



清华大学
Tsinghua University



中国科学院
计算机网络信息中心
Computer Network Information Center,
Chinese Academy of Sciences



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ANT GROUP

SparseRCA: Unsupervised Root Cause Analysis in Sparse Microservice Testing Traces

Zhenhe Yao¹, Haowei Ye, Changhua Pei², Guang Cheng, Guangpei Wang, Zhiwei Liu,
Hongwei Chen, Hang Cui, Zeyan Li, Jianhui Li, Gaogang Xie, Dan Pei

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2. Corresponding Author



Outline

- Background
- Design
- Evaluation
- Summary

Microservice Architecture



Payment



Shopping



Browsing

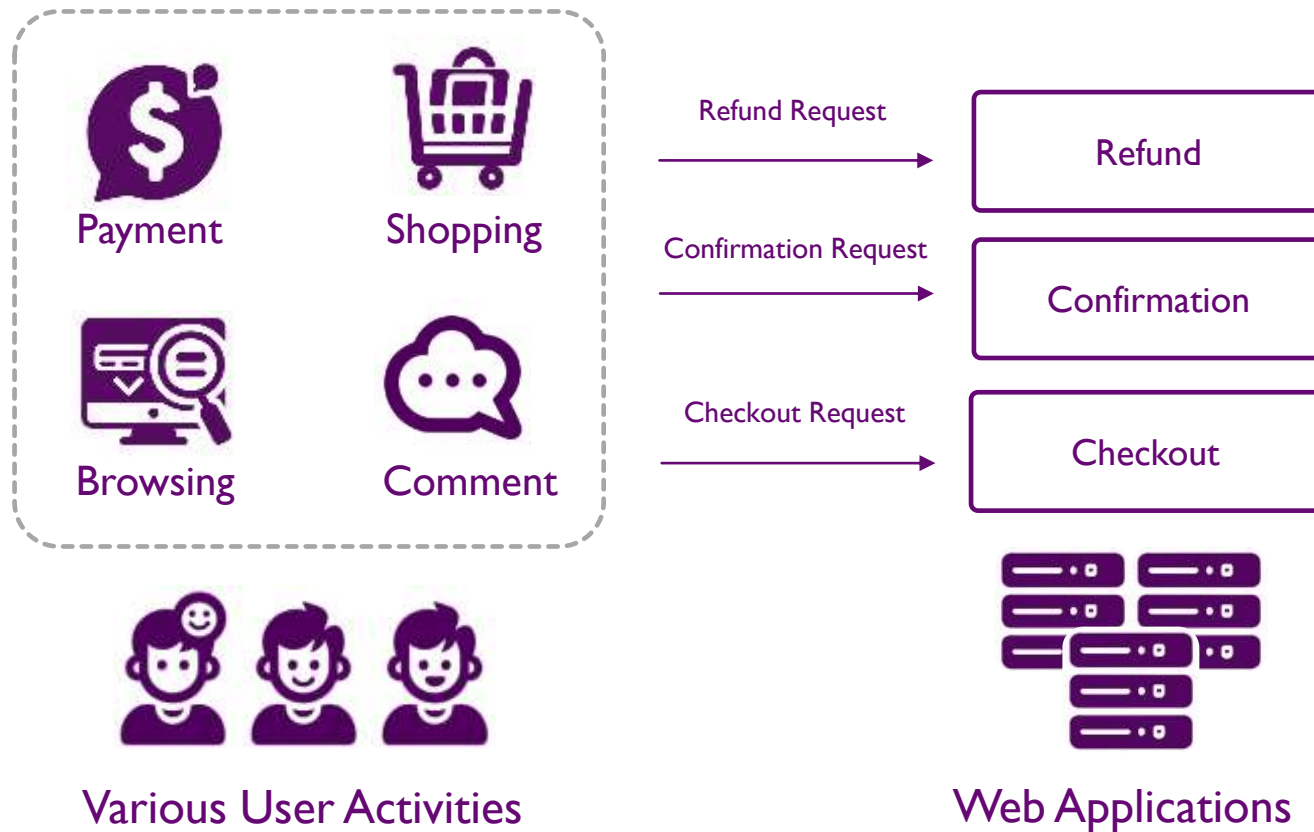


Comment

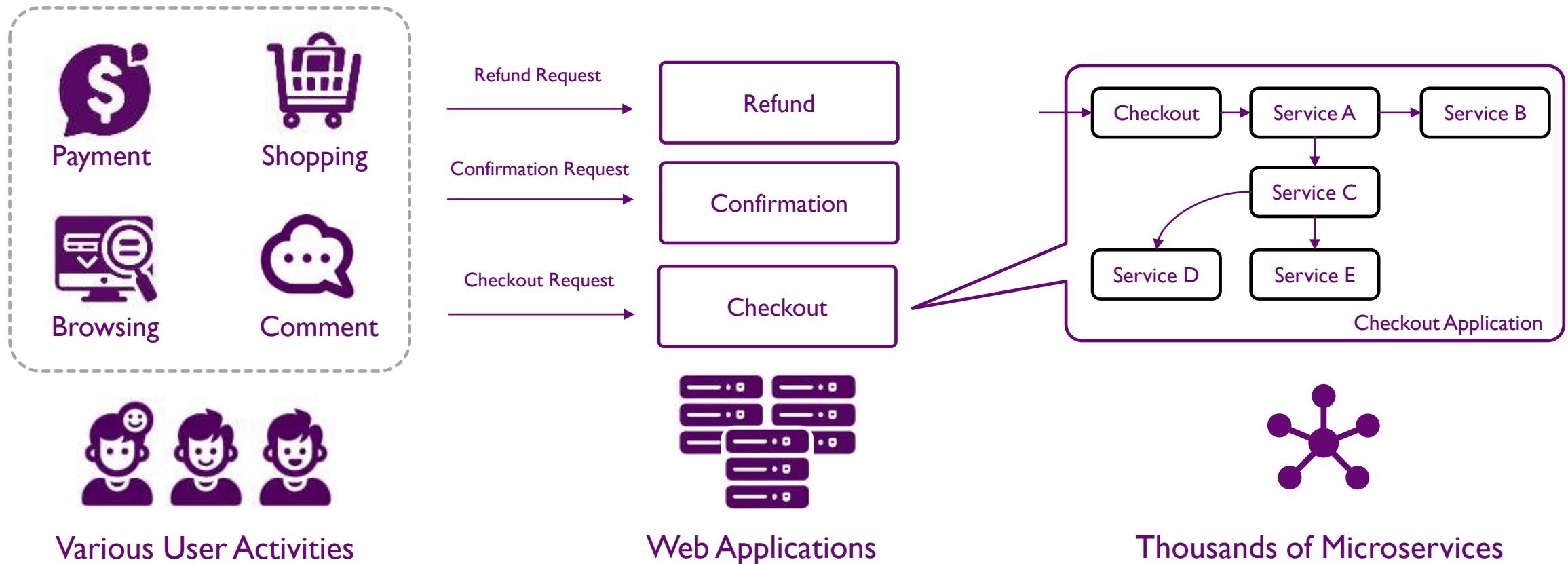


Various User Activities

Microservice Architecture



Microservice Architecture



Ensuring Service-Level-Objectives (SLOs) in Testing Environments

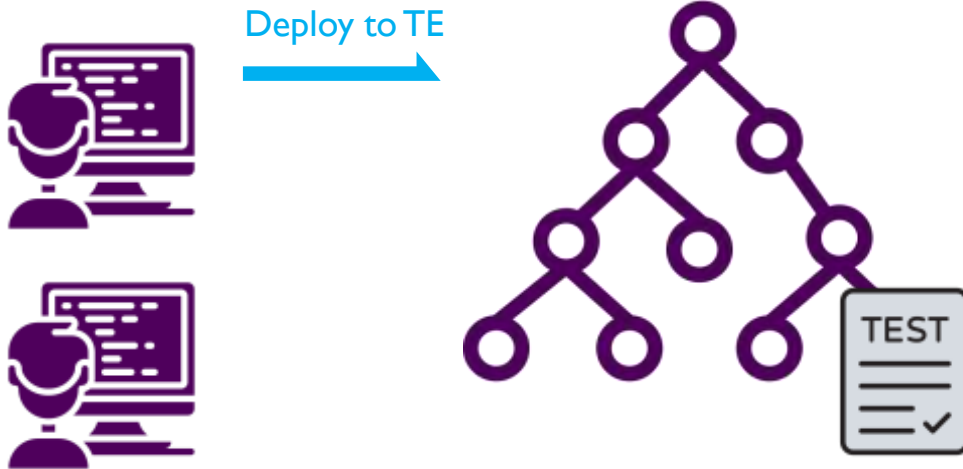


Ensuring Service-Level-Objectives (SLOs) in Testing Environments



Developers

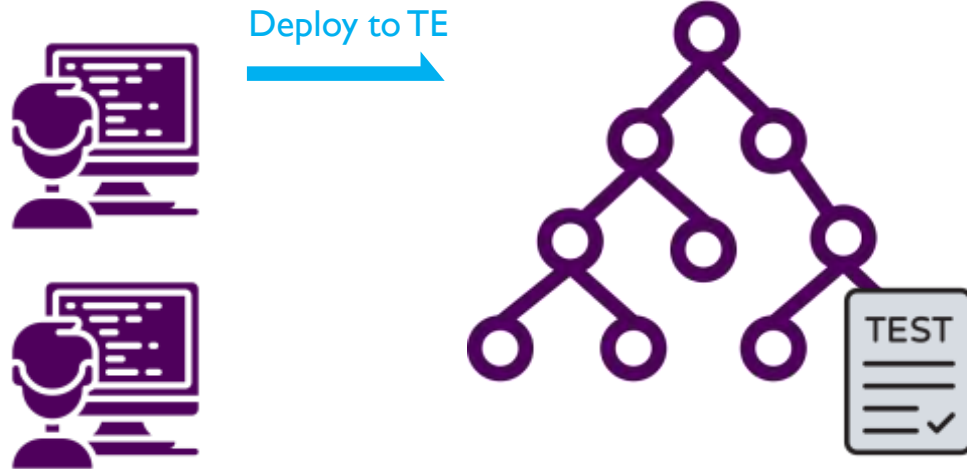
Ensuring Service-Level-Objectives (SLOs) in Testing Environments



Developers

Microservices in
Testing Environment
(TE)

Ensuring Service-Level-Objectives (SLOs) in Testing Environments



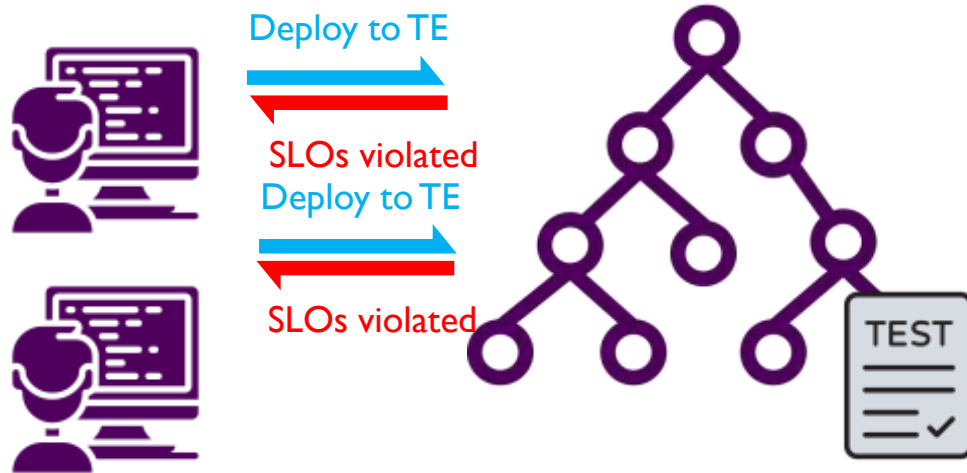
Developers

Microservices in
Testing Environment
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Service-Level-Objectives (SLOs):

- Normal latencies
- Correct response codes
- Non-abortions
- ...

Ensuring Service-Level-Objectives (SLOs) in Testing Environments



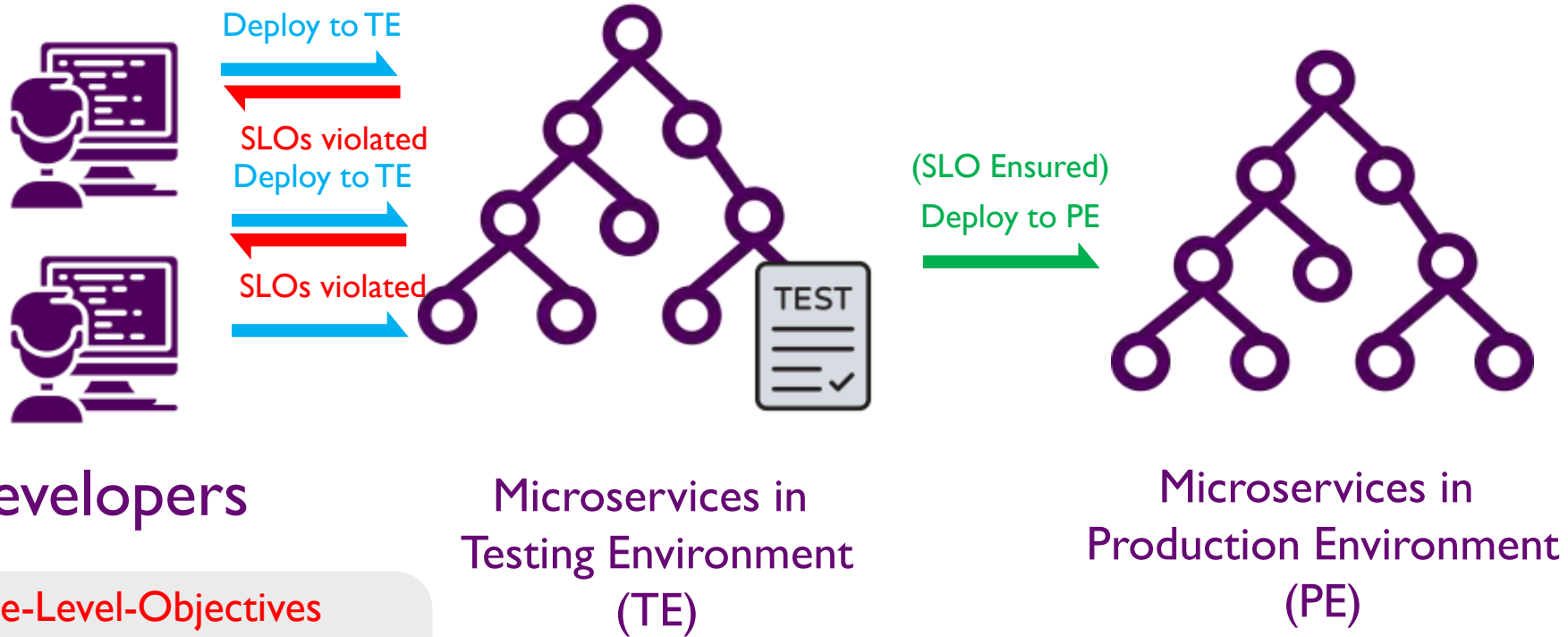
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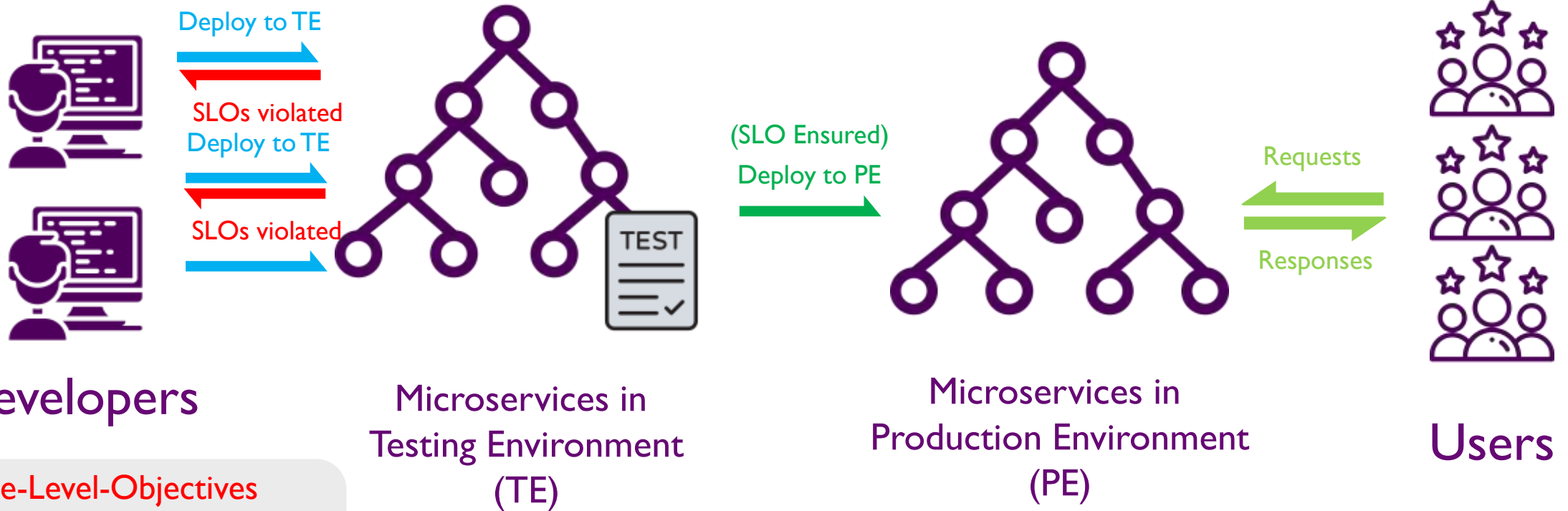
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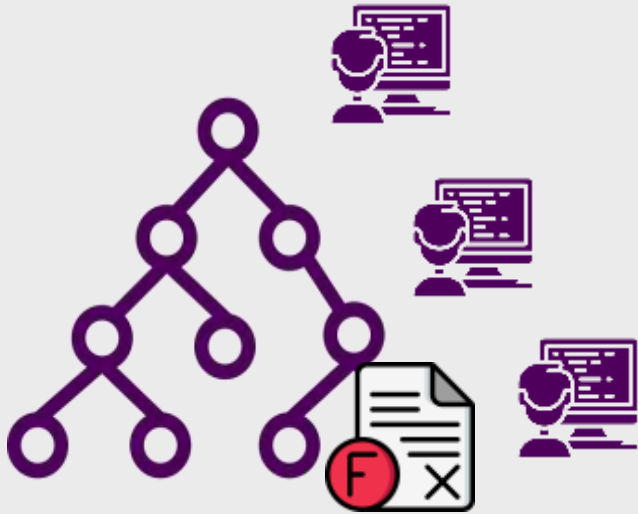
Ensuring Service-Level-Objectives (SLOs) in Testing Environments



Service-Level-Objectives (SLOs):

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RCA in Testing Environments



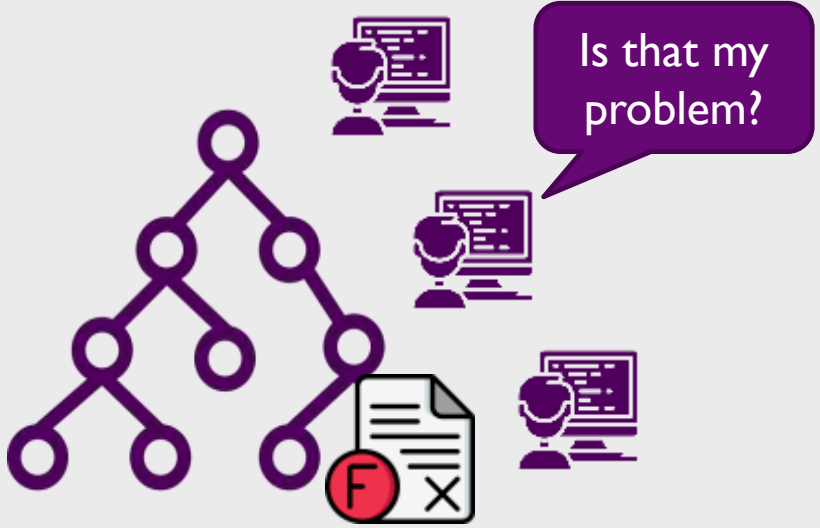
SLO-violated Microservice System in
Testing Environment (TE)

RCA in Testing Environments



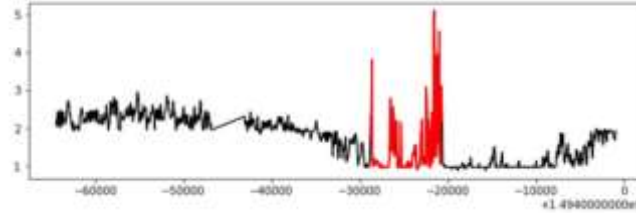
SLO-violated Microservice System in Testing Environment (TE)

RCA in Testing Environments



Is that my problem?

