (3) We show the effectiveness of our detector experimentally for a wide variety of DNN architectures, datasets, and backdoor attack configurations.

## 2 Related Work

Neural Cleanse (NC) [21] detects test images embedded with backdoor triggers by their activations on neurons that are most relevant to the (estimated) backdoor. If the input image has activations higher than a given threshold on those neurons, it is deemed a backdoor trigger image. Its performance highly depends on the choice of abnormal neurons and detection threshold. [5] proposes a black-box backdoor detection (B3D), which captures backdoor triggers based on the difference in model outputs for a test image with and without the reverse-engineered backdoor pattern embedded. The two model outputs are hypothesized to be very different for a clean input but very similar for a backdoored input. However, for both backdoor-trigger images classified to the target class and clean target class images, embedding a backdoor trigger is expected to have little impact on the model outputs, thus they cannot be effectively distinguished by B3D. A STRong Intentional Perturbation (STRIP) method proposed in [6] linearly blends test images with a few clean images and detects backdoor triggers based on the average entropy of model posteriors of these blended images. A small entropy indicates a backdoor-trigger input. However, it is sensitive to model complexity, as will be shown in Sec.5.

For inferring the class of origin for a detected backdoor-trigger image, NC [21] proposes to patch the poisoned DNN by fine-tuning the DNN on 10% of the original (backdoor-free) training set, 20% of which are embedded with the reverse engineered backdoor pattern and correctly labeled. However, it is unreasonable to assume the defender has access to the clean training set, which is inconsistent with the post-training scenario.

## 3 Threat Model and Defense Assumptions

**Classification domain:** Like most existing works, we focus on image classification for simplicity; our method is easily extended to domains other than images.

Attacker's goals: An attacker aims to have the DNN learn to classify to a target class  $t \in C$ , whenever a test image from any source class  $c \in S_A \subseteq C \setminus \{t\}$  is embedded with a specific backdoor pattern; while not degrading the DNN's accuracy on backdoor-free test images. Here, C is the category space of the classification domain.

Attacker's knowledge: The attacker has full knowledge of C and the ability to collect valid images from source classes  $S_A$ . But the attacker has no specific knowledge about any defenses that may be deployed to detect the attack.

Attack strategy: We consider classical backdoor attacks launched by poisoning the DNN's training set [2,7]. The attacker embeds the same backdoor pattern that will be used at test-time into a small set of images collected from  $S_A$ , (mis)labels them to the target class t, and injects them into the DNN's training set. The backdoor pattern can be an imperceptible additive perturbation bounded by its  $L_p$  norm [24], or a perceptible (but hopefully scene-plausible) small patch embedded in (or blended with) an image [2,7,16].

**Defender's goals:** Given any *single* test image predicted to the target class t inferred by a post-training defense, our in-flight detector *aims* to: 1) detect whether the image contains the backdoor pattern (*i.e.*, a backdoor trigger), and, if so, 2) infer its true class of origin (source class).

**Defender's knowledge:** The defender has access to: 1) the DNN detected as attacked, together with the target class  $t^1$  inferred by the post-training defense [21, 24]; and 2) a (small) set of clean images from all classes of C. The defender does require the backdoor pattern estimated by the same post-training defense, but does not make any assumptions about the type, shape, or location of the attacker's backdoor pattern. Thus, our defense can be coupled with any post-training defense and addresses a variety of backdoor patterns. Finally, our defender has no knowledge of the source classes involved in the attack, nor

 $<sup>^{1}</sup>$ We only consider the cases where the post-training defender successfully detects the backdoor attack with correct inference of the target class.

enough legitimate data or computational resources to train a clean DNN *from* scratch.

## 4 Methodology

#### 4.1 Notation

We denote the DNN (for which a post-training defense has detected an attack) by  $f: \mathcal{X} \to \mathcal{C}$ , where  $\mathcal{X}$  is the input (image) space and  $\mathcal{C}$  is the label space. We denote  $f_L$  as the output of any internal layer L. Let t be the detected target class. Then, the actual source classes  $\mathcal{S}_A$  involved in the attack, unknown to our defender, is a subset of  $\mathcal{S} = \mathcal{C} \setminus \{t\}$ , i.e., all classes except the target class. We define  $\mathcal{D}_{\text{Defense}} = \bigcup_{c \in \mathcal{C}} \mathcal{D}_c$  as the clean dataset possessed by the defender, where  $\mathcal{D}_c$  contains images labeled to class c. Backdoor patterns of different types may be crafted and embedded in images in very differently ways. For simplicity, we use a universal notation  $\Delta$  to denote a backdoor pattern irrespective of its type. Moreover, we define the embedding function associated with  $\Delta$  as  $g(\cdot, \Delta) : \mathcal{X} \to \mathcal{X}$ , such that a clean image  $\mathbf{x} \in \mathcal{X}$  embedded with  $\Delta$  can be written as  $\tilde{\mathbf{x}} = g(\mathbf{x}, \Delta)$ . Finally, we denote the backdoor pattern estimated by the post-training defense as  $\hat{\Delta}$ .

#### 4.2 In-flight Backdoor Defense

The estimated backdoor pattern  $\widehat{\Delta}$  obtained by an *effective* post-training defense will likely elicit the same targeted misclassification to the backdoor target class t as the true backdoor pattern  $\Delta$  (used by the attacker and unknown to the defender) when they are embedded in source class images (as will be shown by our experiments). But these two patterns may have very different intensity values in the image space, as visualized by [21]. Therefore, it is unreliable to determine whether a test image classified to class t is embedded with  $\Delta$ by directly looking for the estimated  $\widehat{\Delta}$  in the image. Even if a test image embedded with  $\Delta$  is successfully detected, directly removing an estimated  $\widehat{\Delta}$ (*e.g.*, subtracting the estimated additive perturbation pattern [24]) from the image will not likely remove the true backdoor pattern  $\Delta$  completely – the image may still be classified to the target class t.

However, in deep layers close to the DNN output (e.g., the penultimate layer), the true backdoor pattern  $\Delta$  and its empirical estimation  $\widehat{\Delta}$  will likely activate the same set of neurons when embedded in images from the same source class. These neurons are trained (on the poisoned training set) to activate for the backdoor mapping, and are likely different from the neurons activating for typical target class images. Thus, if a test image classified to the target class t is actually an image from some source class embedded with the backdoor pattern  $\Delta$ , its deep layer activations are expected to be: a) similar to the activations for most images from the same source class embedded with the estimated pattern  $\widehat{\Delta}$ , and b) different from the activations for typical images from class t. Based on the above intuition, our in-flight backdoor detection steps are as follows: First, for each non-target class  $\forall c \in S$ , we embed the estimated backdoor pattern  $\hat{\Delta}$  in the clean images used for detection and get  $\tilde{\mathcal{D}}_c = \{g(\boldsymbol{x}, \hat{\Delta}) | \boldsymbol{x} \in \mathcal{D}_c\}$ . Then we feed all images in  $\bigcup_{c \in S} \tilde{\mathcal{D}}_c$  and the clean target class images  $\mathcal{D}_t$  to the DNN being attacked to get their deep layer features  $\mathcal{Z}_c = \{f_L(\tilde{\boldsymbol{x}}) | \tilde{\boldsymbol{x}} \in \tilde{\mathcal{D}}_c\}$ ,  $\forall c \in S$  and  $\mathcal{Z}_t = \{f_L(\boldsymbol{x}) | \boldsymbol{x} \in \mathcal{D}_t\}$ , respectively. All the features in  $\mathcal{Z} = \bigcup_{c \in C} \mathcal{Z}_c$ are then standardized to have mean 0 and standard deviation 1. For each class  $c \in C$ , we learn a density model (*e.g.*, Gaussian mixture model) with parameters  $\boldsymbol{\theta}_c = \arg \max_{\boldsymbol{\theta}} \prod_{\boldsymbol{z} \in \mathcal{Z}_c} P[\boldsymbol{z}|\boldsymbol{\theta}]$ . At test-time, for any test image  $\boldsymbol{w}$  with  $f(\boldsymbol{w}) = t$ , we measure its likelihood  $\mathcal{L}_c = P[f_L(\boldsymbol{w})|\boldsymbol{\theta}_c]$  under the density model for each  $c \in C$ . If  $\arg \max_{c \in C} \mathcal{L}_c \neq t$ ,  $\boldsymbol{w}$  is deemed to contain the backdoor pattern. We then reject the prediction of the DNN and infer that it is originally from class  $s = \arg \max_{c \in C} \mathcal{L}_c$ . Otherwise,  $\boldsymbol{w}$  is deemed clean and its class prediction t is accepted.