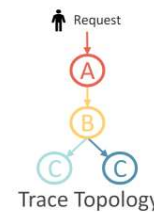
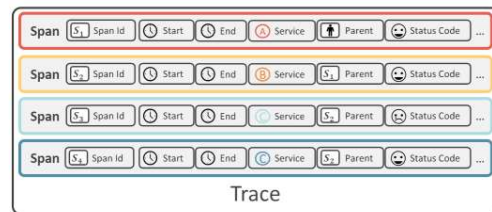
SLO-violated Microservice System in Testing Environment (TE)



Metric-based

```
[00:00:01] [Info] checking if there are any updates...
[00:00:11] [Error] Connection Timeout.
[00:00:12] [Info] Time cost: 10.00s
[00:00:15] [Info] Time cost: 0.02s
```

Log-based

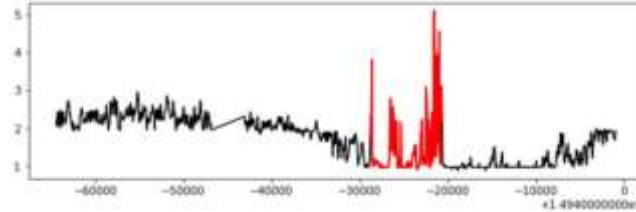


Trace-based

RCA in Testing Environments



SLO-violated Microservice System in Testing Environment (TE)



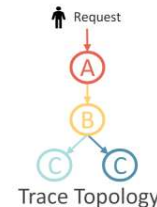
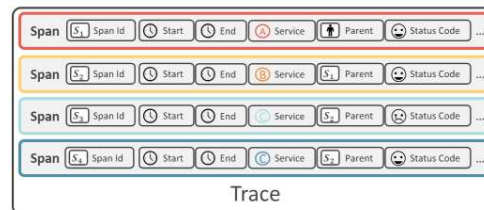
Metric-based



Only Information about **a single service** or **a single calling relationship**

```
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Log-based



Trace-based

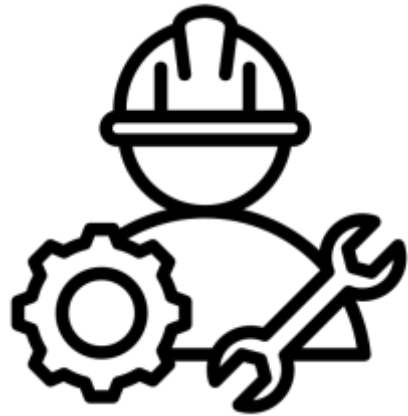


Record the **complete calls** and **service interactions**

Previous Trace-based or Trace-related RCA Methods



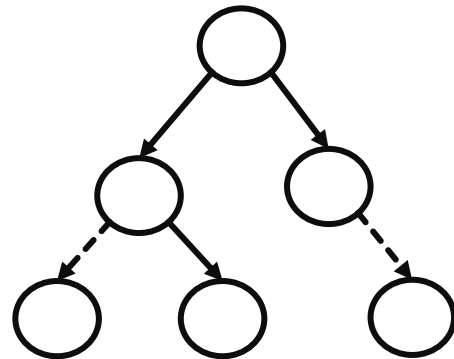
Previous Trace-based or Trace-related RCA Methods



Rule-based

Groot(ASE'21)

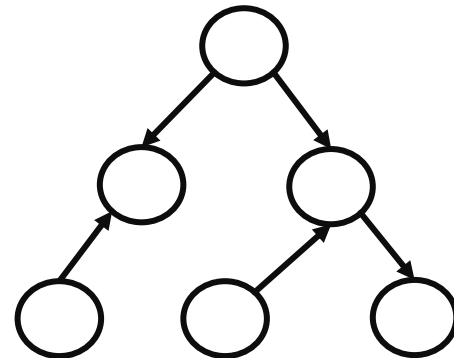
→ Causal Service Call
- - - -> Eliminated Call



Topology-based

MicroHECL(ICSE-SEIP'21)

→ Causality Link



Causality-based

TraceRCA(IWQOS'21)

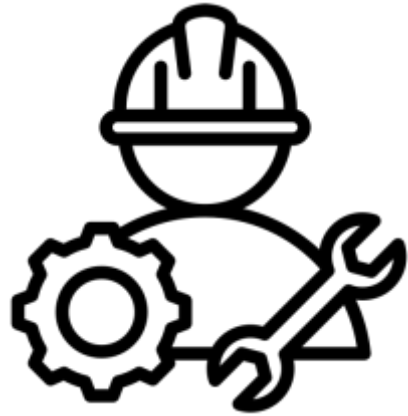
■ A Test Case



Spectrum-based

MicroRank(WWW'21)

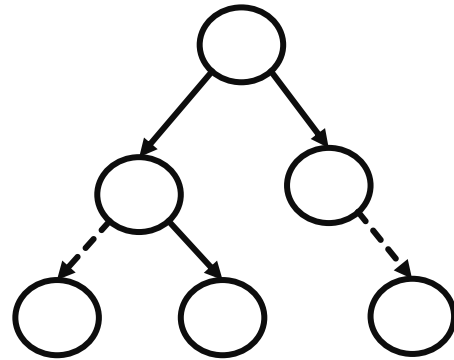
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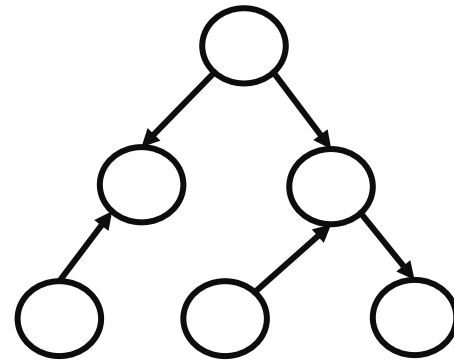
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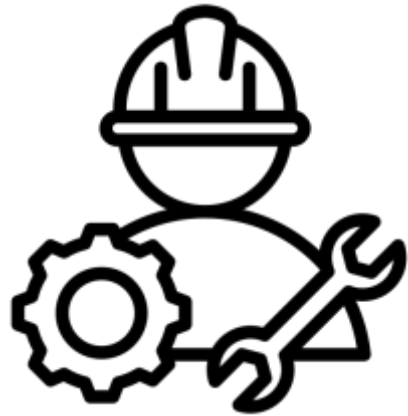


Spectrum-based

MicroRank(WWW'21)

- Some are Dependent on **continuous and dense** trace data flow
- All need **reliable and stable** environment where rules/traces don't evolve too fast

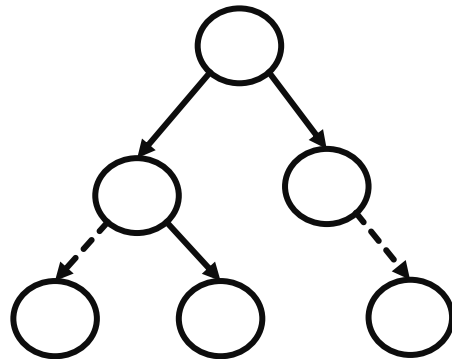
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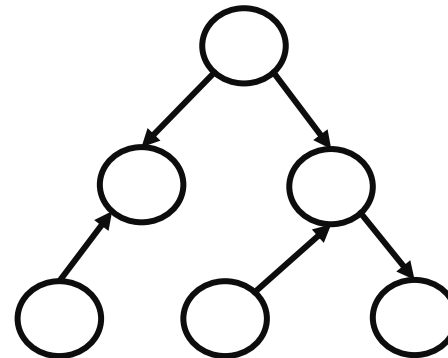
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MicroRank(WWW'21)

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Problem I: Trace Sparsity in Testing Environment

Production Environment



Traces from **real user requests**

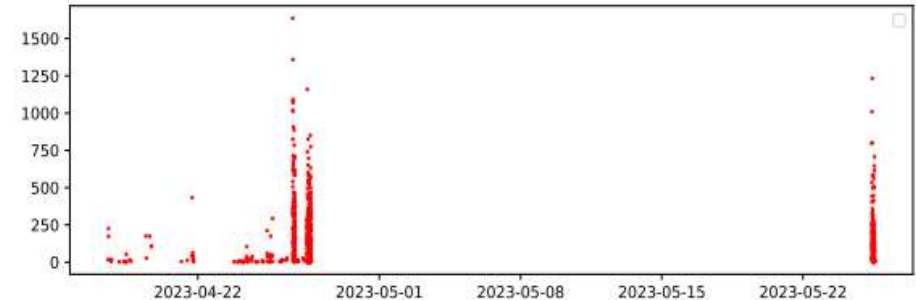
- **Dense** traces (100k/min on average)
- Continuous data flow **evenly** distributed

Testing Environment



Traces from manually **constructed test cases**

- **Sparse** traces (mostly less than 10/min at peak)
- **Centralized** in testing period



Example of Trace Distribution in TE

#Trace/min	0	1	[2,10)	[10,30)	[30,50)	50+
Minute Pct. (%)	89.97	3.95	3.85	1.50	0.53	0.19
Abnormal Pct. (%)	/	11.11	8.01	6.16	7.12	2.04

Trace Number Distribution in TE



Problem I: Trace Sparsity in Testing Environment

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Unstable aggregated metrics

- Average latencies
- Response success rates
- ...

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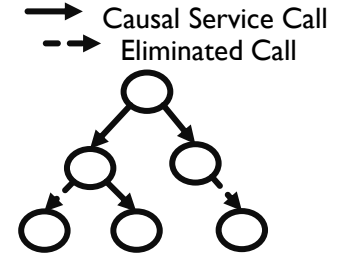


Traces from manually constructed test cases

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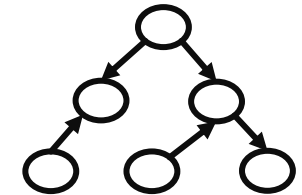
Unstable aggregated metrics

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- ...



Topology-based

→ Causality Link



Causality-based



Spectrum-based



Problem I: Trace Sparsity in Testing Environment

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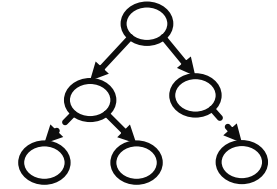
- Average latencies
- Response success rates
- ...



Unreliable mining results

- Correlation
- Path Elimination
- Causality Discovery
- Spectrum Analysis
- ...

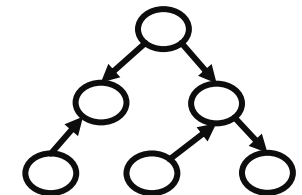
→ Causal Service Call
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Topology-based



→ Causality Link



Causality-based



A Test Case



Spectrum-based



Problem 2: System Volatility in Testing Environment

Production Environment



The environment is stable and less updated

- Experience from history **lasts longer**
- Microservices and calls can be **found in the past**



TE

PE

Testing Environment



The environment is frequently updated

- Knowledge **expire quickly** in frequent updates
- **New** microservices are deployed frequently
- **New** microservice calls emerge frequently

Problem 2: System Volatility in Testing Environment

Production Environment



The environment is stable and less updated

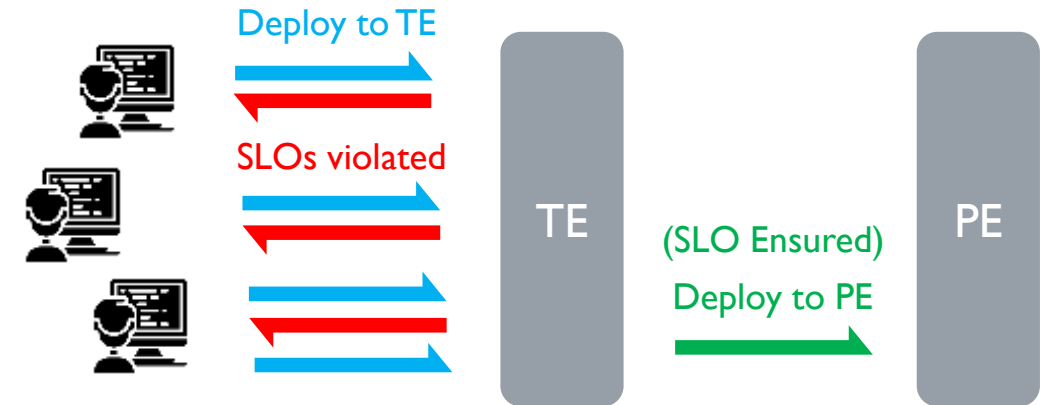
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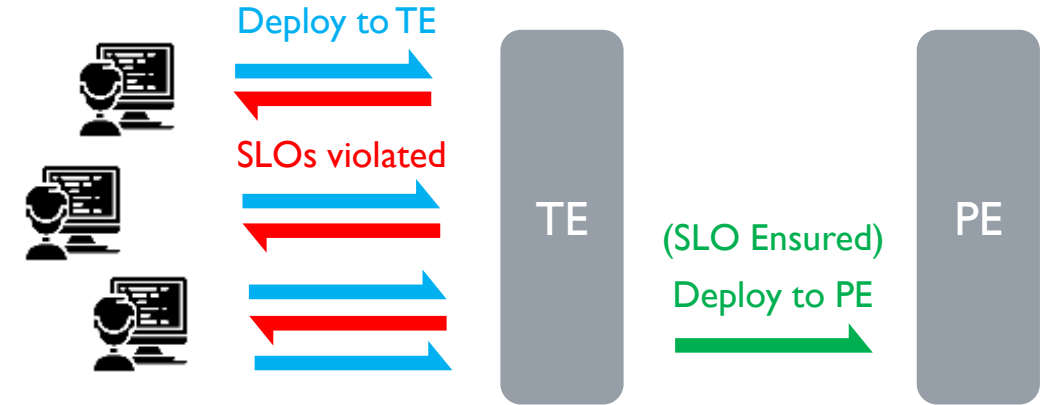


TE experiences more frequent updates than PE

Problem 2: System Volatility in Testing Environment


Production Environment

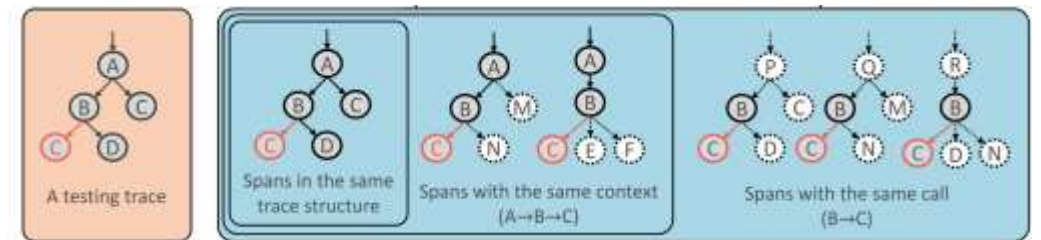
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TE experiences more frequent updates than PE

Testing Environment

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New microservices and calls frequently emerge in TE



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Testing Environment



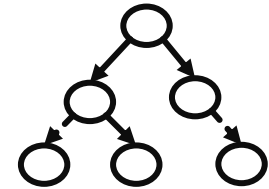
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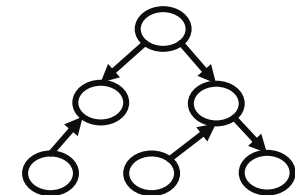
Rule-based

→ Causal Service Call
- -> Eliminated Call



Topology-based

→ Causality Link



Causality-based

Problem 2: System Volatility in Testing Environment

Production Environment

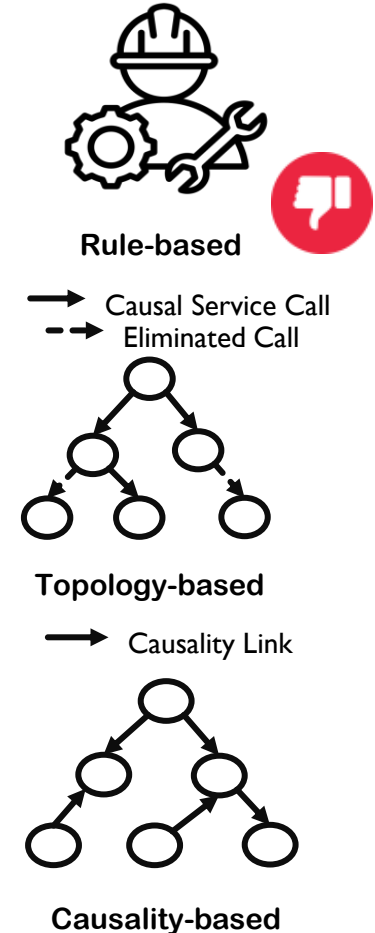
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Manual Configuration for RCA in TE is Impractical