Our method has the following advantages over existing ones. Unlike [5,6,21] which are sensitive to the choice of hyper-parameters, *e.g.*, a detection threshold, we do not require careful choices of hyper-parameters. Besides, our method only needs relatively few clean images (100 images per class in our experiments) for detection, and is computationally cheap, as it does not involve tuning a complicated DNN for example. Note that the most time-consuming part of our defense – learning class-conditional density models – is done offline.

### 5 Experiments

#### 5.1 Experiment Setup

**Dataset**: We mainly use the benchmark CIFAR-10 dataset, which contains 60k  $32 \times 32$  color images from 10 classes, with 5k images per class for training and 1k images per class for testing [10]. Experiments on other datasets including MNIST [4], PubFig [11], and F-MNIST [26] are in Sec. 5.3.

**Data allocation**: Following the assumptions in Sec. 3, we randomly split the test set of CIFAR-10 into  $\mathcal{D}_{\text{Defense}}$  and  $\mathcal{D}_{\text{Test}}$ , where  $\mathcal{D}_{\text{Defense}}$  consists of 100 images per class, and  $\mathcal{D}_{\text{Test}}$  is used for performance evaluation.

Attack settings: We consider typical backdoor attacks described in Sec. 3. We arbitrarily choose class 9 as the target class for all attacks. We consider the following three backdoor patterns: 1) an additive perturbation that looks like a "chess board" (CB) used in [24]; 2) a single pixel set to 255 (SP) [23]; and 3) a  $3 \times 3$  white box (WB) embedded in the bottom right of an image [7]. For each type of backdoor pattern, we create two attacks by: 1) embedding the backdoor pattern in 1000 training images randomly selected from class 0 (single class attack); 2) embedding the backdoor pattern in 100 training images randomly selected from each class, except for the target class (multi-class attack). Training settings: For each attack, we train a DNN with the widely used ResNet-18 [9] architecture on the backdoor poisoned CIFAR-10 training set. Training is performed for 150 epochs with learning rate 0.1 (reduced by 0.5 per

Attack pattern	Single cl	ass attack	Multi-class attack		
	ACC	ASR	ACC	ASR	
No attack	0.9387	NA	0.9387	NA	
CB-GT	0.9360	0.9955	0.9381	0.9954	
CB-RE	NA	1.0000	NA	0.9876	
SP-GT	0.9354	0.9488	0.9337	0.9565	
SP-RE	NA	0.9900	NA	0.9953	
WB-GT	0.9324	0.9411	0.9340	0.9497	
WB-RE	NA	0.9970	NA	0.9354	

Table 1: ASR and ACC for attacks using GT patterns; and ASR for the RE patterns obtained by post-training defenses applied to these attacks. "NA" represents "not applicable".

50 epochs) and batch size 32.

**Defense settings**: For each attack, we first apply a post-training detector to the DNN being attacked to infer the target class t and reverse-engineer its corresponding backdoor pattern  $\hat{\Delta}$ , using  $\mathcal{D}_{\text{Defense}}$  reserved for detection. In particular, we apply the detector in [24] to attacks with backdoor pattern CB since it is an additive perturbation; and the detector in [21] to attacks with backdoor patterns SP or WB as they are small patches (not additive perturbations) embedded in an image. For our in-flight detector, we consider Gaussian mixture models and choose the penultimate layer features for (maximum likelihood) density model estimation.