- Labor-intensive
- Knowledge expires soon



Problem 2: System Volatility in Testing Environment

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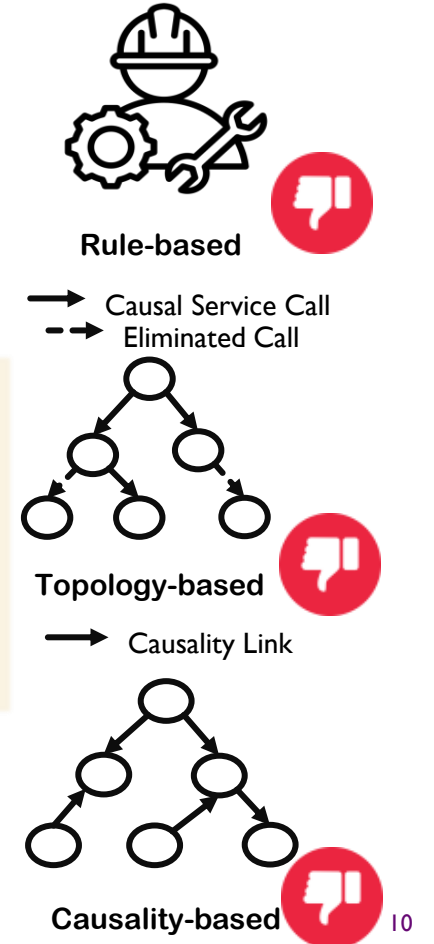
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Manual Configuration for RCA in TE is Impractical

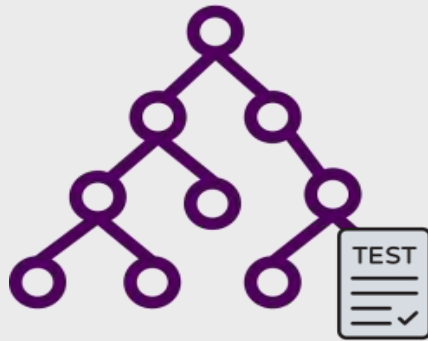
- Labor-intensive
- Knowledge expires soon

New microservices and calls unseen in history frequently emerge

- Topology changes
- Causality needs reestablishing

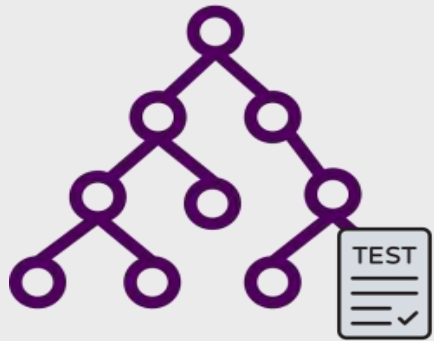


Challenges for Trace-based RCA in TE



Trace-based RCA in
Testing Environment

Challenges for Trace-based RCA in TE



Trace-based RCA in
Testing Environment

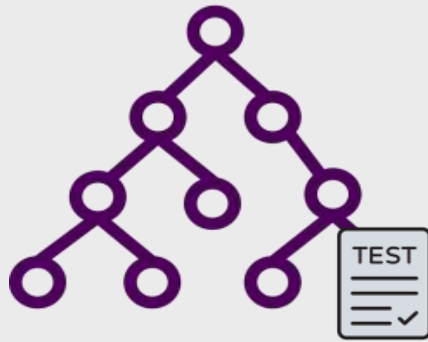


Trace Sparsity



System Volatility

Challenges for Trace-based RCA in TE



Trace-based RCA in Testing Environment



Trace Sparsity



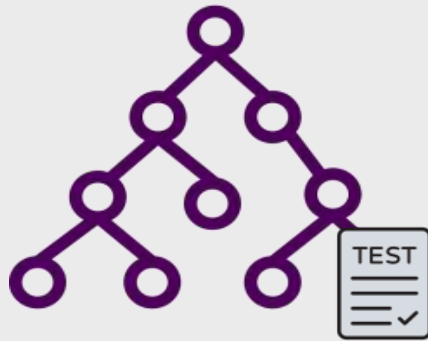
System Volatility

C1: The infeasibility of human intervention for RCA in TE

C2: The limitations introduced by trace sparsity

C3: Unseen microservices and calls in TE traces

Challenges for Trace-based RCA in TE



Trace-based RCA in Testing Environment



Trace Sparsity



System Volatility

C1: The infeasibility of human intervention for RCA in TE

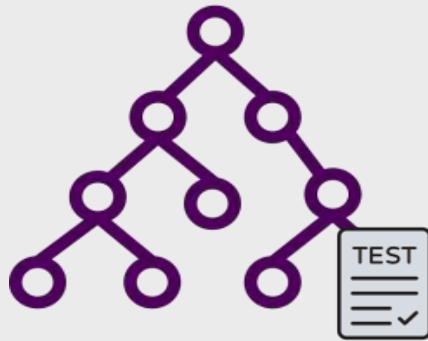
C2: The limitations introduced by trace sparsity

C3: Unseen microservices and calls in TE traces



Unsupervised Trace-based RCA trained with the same batch of traces

Challenges for Trace-based RCA in TE



Trace-based RCA in Testing Environment



Trace Sparsity



System Volatility

C1: The infeasibility of human intervention for RCA in TE



Unsupervised Trace-based RCA trained with the same batch of traces

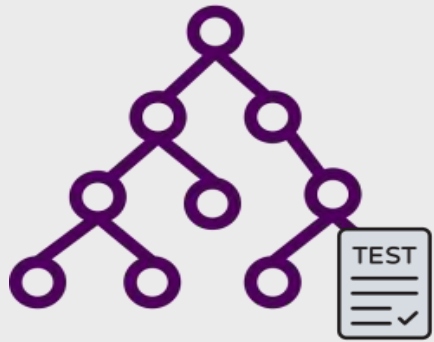
C2: The limitations introduced by trace sparsity



Performing single-trace RCA inference

C3: Unseen microservices and calls in TE traces

Challenges for Trace-based RCA in TE



Trace-based RCA in Testing Environment



Trace Sparsity



System Volatility

C1: The infeasibility of human intervention for RCA in TE



Unsupervised Trace-based RCA trained with the same batch of traces

C2: The limitations introduced by trace sparsity



Performing single-trace RCA inference

C3: Unseen microservices and calls in TE traces



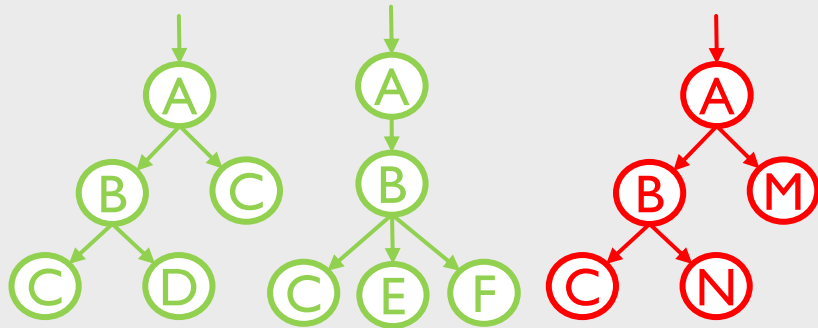
Modeling Unseen Microservices and Calls

Problem Formulation



Training Input:

All traces **satisfying** and **violating**
SLOs in the same test round

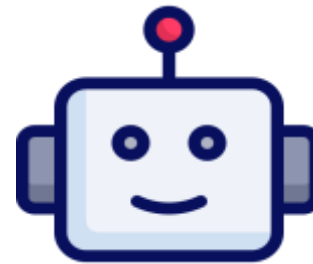
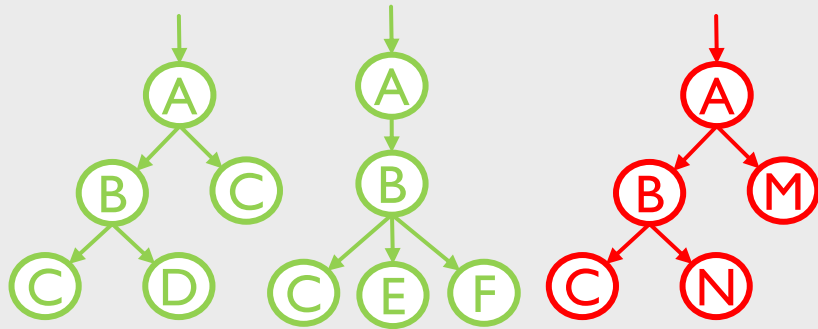


Problem Formulation



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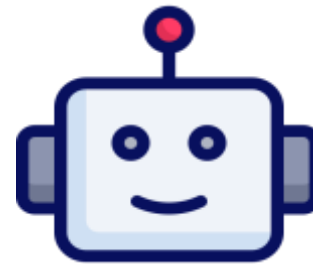
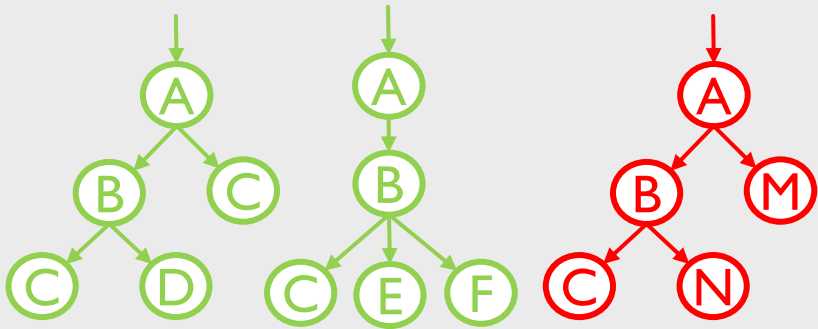


Unsupervised Model

Problem Formulation

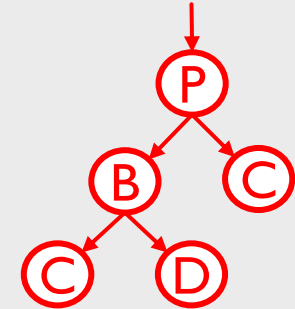


Training Input:
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Unsupervised Model

Inference Input
A single trace
violating SLOs

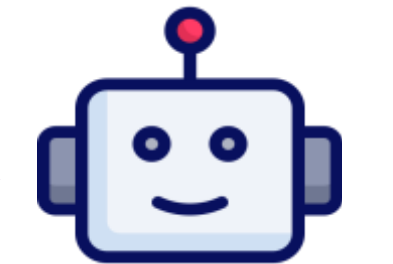
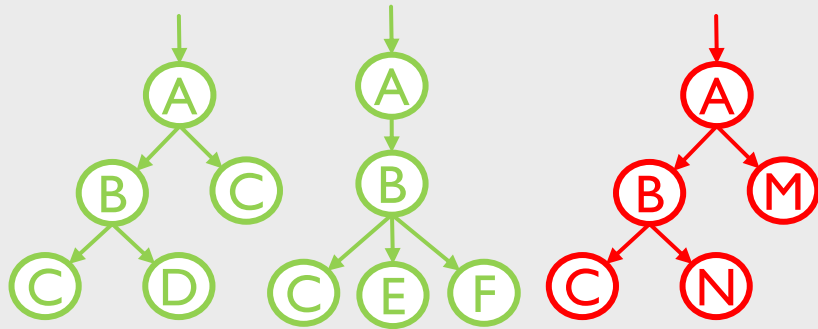


(with possible unseen microservices and calls)

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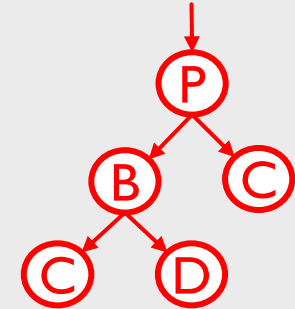


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Unsupervised Model

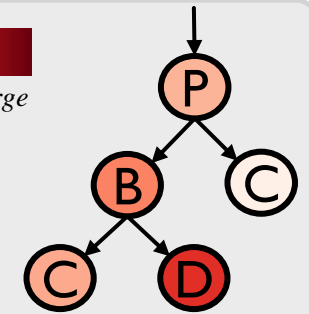
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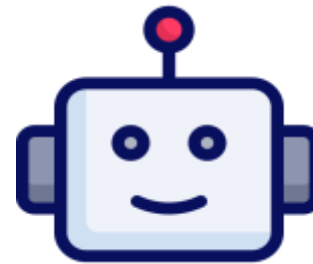
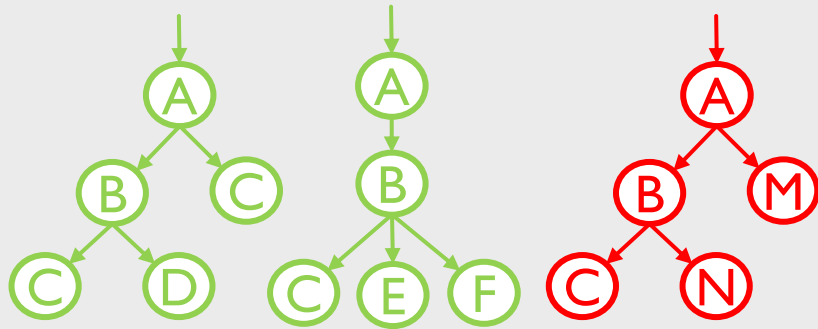
The microservice
root cause scores
Inference Output



Problem Formulation

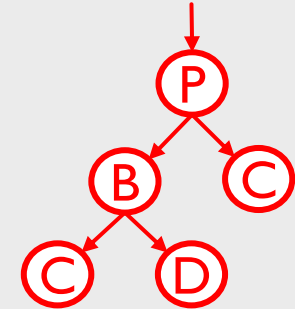


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SLOs in the same test round



SparseRCA

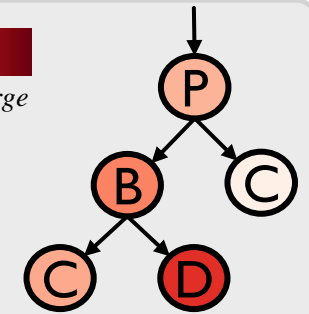
Inference Input
A single trace
violating SLOs



(with possible unseen microservices and calls)



The microservice
root cause scores
Inference Output

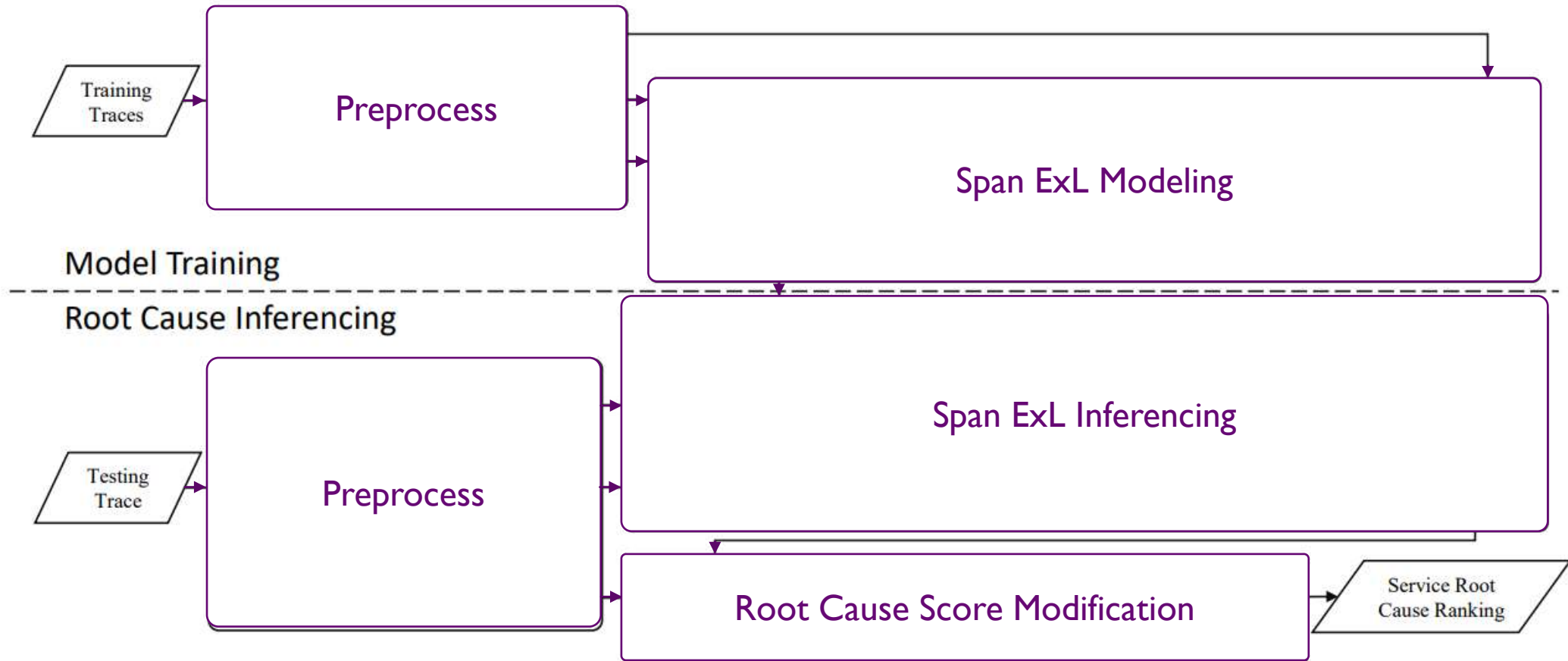




Outline

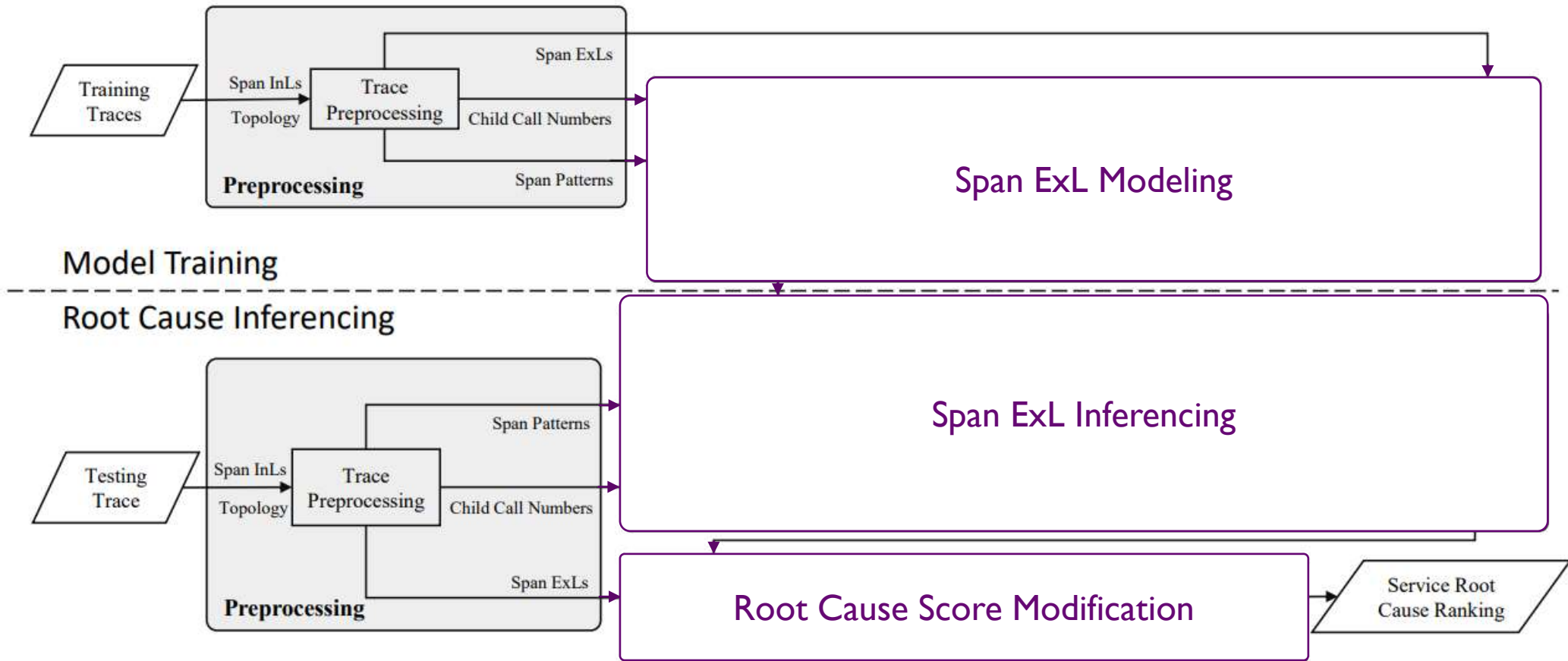
- Background
- Design
- Evaluation
- Summary

Overview of SparseRCA



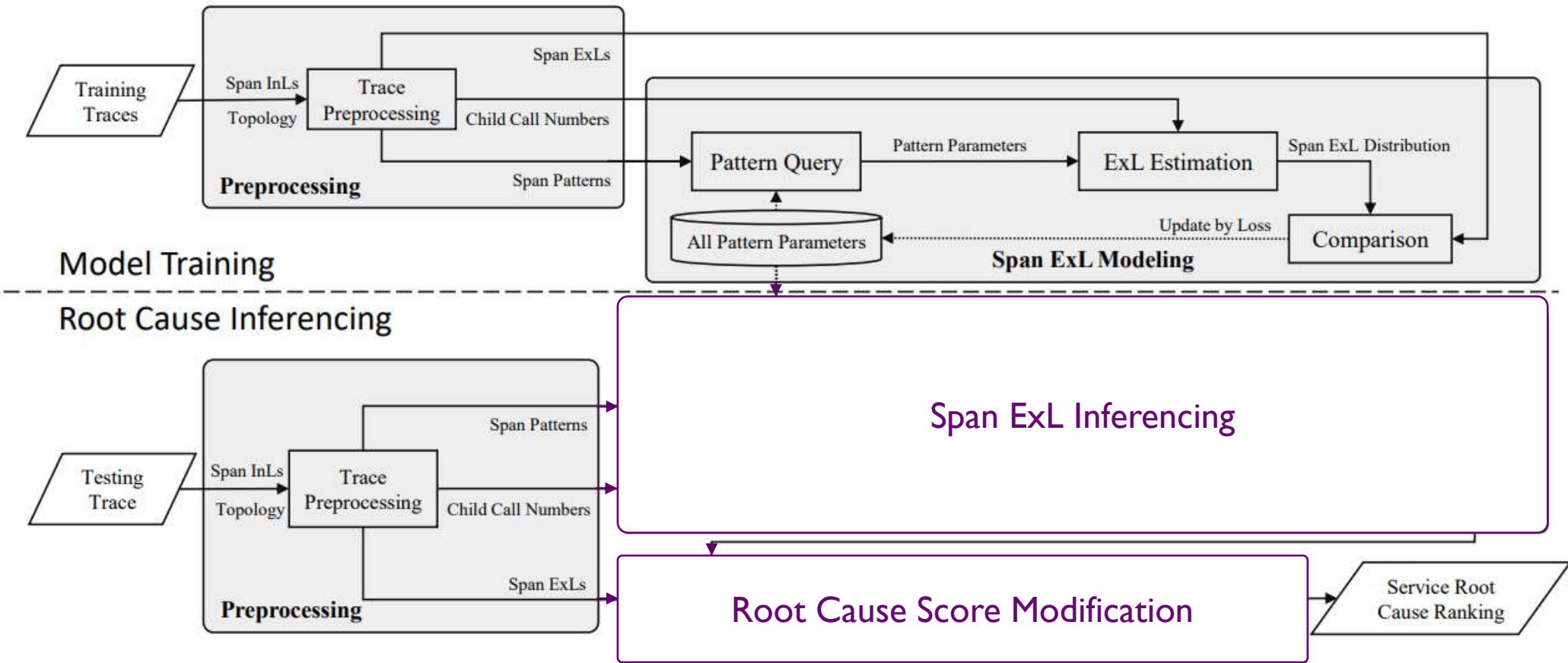
Workflow of SparseRCA

Overview of SparseRCA



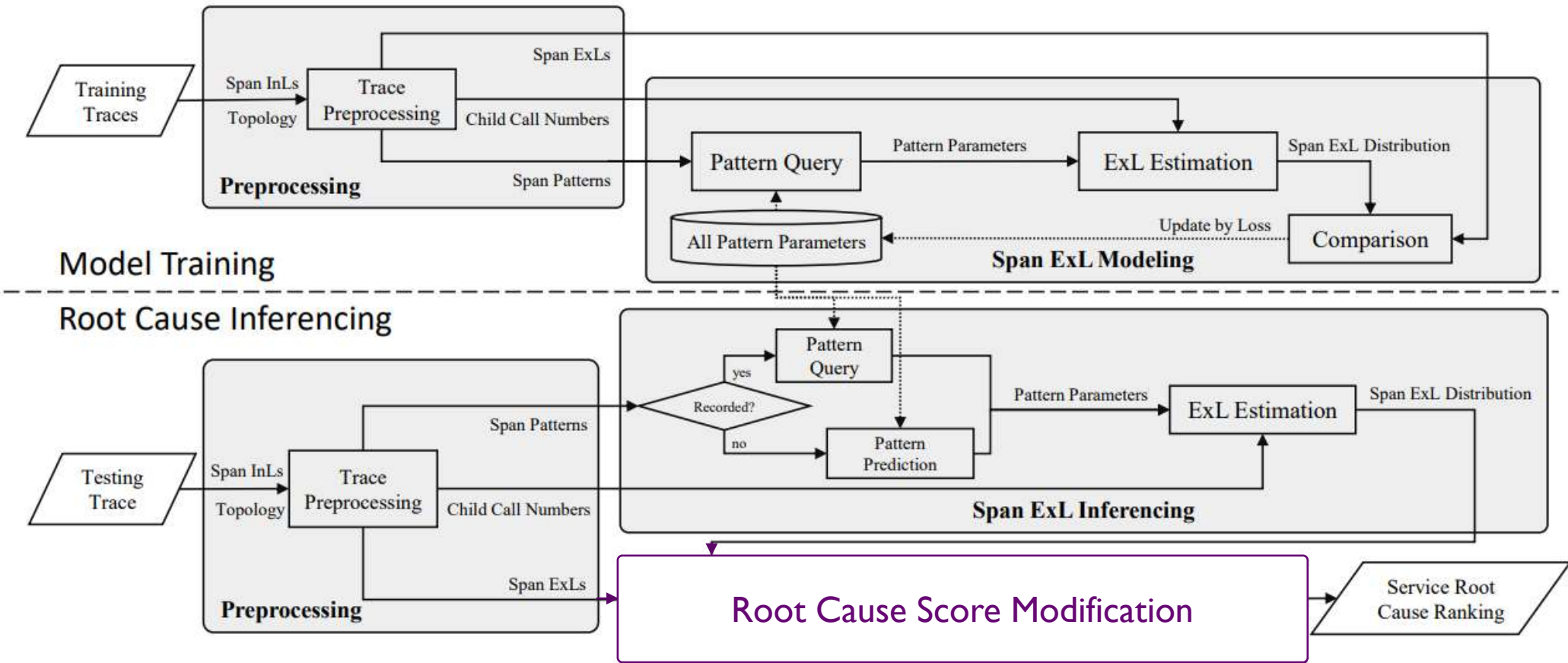
Workflow of SparseRCA

Overview of SparseRCA



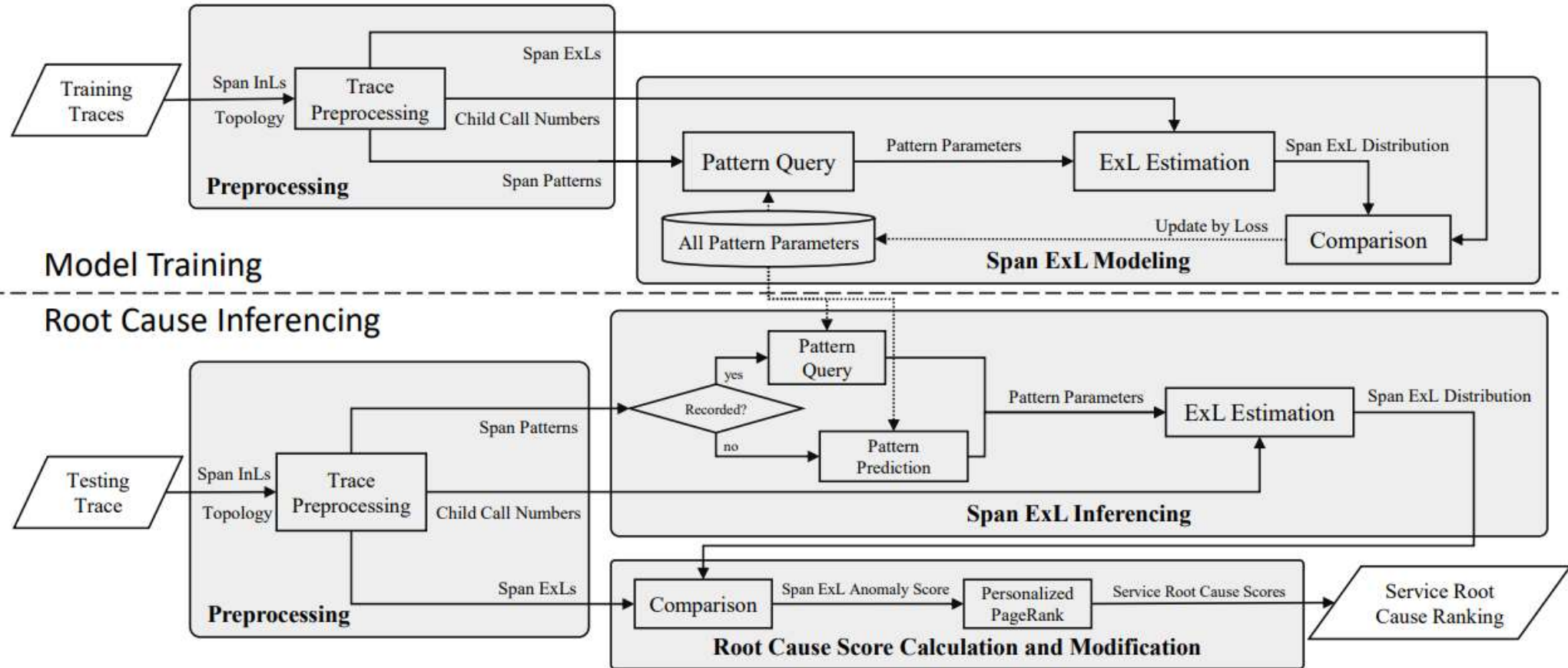
Workflow of SparseRCA

Overview of SparseRCA



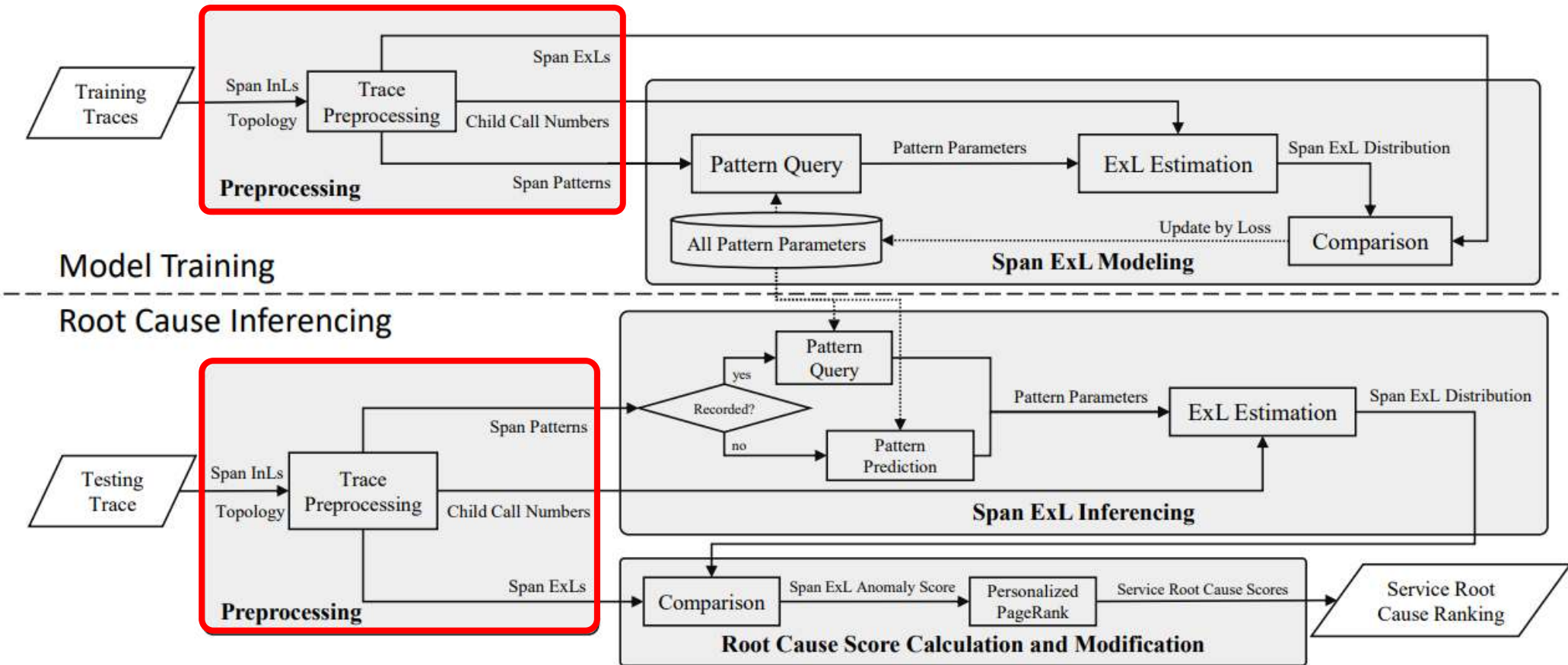
Workflow of SparseRCA

Overview of SparseRCA



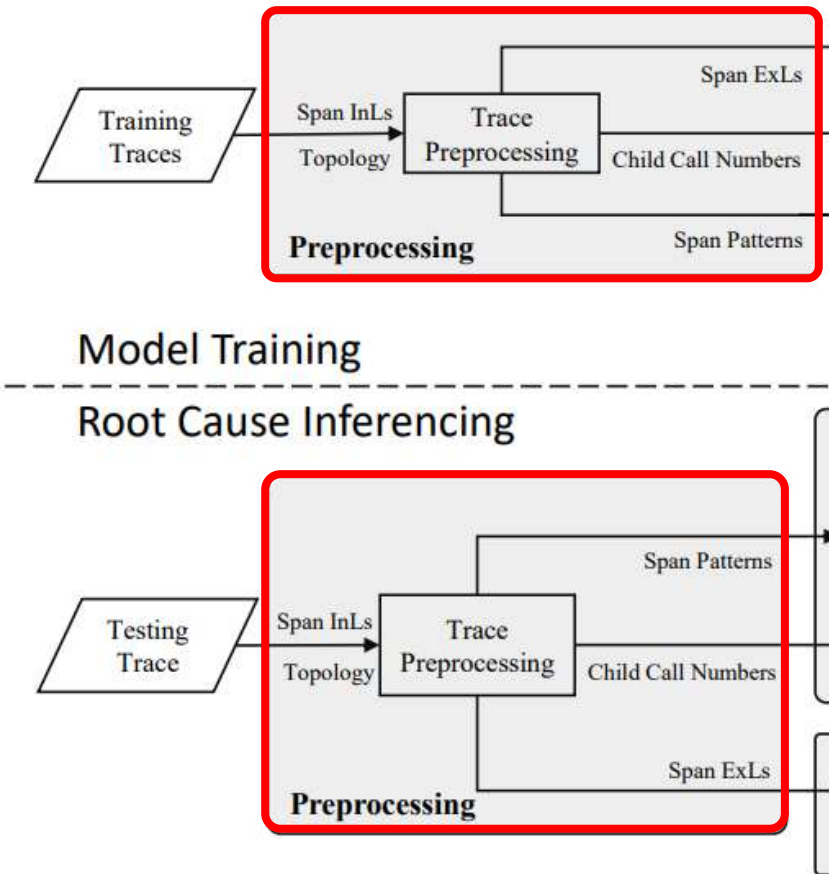
Workflow of SparseRCA

Overview of SparseRCA



Workflow of SparseRCA

Overview of SparseRCA



Concepts & Definitions



Insights from Empirical Experiments

Workflow of SparseRCA

Design: Concepts and Empirical Insights



Concepts & Definitions

Design: Concepts and Empirical Insights



Concepts & Definitions

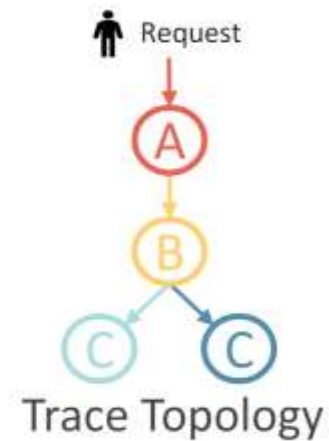
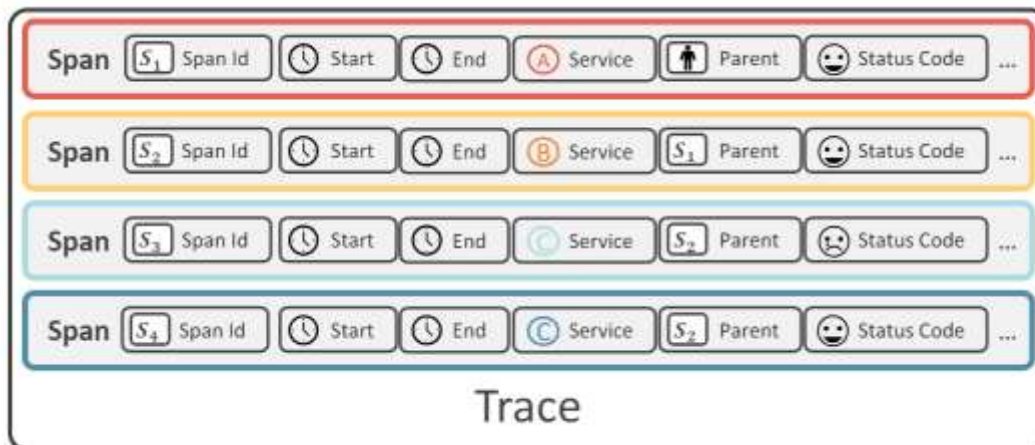
- Trace Span

Design: Concepts and Empirical Insights



Concepts & Definitions

- Trace Span

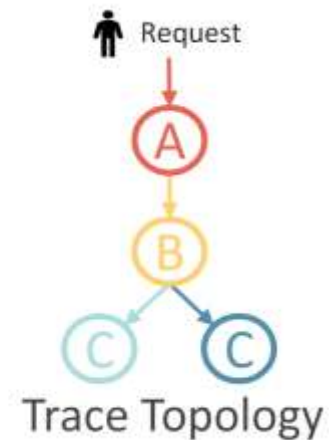
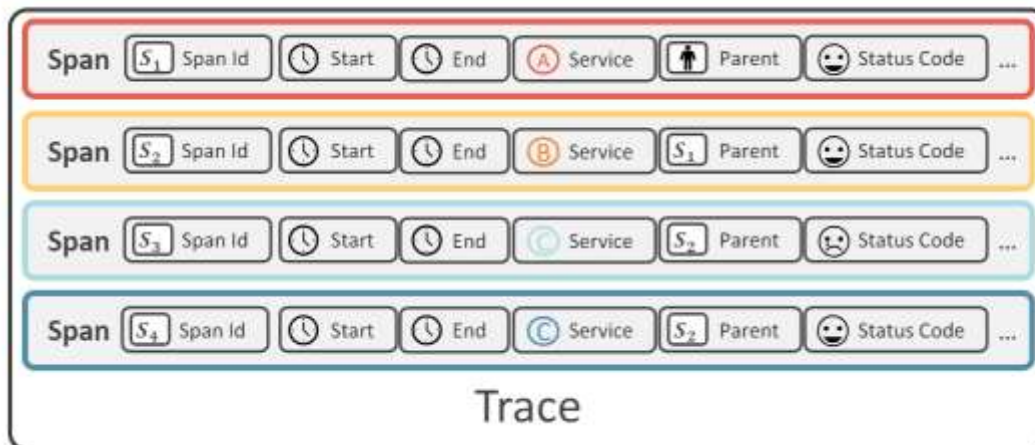


Design: Concepts and Empirical Insights



Concepts & Definitions

- Trace Span
- Inclusive Latency (InL) of a span
 - Overall time consumption for a span

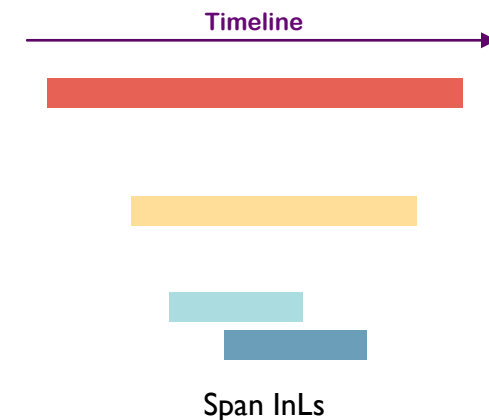
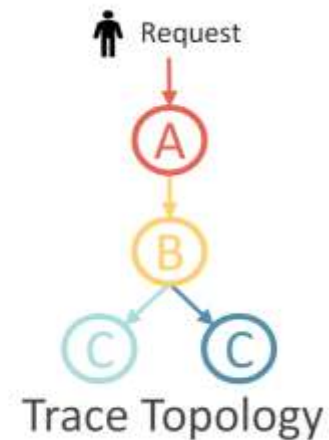
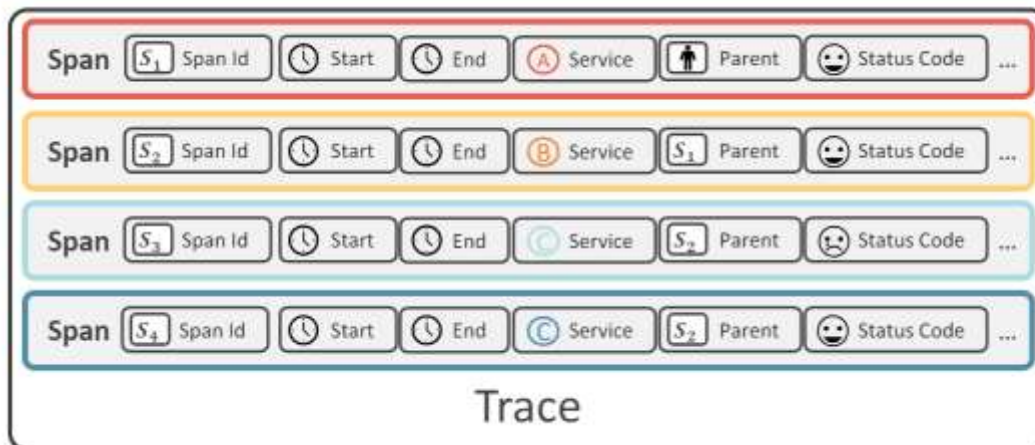


Design: Concepts and Empirical Insights



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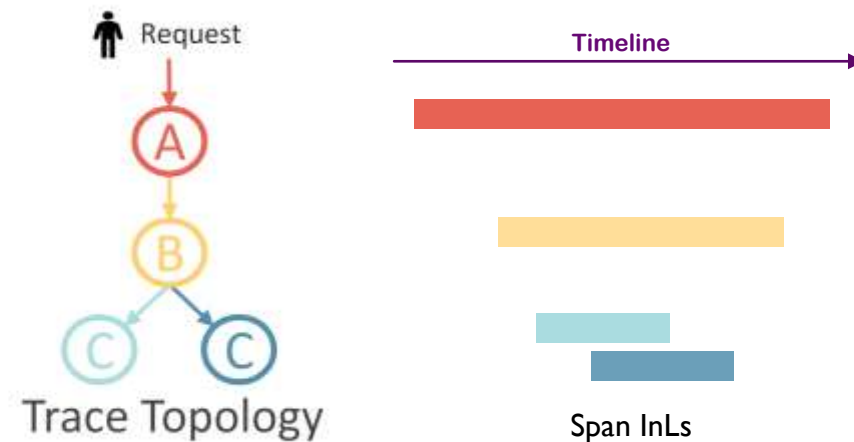
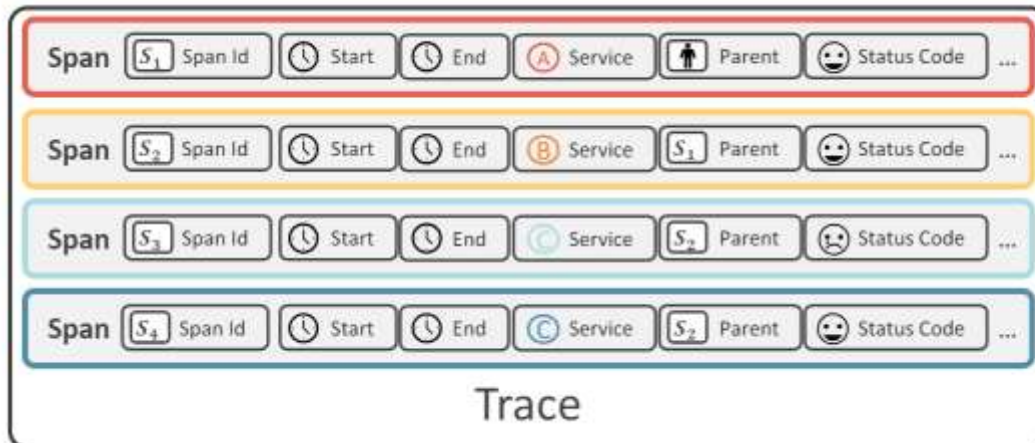


Design: Concepts and Empirical Insights



? Concepts & Definitions

- Trace Span
- Inclusive Latency (InL) of a span
 - Overall time consumption for a span
- Exclusive Latency (ExL) of a span
 - InL excluding the InL of child spans

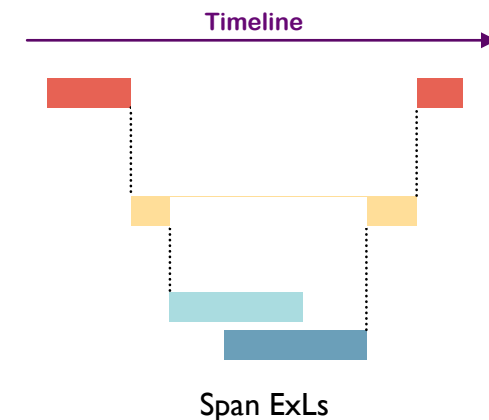
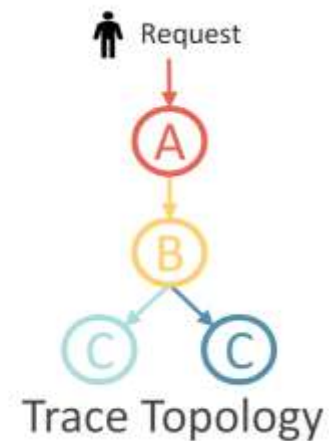
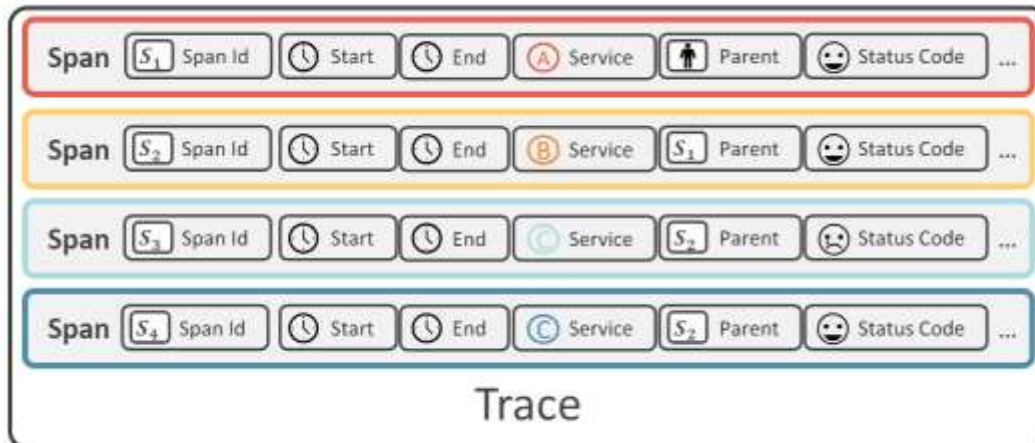


Design: Concepts and Empirical Insights



Concepts & Definitions

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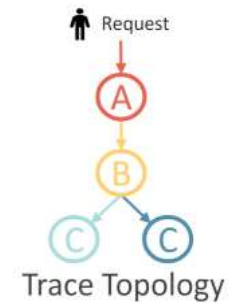
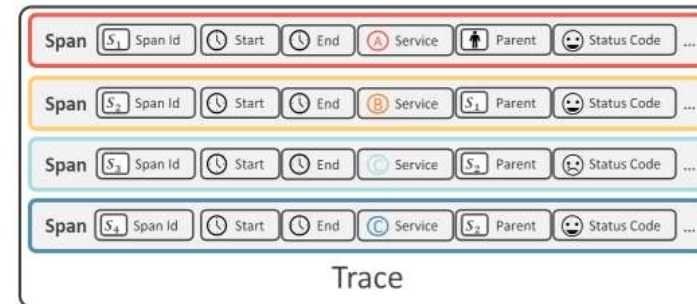


Design: Concepts and Empirical Insights



Concepts & Definitions

- Trace Spans
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Design: Concepts and Empirical Insights

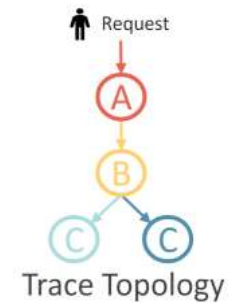
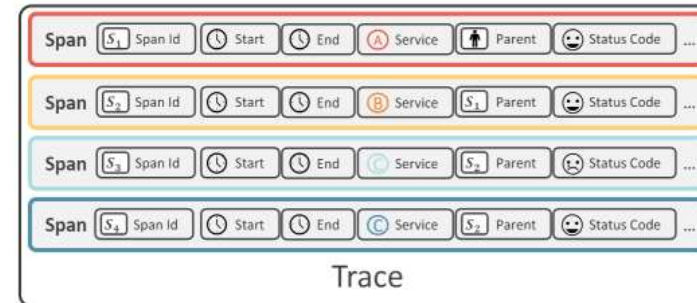


Concepts & Definitions

- Trace Spans
- Inclusive Latency (InL) of a span
- Exclusive Latency (ExL) of a span



Among InL, ExL, and status codes, what metric is most suitable as RCA indicator?



Design: Concepts and Empirical Insights

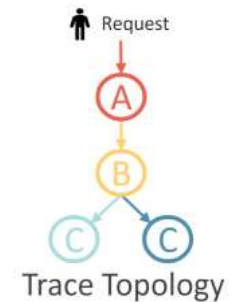
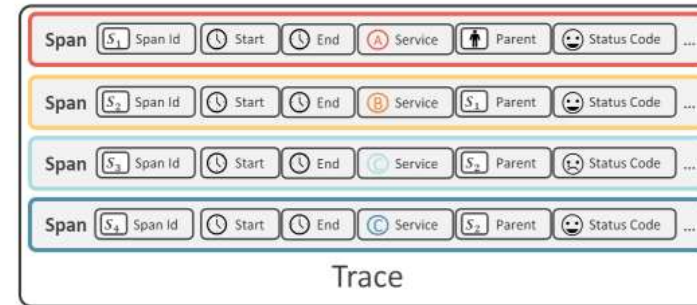


Concepts & Definitions

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Among InL, ExL, and status codes, what metric is most suitable as RCA indicator?



Rank Metric	Top-k Accuracy (%)		
	A@1	A@2	A@3
ExL Anomaly	30.12	50.15	57.85
InL Anomaly	27.52	45.34	54.68
Status Code Anomaly	8.52	21.64	35.41
Random Selection	8.77	17.54	26.31

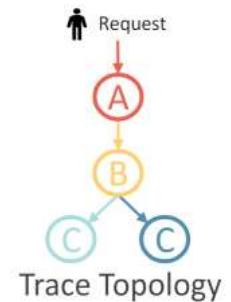
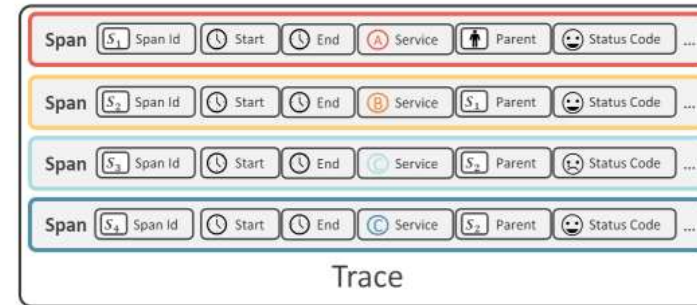
Empirical Comparison among the metrics

Design: Concepts and Empirical Insights



Concepts & Definitions

- Trace Spans
- Inclusive Latency (InL) of a span
- Exclusive Latency (ExL) of a span



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The ExL serves as an **effective** indicator to **coarsely** identify the root causes

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Empirical Comparison among the metrics

Design: Concepts and Empirical Insights



Concepts & Definitions

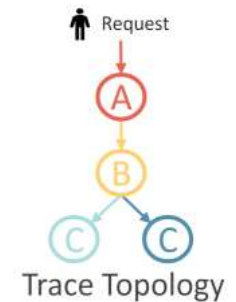
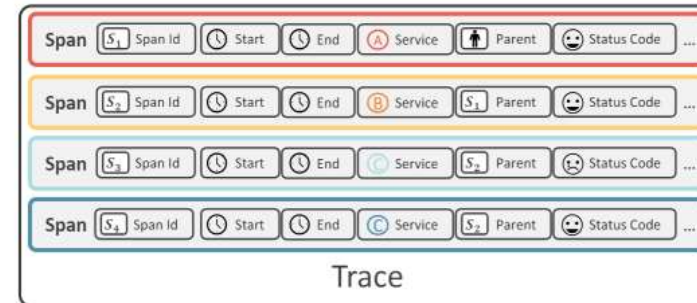
- Trace Spans
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- Exclusive Latency (ExL) of a span



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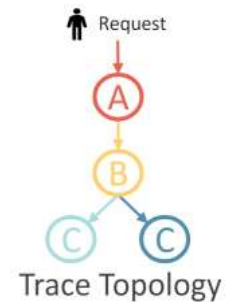
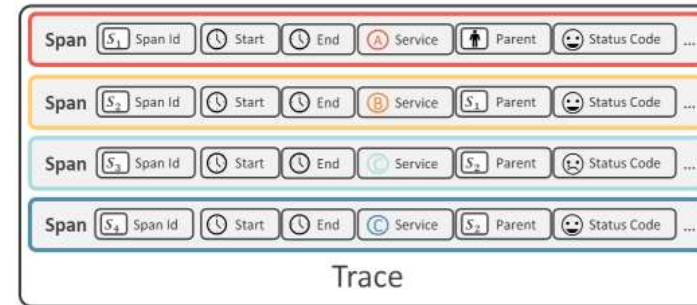


Design: Concepts and Empirical Insights



Concepts & Definitions

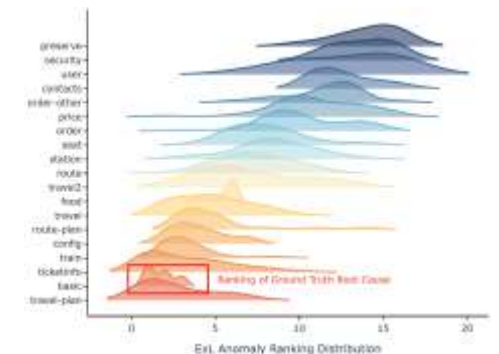
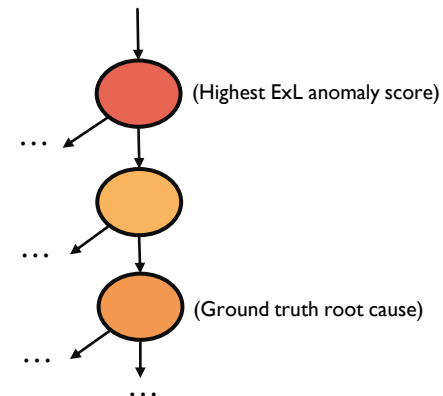
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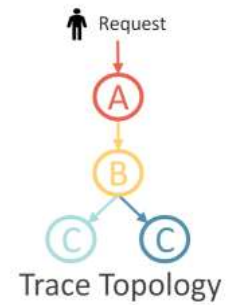
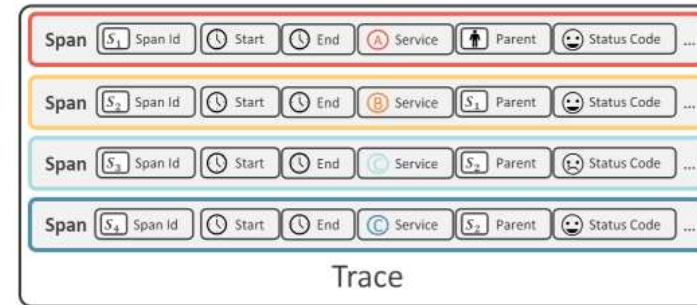
Most Anomalous Least Anomalous
 Exclusive Latency Anomaly Ranking

Design: Concepts and Empirical Insights



Concepts & Definitions

- Trace Spans
- Inclusive Latency (InL) of a span
- Exclusive Latency (ExL) of a span



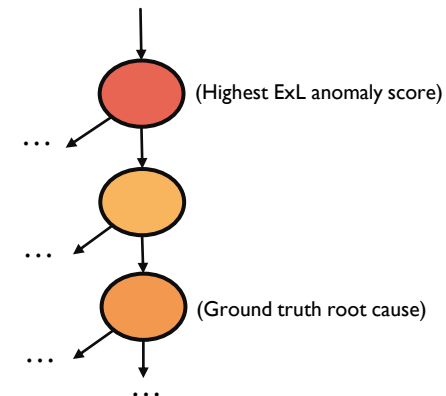
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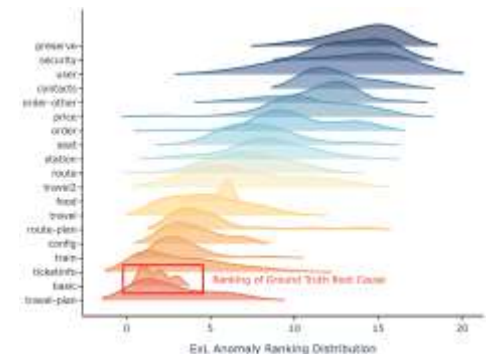
The ExL serves as an **effective** indicator to **coarsely identify the root causes**



RCA cannot **fully** depend on ExL anomalies because **anomalous high ExLs may also appear in ancestor nodes**



Illustrative Example



Experiment Results

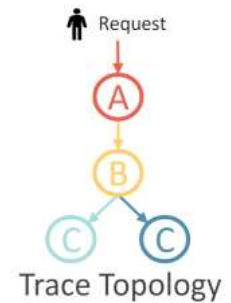
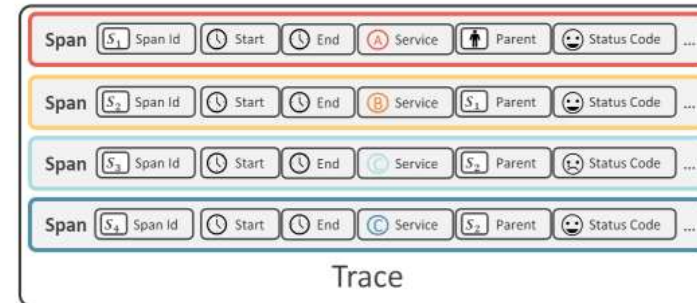


Design: Concepts and Empirical Insights



Concepts & Definitions

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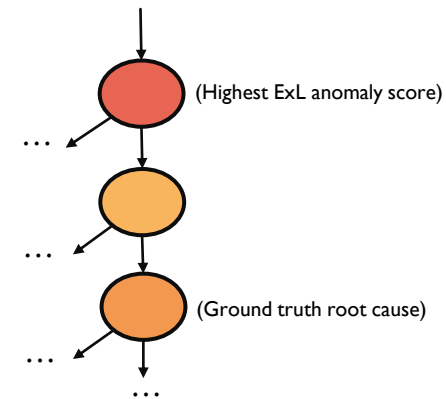
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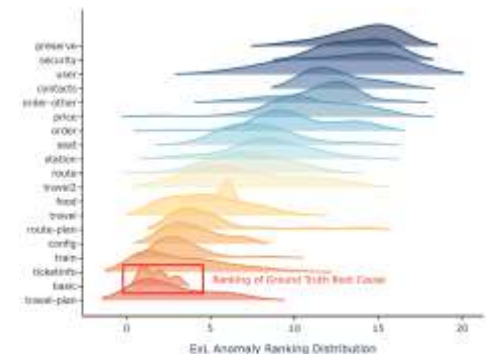
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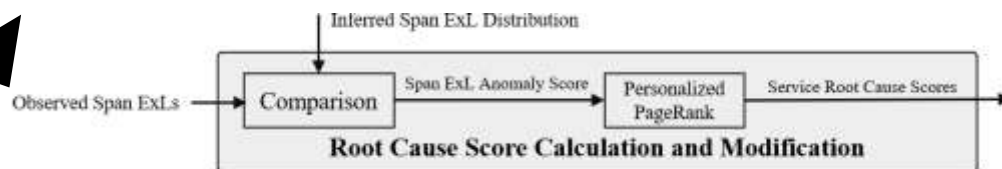
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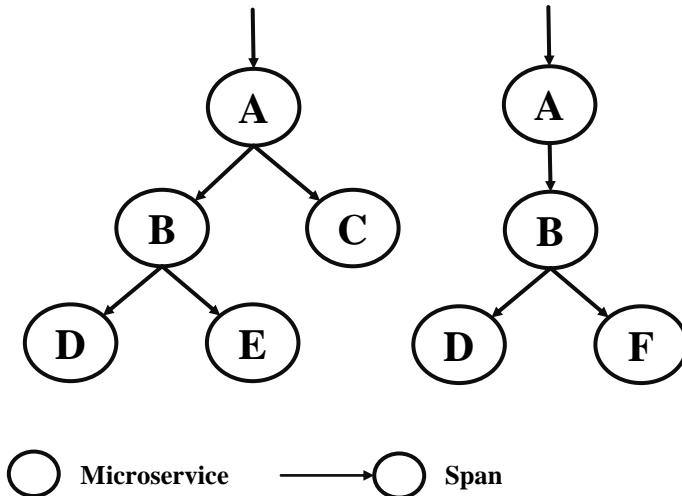


Design: Concepts and Empirical Insights

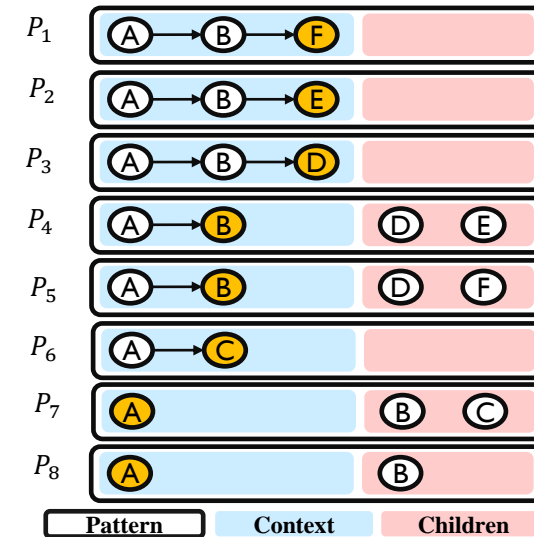


Concepts & Definitions

- **Pattern** of a span