#### 5.2 Main Experimental Results on CIFAR-10

First, we show that the attacks we created are sufficiently effective for thoroughly evaluating detection performance. Such effectiveness is evaluated by: 1) the attack success rate (**ASR**) defined as the fraction of clean images from the source classes in  $\mathcal{D}_{\text{Test}}$  that are misclassified to the target class when the ground truth (**GT**) backdoor pattern is embedded; and 2) the clean test accuracy (**ACC**) defined as the DNN's accuracy on  $\mathcal{D}_{\text{Test}}$ . As shown in Table 1, all attacks have high ASR and almost no degradation in ACC compared with the baseline ACC of a DNN trained with no backdoor. Second, we show the ASR for each attack with the backdoor pattern in Table 1. The RE patterns induce similarly high misclassification rate to the target class, when embedded in clean source class images from  $\mathcal{D}_{\text{Test}}$ , as GT patterns.

We evaluate the effectiveness of our detector in comparison with three other in-flight detectors NC [21], B3D [5], and STRIP [6]. The metrics for performance evaluation include true positive rates (**TPR**, *i.e.*, the fraction of backdoortrigger images correctly detected), false positive rates (**FPR**, *i.e.*, the fraction of clean images falsely detected) and source class inference accuracies (**SIA**, *i.e.*, the fraction of backdoor-trigger images with correct inference of the source class). As shown in Table 2, for all attacks, our detector performs perfectly – almost all the backdoor-trigger images are correctly identified, and no clean

Attack	Single class attack			Multi-class attack				
pattern	TPR	FPR	SIA	TPR	FPR	SIA		
Li	Likelihood-based in-flight backdoor defender							
CB	0.9922	0.0	0.8392	0.9997	0.0	0.6946		
SP	0.9813	0.0	0.7728	0.9454	0.0	0.632		
WB	0.9847	0.0	0.8607	0.9992	0.0	0.8945		
	NC							
CB	0.9855	0.0488	0.9444	0.9962	0.0533	0.8765		
SP	0.8088	0.0544	0.8833	0.9043	0.0511	0.8963		
WB	0.0	0.0522	0.8667	0.8644	0.0522	0.8086		
	B3D							
CB	0.0788	0.0511	NA	0.9872	0.9955	NA		
SP	0.5333	0.1066	NA	0.1814	0.0522	NA		
WB	0.0011	0.0500	NA	0.0535	0.0511	NA		
STRIP								
CB	0.0822	0.0533	NA	0.0218	0.0555	NA		
$\mathbf{SP}$	0.1333	0.0588	NA	0.1555	0.0588	NA		
WB	0.0088	0.0588	NA	0.0011	0.0633	NA		

Table 2: TPR, FPR and SIA for our defense, compared with three other in-flight defenses, NC, B3D, and STRIP, against all the created attacks. "NA" signifies "not applicable".

target class images are falsely reported. Following [5,6,21], we build in-flight detectors for NC, B3D, and STRIP. As they do not announce the thresholds for detection, we test them with various thresholds and exhibit the best TPR at an FPR of around  $5\%^2$ . For STRIP, we set the weight of the incoming input as 0.5 in image blending. NC does not correctly detect any backdoor-trigger images in a single class attack using the pattern WB. B3D does not perform well under all the attacks, as embedding the estimated backdoor pattern has little impact on the model outputs for both backdoor-trigger images and clean target class images. STRIP does not perform well either (for ResNet18 and CIFAR-10) – STRIP is more effective for the DNN architectures, datasets, and attack configurations used in [6].

Since the NC paper does not mention the learning rate used for fine-tuning the DNN, in our experiments, we fine-tune the poisoned DNN using various learning rates. From Table 3, the severe fluctuations in SIAs of models poisoned by the multi-class attack using pattern WB shows the sensitivity of NC to the learning rate. We thus apply NC with all the learning rates, reporting the *best* SIA in Table 2. Our defender performs relatively well in inferring source classes for the detected backdoor trigger images, though it is not as good as the *best results* of NC. However note that our method requires neither a clean set as large as the one used by NC for fine-tuning, nor careful choices of hyper-parameters.

We also implement our detector on the last 4 convolutional layers of ResNet-18 – the internal layers just before the penultimate layer. We reduce the di-

 $<sup>^2\</sup>mathrm{A}$  5% FPR is not achievable by B3D for some attacks (even as the detection threshold is varied over a wide range.

LR	10	1	$10^{-1}$	$10^{-2}$	$10^{-3}$	$10^{-4}$
SIA	0.1114	0.4291	0.6033	0.8086	0.7103	0.6348

Table 3: SIA of NC fluctuates with the learning rate (LR) used for DNN finetuning.

Attack	Single class attack		Multi-class attack				
pattern	$\mathrm{TPR}$	$\operatorname{FPR}$	SIA	TPR	$\operatorname{FPR}$	SIA	
Penultimate layer							
CB	0.9922	0.0	0.8392	0.9997	0.0	0.6946	
SP	0.9813	0.0	0.7728	0.9454	0.0	0.632	
WB	0.9847	0.0	0.8607	0.9992	0.0	0.8945	
	1st cor	volution	al layer	from the	last		
CB	0.9977	0.0	0.7897	0.9996	0.0	0.6488	
SP	0.9894	0.0	0.7562	0.9807	0.0	0.5271	
WB	0.9941	0.0057	0.8598	0.9997	0.0034	0.8638	
	2nd convolutional layer from the last						
CB	0.9977	0.0011	0.7035	0.9998	0.0	0.6106	
SP	0.9976	0.0011	0.5962	0.9948	0.0011	0.4923	
WB	0.9976	0.0126	0.8544	0.9998	0.0267	0.8085	
	3rd convolutional layer from the last						
CB	0.9888	0.0023	0.6117	0.9997	0.0	0.5336	
$\mathbf{SP}$	0.9941	0.0081	0.6266	0.9922	0.0046	0.3738	
WB	0.9976	0.0207	0.7857	0.9997	0.0500	0.7049	
4th convolutional layer from the last							
CB	0.9888	0.0	0.5349	0.9997	0.0	0.4926	
SP	0.9988	0.0302	0.6248	0.9976	0.0058	0.3705	
WB	0.9952	0.0288	0.7581	0.9997	0.0848	0.6351	

Table 4: TPR, FPR and SIA for our defense against all the created attacks on different DNN internal layers.

mensionality of the internal layer activations to that of the penultimate layer activations via, *e.g.*, average pooling. As shown in Table 4, the nearly perfect TPRs and FPRs demonstrate that the choice of the deep layer has little impact on our in-flight backdoor trigger detection. However, the choice of the deep layer affects source class inference for backdoor-trigger images. Our method achieves the best SIA on the penultimate layer.

#### 5.3 Experimental Results on Other Datasets

We also evaluated our detector on datasets including PubFig, MNIST and F-MNIST. For PubFig, we randomly choose 20 classes, each with 80 training samples and 20 test samples. We arbitrarily select class 19 as the target class and embed a backdoor trigger in 2 training samples from each class except for the target class. The backdoor patterns considered for PubFig are trojan square (SQ) and trojan watermark (WM) [16], and the poisoned training set is then

	PubFig		MNIST		F-MNIST	
	SQ	WM	CB	WB	CB	WB
TPR	0.9856	1.0	1.0	1.0	1.0	0.9951
FPR	0.1428	0.1428	0.0033	0.0022	0.0023	0.0127
SIA	0.7194	0.5507	0.9413	0.9764	0.6948	0.8039

Table 5: TPR, FPR and SIA for our in-flight backdoor detector on datasets PubFig, MNIST and F-MNIST.

used for training a DNN with VGG-16 [19] architecture. We reserve 5 test images per class for detection. For each of MNIST and F-MNIST, we consider two attacks with backdoor patterns CB and WB, respectively, and the same attack settings for the multi-class attacks described in Sec.5.1. For each attack, a DNN with LeNet-5 [12] architecture is trained on the poisoned training set. As shown in Table 5, our defender achieves similarly good performance on these datasets as for the CIFAR-10 dataset.

## 6 Conclusion

We proposed an in-flight defense that detects test images containing a backdoor trigger and infers the class of origin for each detected image. Our defense does not need access to the DNN's training set and is more efficient compared with existing in-flight defenses. We show the effectiveness of our detector experimentally for a wide variety of DNN architectures, datasets, and backdoor attack configurations.

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