 - **Context** upstream microservice **list**
 - **Children Set** downstream microservice **set**



Two Example Traces



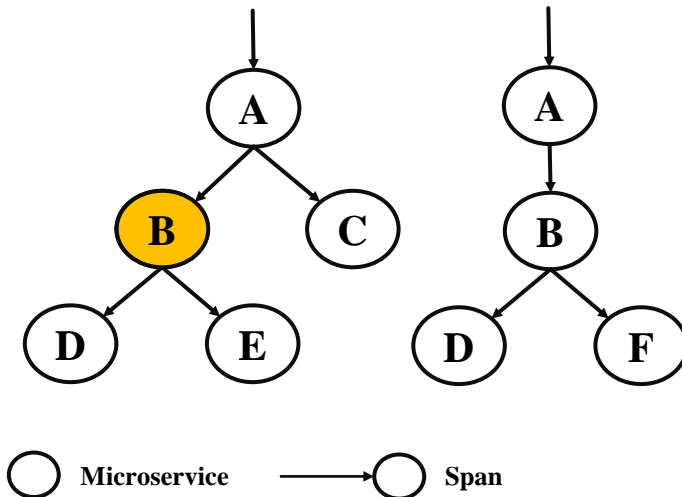
All Span Patterns in the Example Traces

Design: Concepts and Empirical Insights

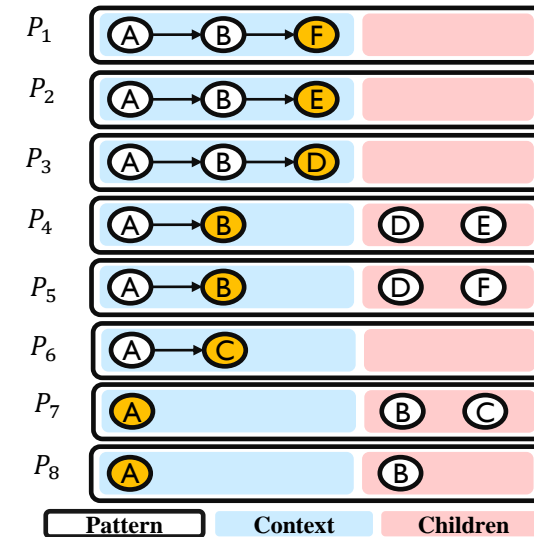


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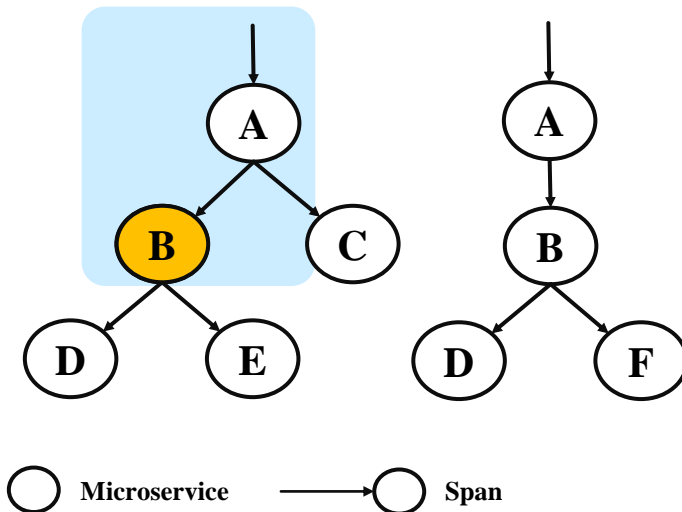
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Design: Concepts and Empirical Insights

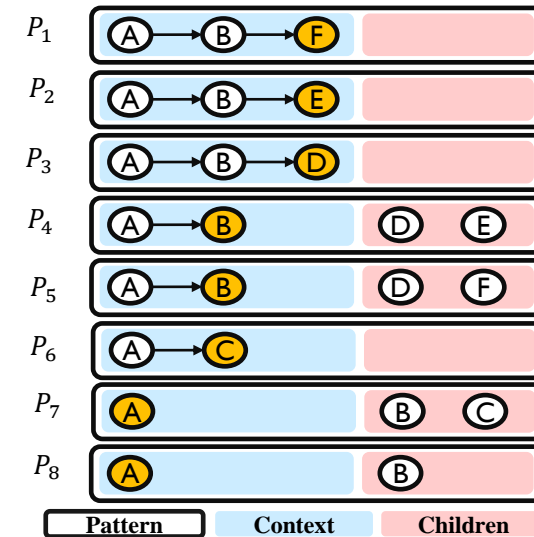


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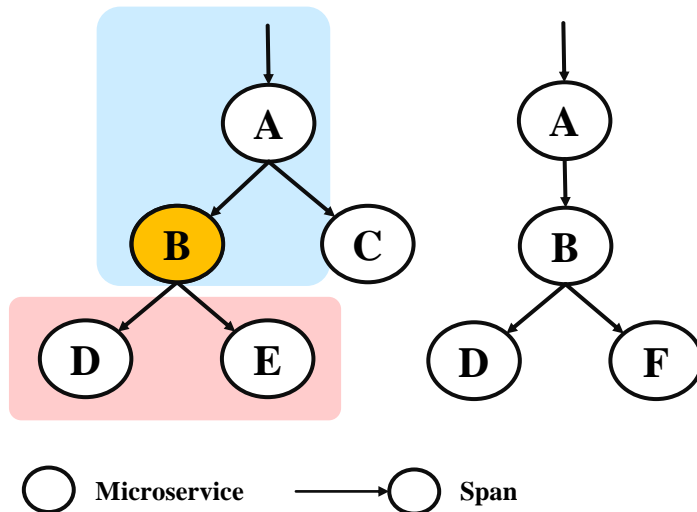
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Design: Concepts and Empirical Insights

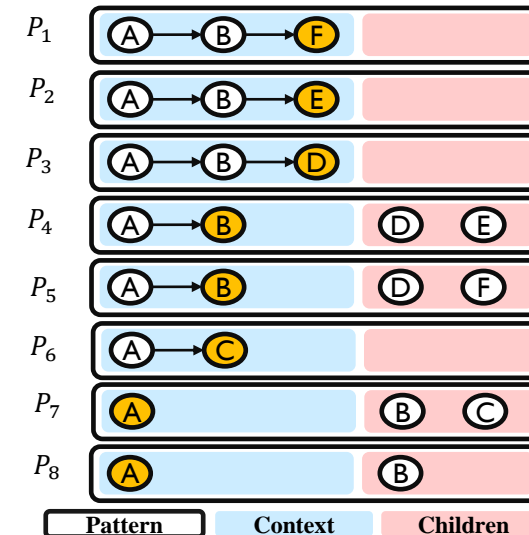


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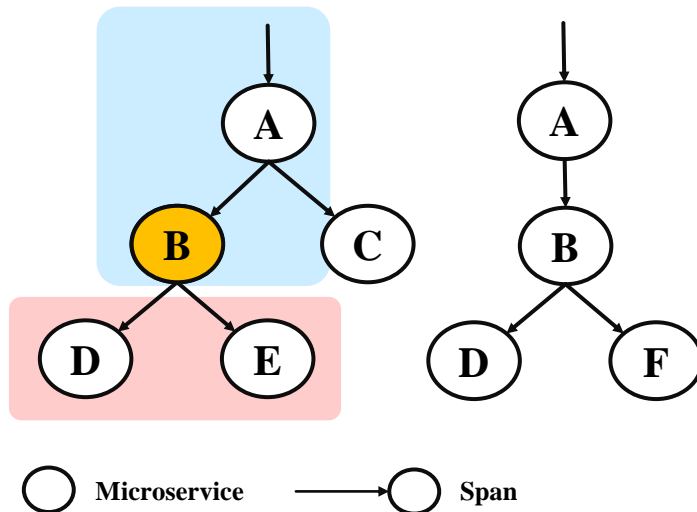
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Design: Concepts and Empirical Insights

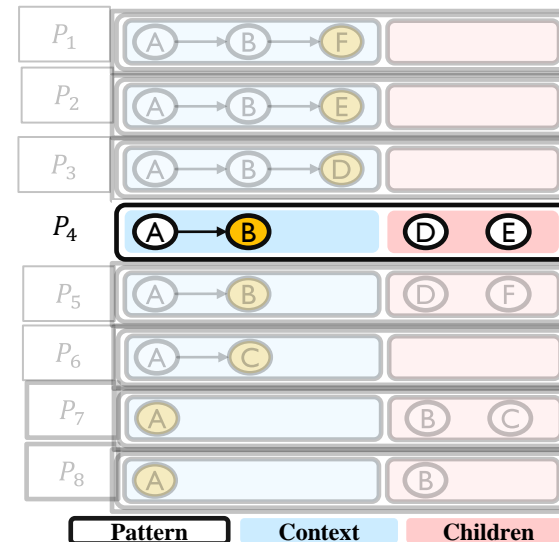


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Two Example Traces



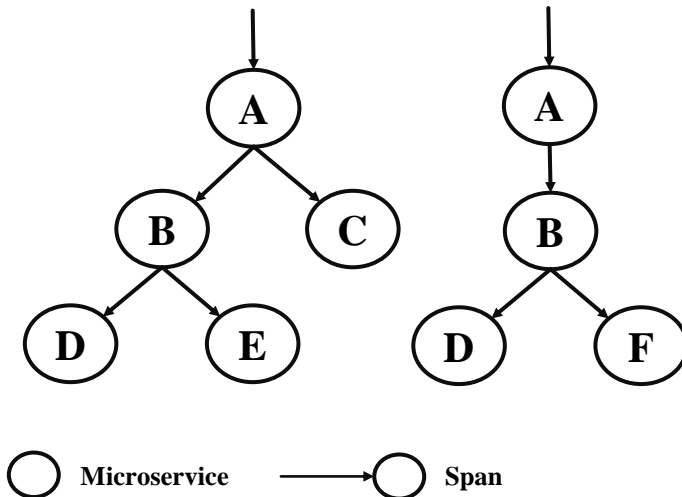
All Span Patterns in the Example Traces

Design: Concepts and Empirical Insights

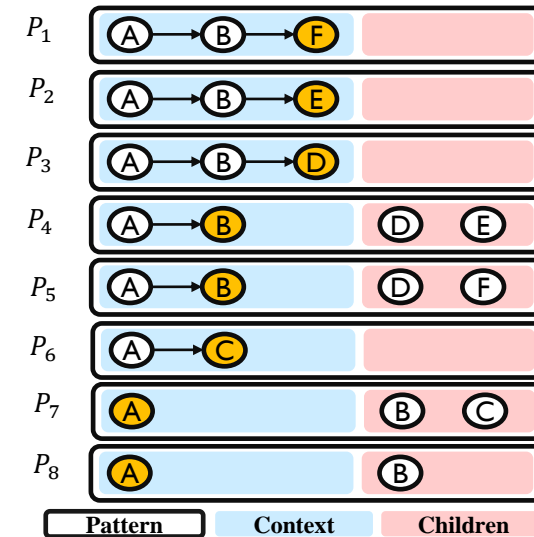


Concepts & Definitions

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Two Example Traces



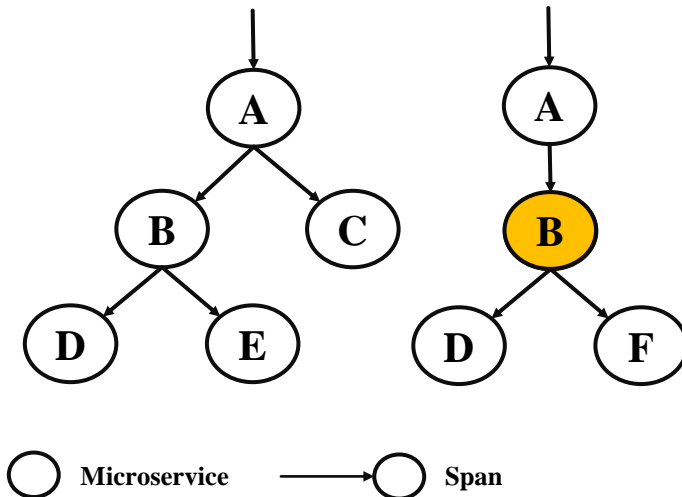
All Span Patterns in the Example Traces

Design: Concepts and Empirical Insights

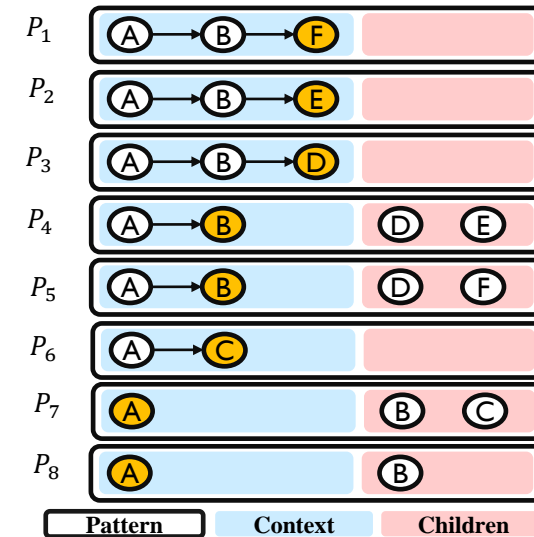


Concepts & Definitions

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Two Example Traces



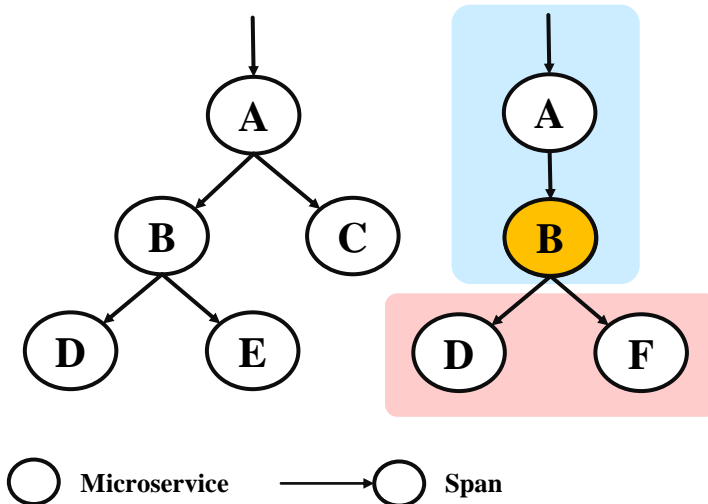
All Span Patterns in the Example Traces

Design: Concepts and Empirical Insights

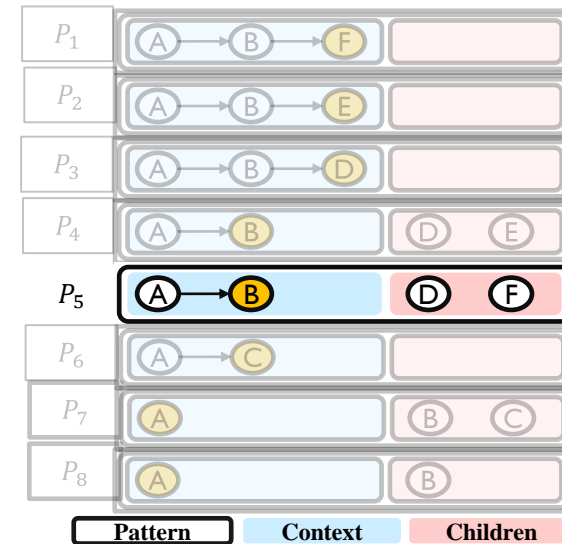


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Two Example Traces



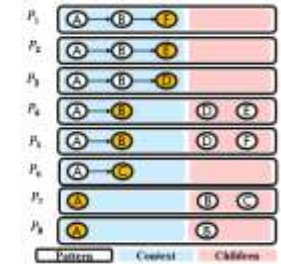
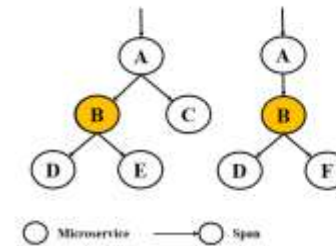
All Span Patterns in the Example Traces

Design: Concepts and Empirical Insights



Concepts & Definitions

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Design: Concepts and Empirical Insights

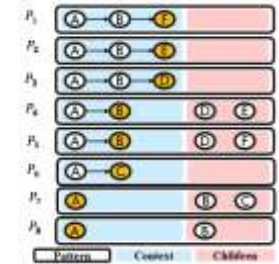
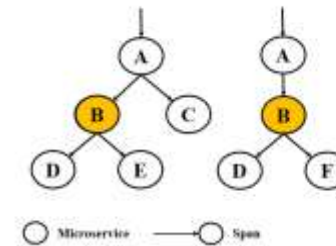


Concepts & Definitions

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Why is the span pattern important?



Design: Concepts and Empirical Insights

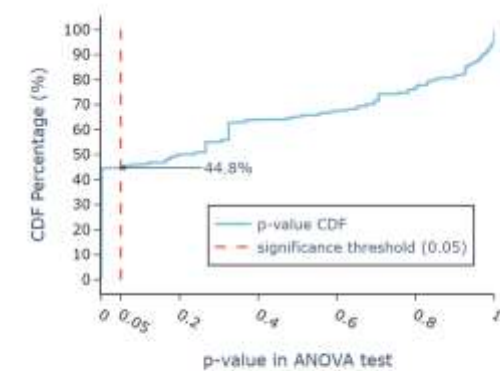
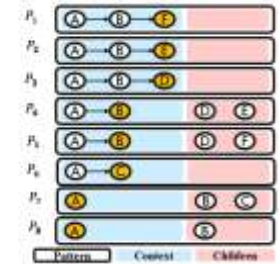
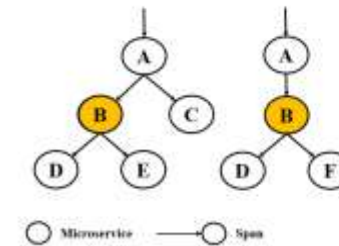


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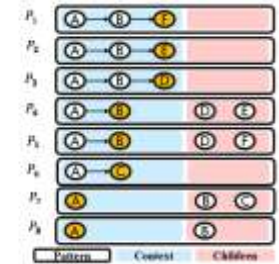
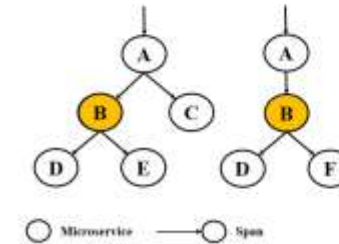
Relevance Hypothesis Test

Design: Concepts and Empirical Insights



Concepts & Definitions

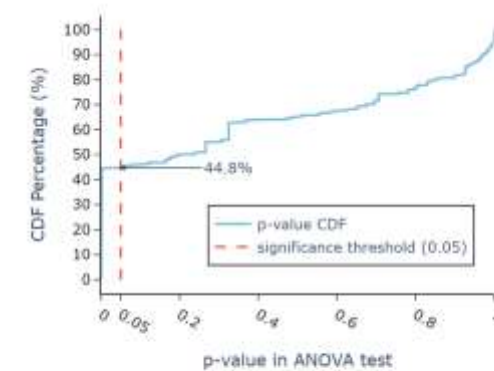
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 - **Children Set** downstream microservice **set**



Why is the span pattern important?



The **latency** of nearly half of the spans is **significantly related** to their **contexts**



Relevance Hypothesis Test

Design: Concepts and Empirical Insights



Concepts & Definitions

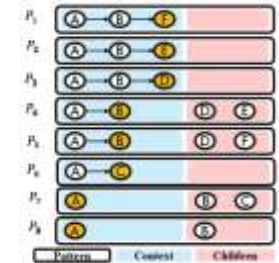
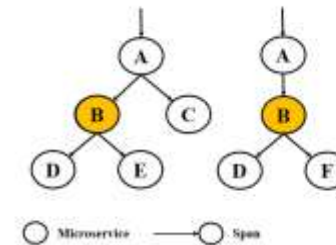
- **Pattern** of a span
 - **Context** upstream microservice **list**
 - **Children Set** downstream microservice **set**



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Design: Concepts and Empirical Insights



Concepts & Definitions

- **Pattern** of a span
 - **Context** upstream microservice **list**
 - **Children Set** downstream microservice **set**



Why is the span pattern important?



The **latency** of nearly half of the spans is **significantly related** to their **contexts**



The **latency** of about 60% of the spans is **significantly related** to their **call numbers to children**

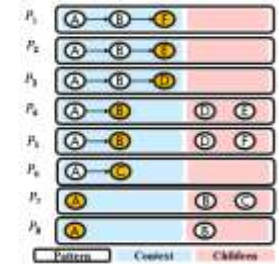
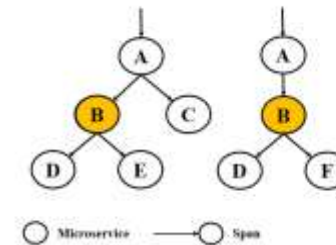
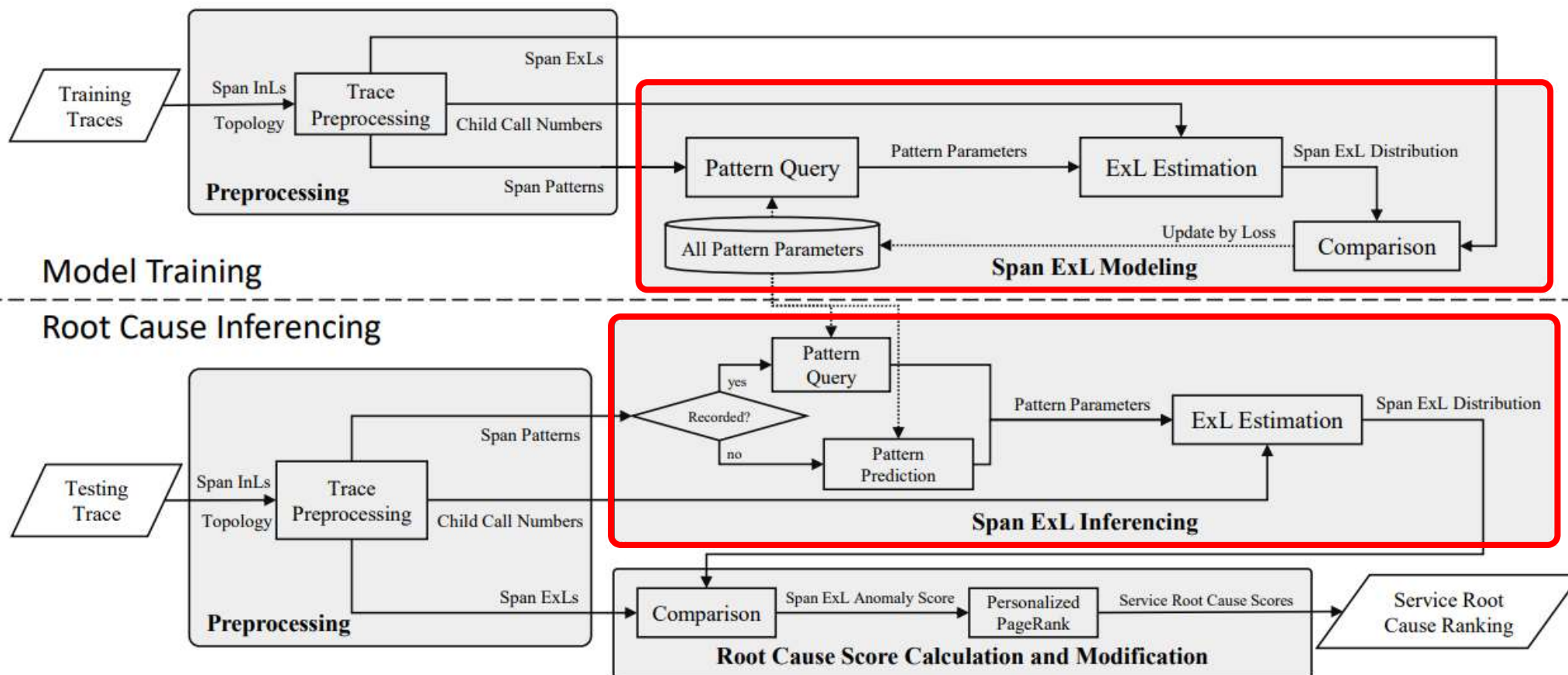


TABLE VIII: Percentage of context-aware spans with ExL relevant and irrelevant to the number of calls to child microservices.

Category	H_0 : Irrelevant	p-value	Pct. of Context (%)	
			ANOVA	Kruskal-Wallis
Relevant	Reject	< 0.05	59.6%	63.4%
Irrelevant	Accept	≥ 0.05	40.4%	36.6%

Relevance Hypothesis Test

Overview of SparseRCA

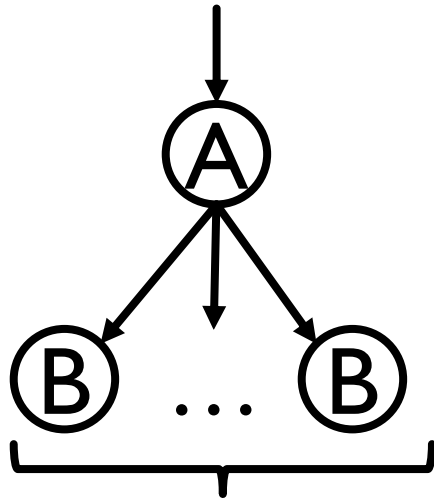


Workflow of SparseRCA

Design: Span ExL Modeling & Inferencing



? Modeling ExL of a Span: From a Toy Example

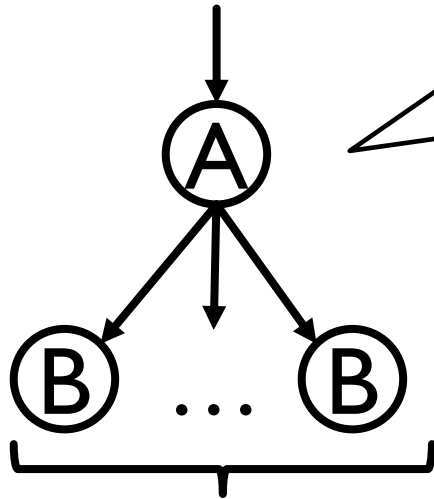


Service A which calls Service B for n times

Design: Span ExL Modeling & Inferencing



? Modeling ExL of a Span: From a Toy Example



Service A which calls Service B for n times

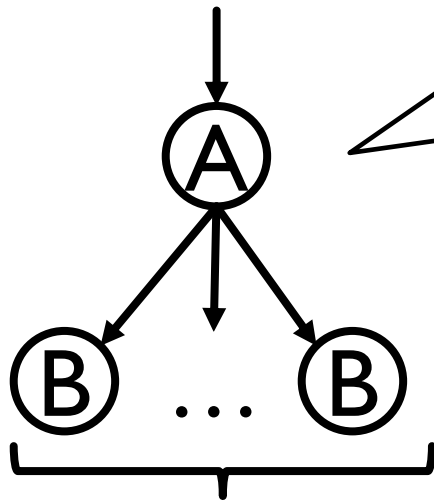
```
ServiceAOnRequest(request){  
    preprocessRequest(request)  
  
    loop  $n$  times{  
        preprocessBeforeCallChild()  
        callMicroserviceB()  
        postprocessResponseFromChild()  
    }  
  
    postprocessResponse()  
    exceptionCaseProcess()  
}
```

Pseudocode of Service A

Design: Span ExL Modeling & Inferencing



? Modeling ExL of a Span: From a Toy Example



Service A which calls Service B for n times

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ServiceAOnRequest(request){
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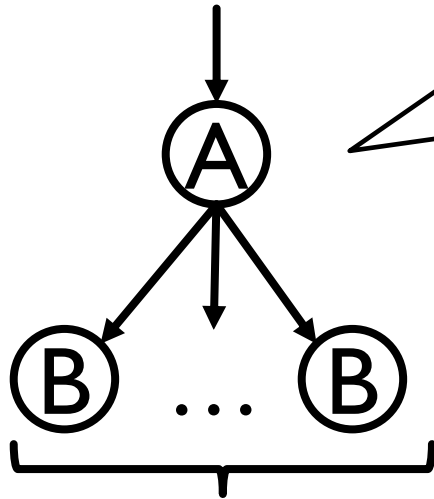
Pseudocode of Service A



InL of Service B

Design: Span ExL Modeling & Inferencing

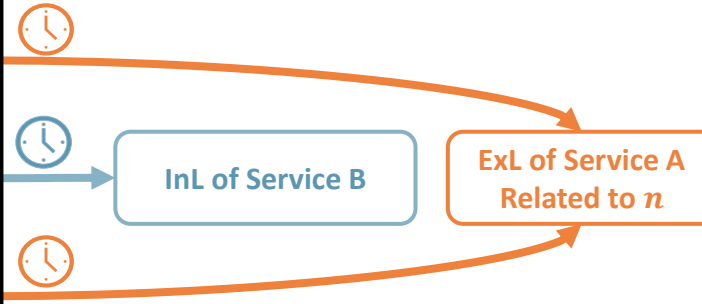
? Modeling ExL of a Span: From a Toy Example



Service A which calls Service B for n times

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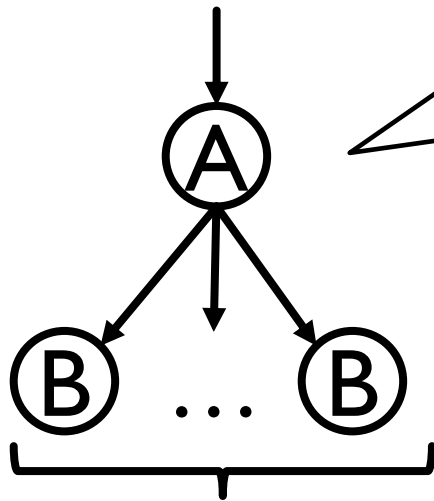
Pseudocode of Service A





Design: Span ExL Modeling & Inferencing

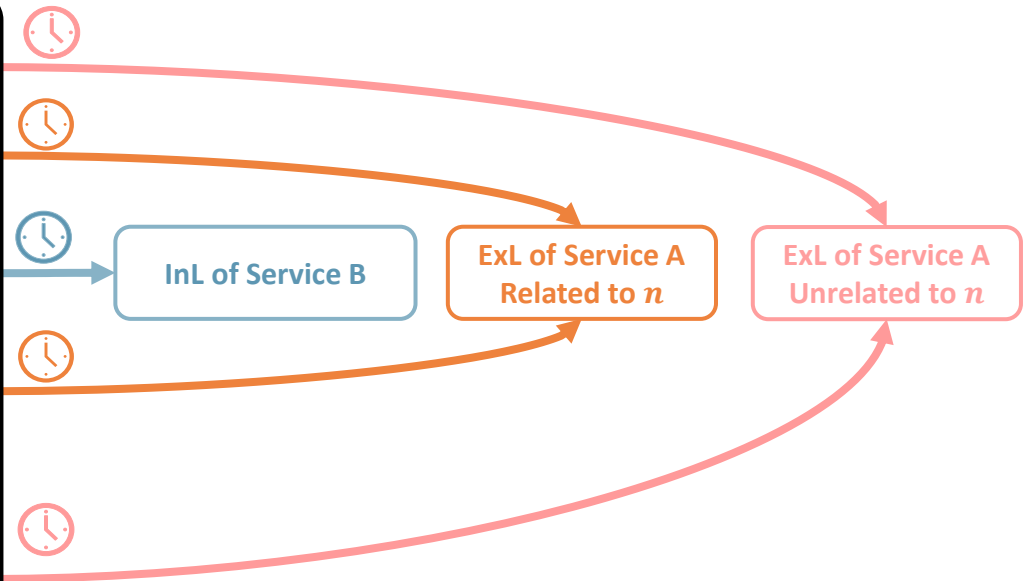
? Modeling ExL of a Span: From a Toy Example



Service A which calls Service B for n times

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}
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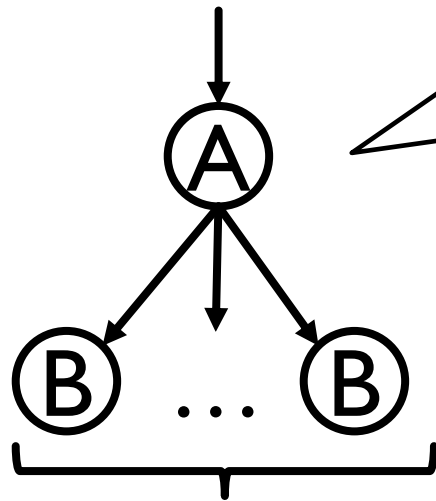
Pseudocode of Service A





Design: Span ExL Modeling & Inferencing

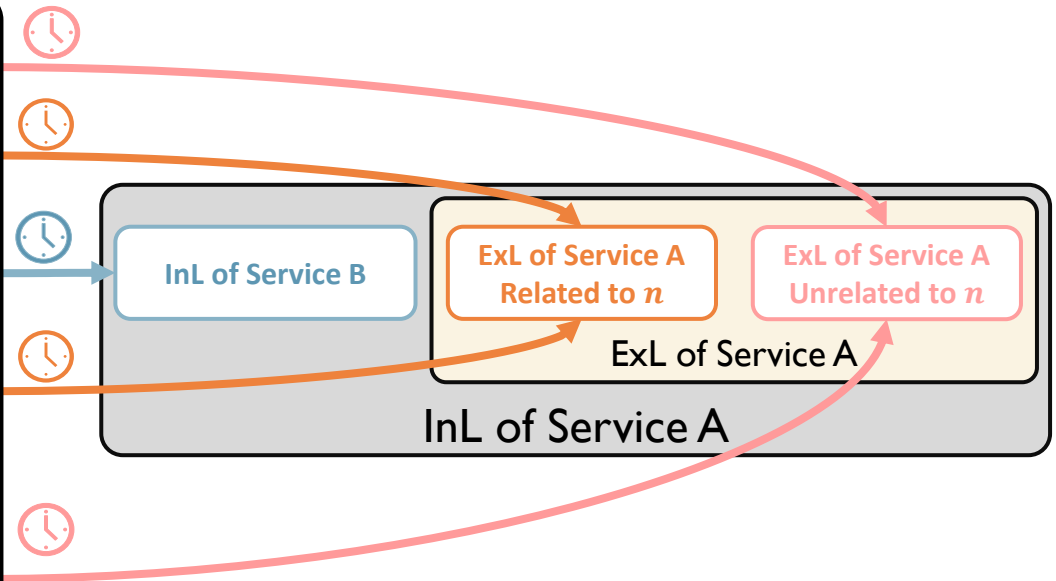
? Modeling ExL of a Span: From a Toy Example



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Pseudocode of Service A

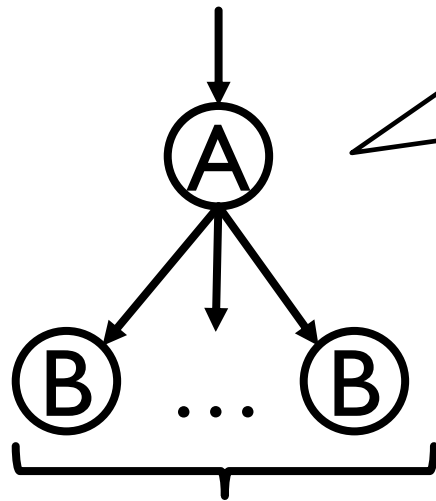


Design: Span ExL Modeling & Inferencing

Modeling ExL of a Span: From a Toy Example

There are Two parts of ExL:

- n -related
- n -unrelated

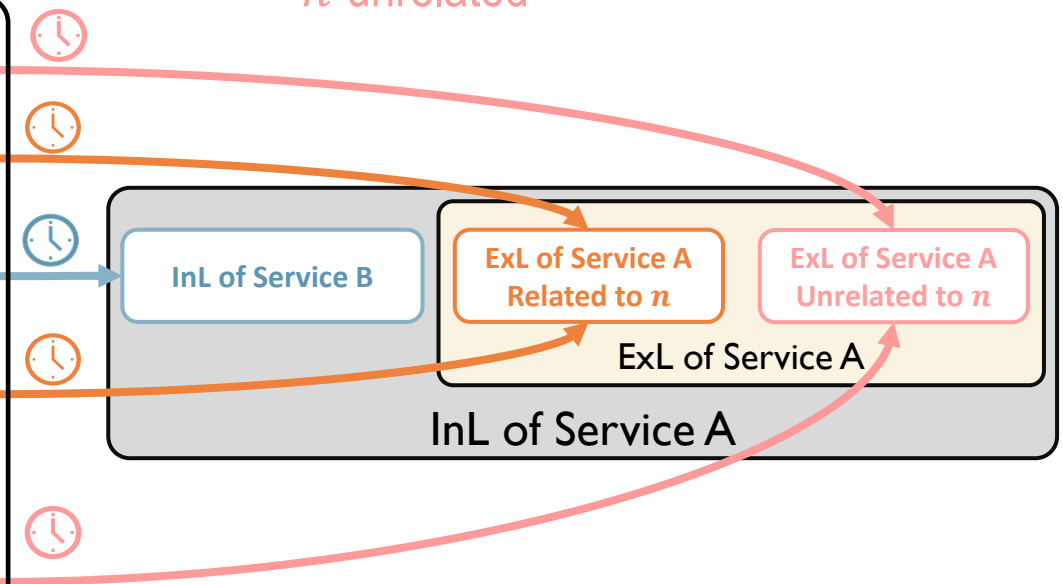


Service A which calls Service B for n times

```

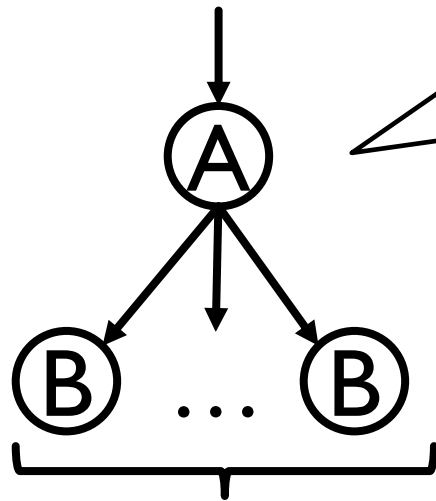
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Pseudocode of Service A



Design: Span ExL Modeling & Inferencing

Modeling ExL of a Span: From a Toy Example



Service A which calls Service B for n times

```

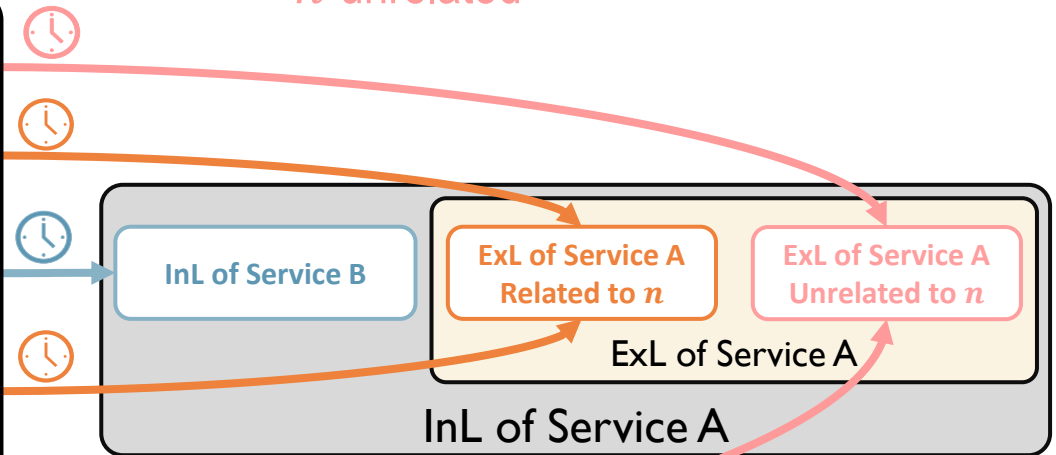
ServiceAOnRequest(request){
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Pseudocode of Service A



There are Two parts of ExL:

- n -related
- n -unrelated



Abnormal ExL indicates the abnormal service code execution:

- Unexpected code branch
- Unexpected queueing delays
- Unexpected abortion
- ...

Design: Span ExL Modeling & Inferencing

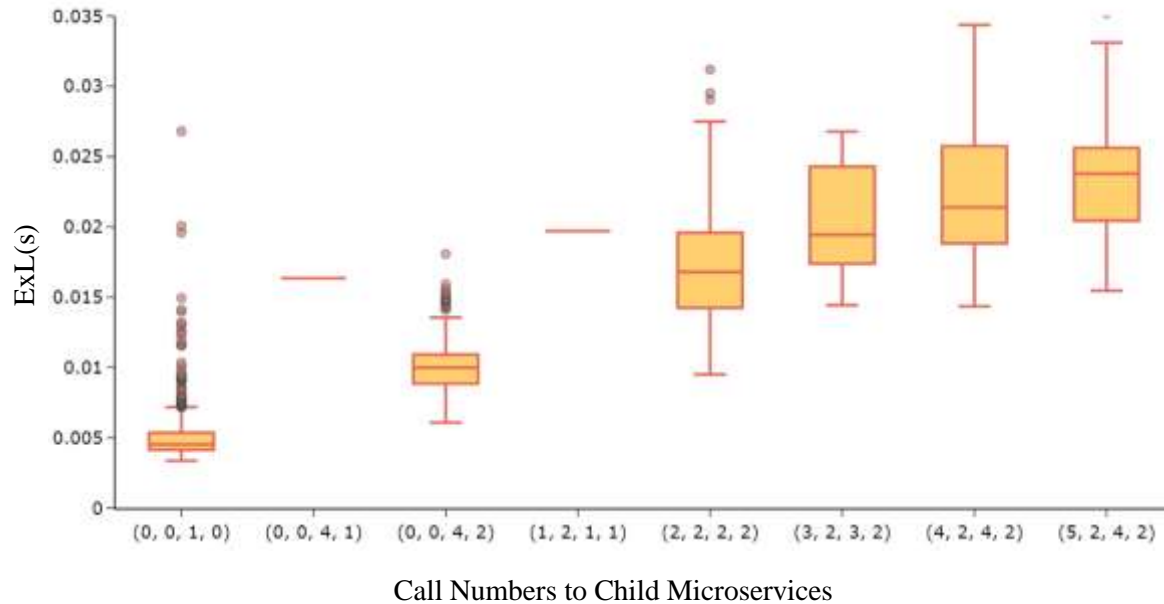


Modeling ExL of a Span: Verified in Real-world Case



There are Two parts of ExL:

- *n*-related
- *n*-unrelated



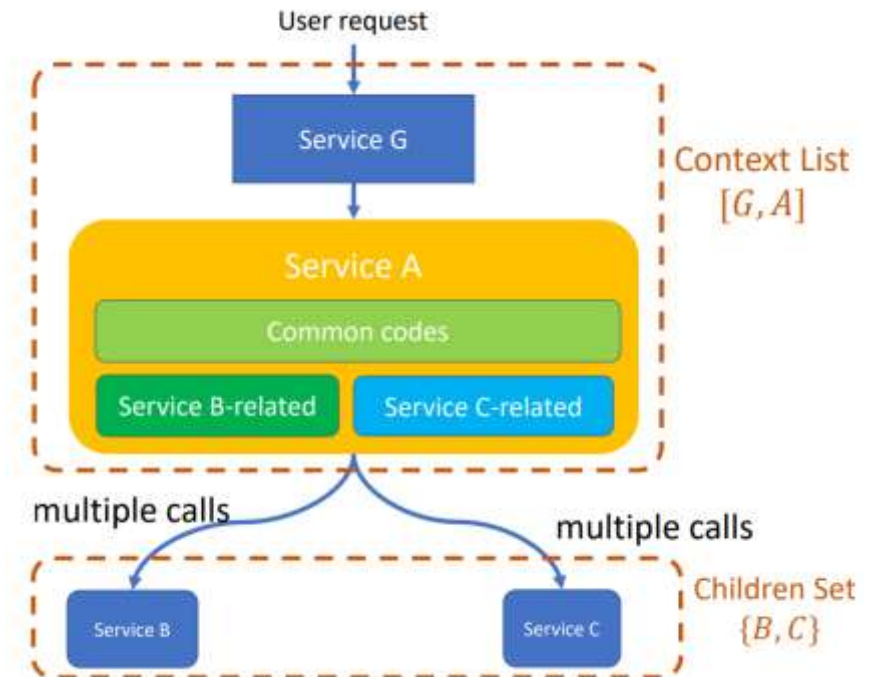
Abnormal ExL indicates the abnormal service code execution:

- Unexpected code branch
- Unexpected queueing delays
- Unexpected early abortion
- ...

Design: Span ExL Modeling & Inferencing



Modeling the ExL of span S_i

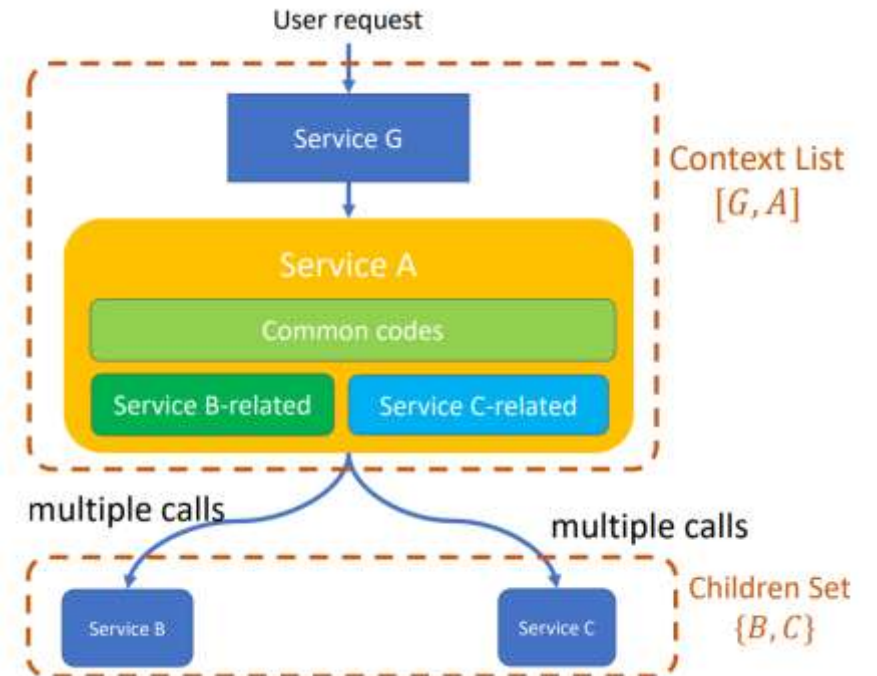


Design: Span ExL Modeling & Inferencing



Modeling the ExL of span S_i

$$ET(S_i) = R(\theta(P(S_i))) + C(\theta(P(S_i))) \cdot \mathbf{N}(S_i)$$



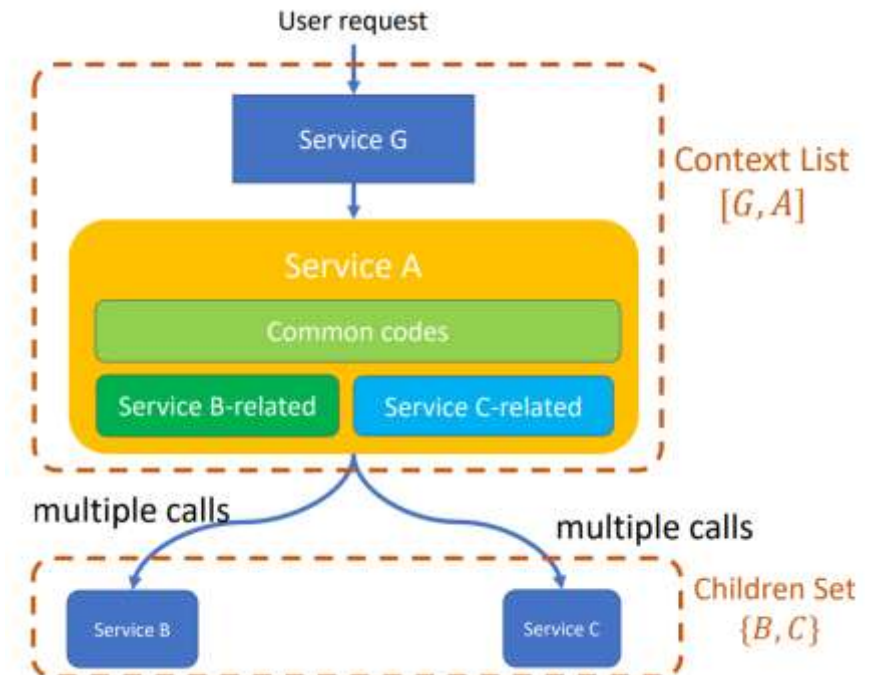
Design: Span ExL Modeling & Inferencing



Modeling the ExL of span S_i

$$ET(S_i) = R(\theta(P(S_i))) + \mathbf{C}(\theta(P(S_i))) \cdot \mathbf{N}(S_i)$$

- $ET(S_i)$: the Expected ExL distribution of span S_i
- $P(S_i)$: the pattern of S_i , $P(S_i) = ([G, A], \{B, C\})$
- R : the ExL components **unrelated** to the downstream call numbers
- \mathbf{C} : the ExL components **related** to the call numbers to each of the downstream nodes
- $\mathbf{N}(S_i)$: call numbers to each of the child microservices
- $\theta(P(S_i))$: the pattern parameters (learned during training)

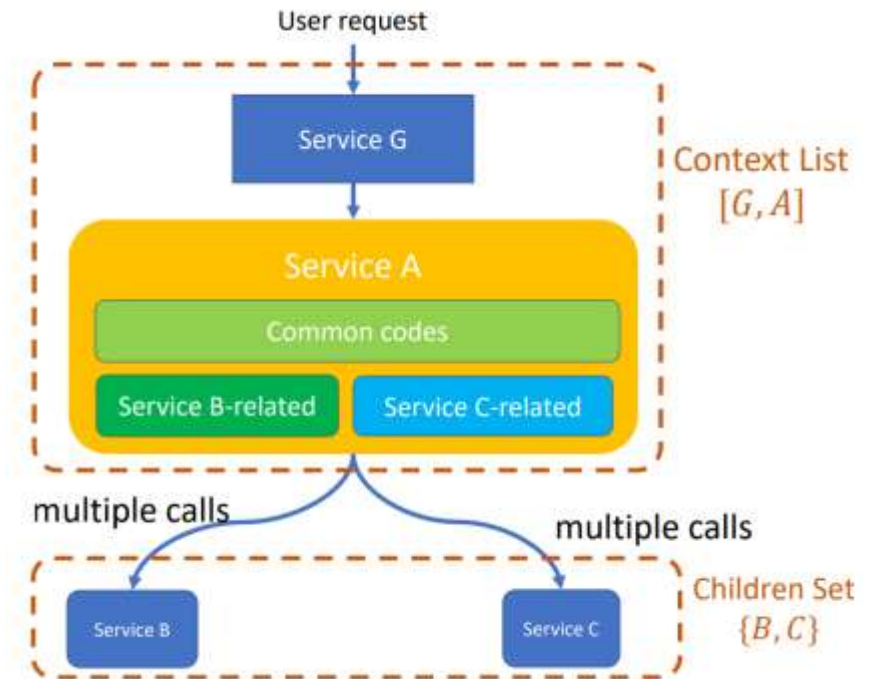


Design: Span ExL Modeling & Inferencing



Modeling the ExL of span S_i

$$ET(S_i) = R(\theta(P(S_i))) + C(\theta(P(S_i))) \cdot \mathbf{N}(S_i)$$



Design: Span ExL Modeling & Inferencing



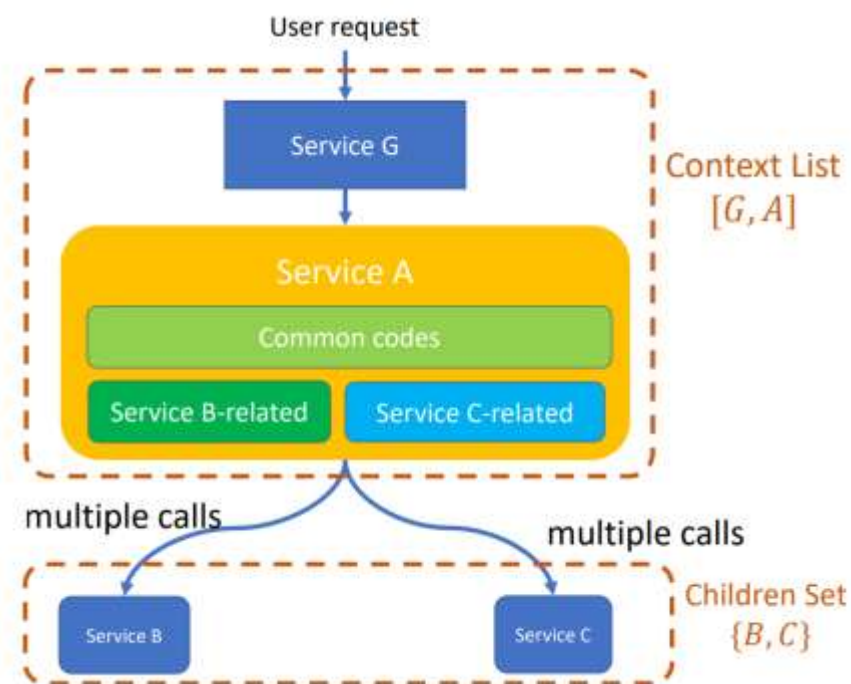
Modeling the ExL of span S_i

$$ET(S_i) = R(\theta(P(S_i))) + \mathbf{C}(\theta(P(S_i))) \cdot \mathbf{N}(S_i)$$

Gaussian Noise Assumption

$$R \sim \mathcal{N}(t_R(P(S_i)), \sigma_R^2(P(S_i)))$$

$$\mathbf{C} \sim \mathcal{N}(\mathbf{t}_C(P(S_i)), \sigma_C^2(P(S_i)))$$



Design: Span ExL Modeling & Inferencing



Modeling the ExL of span S_i

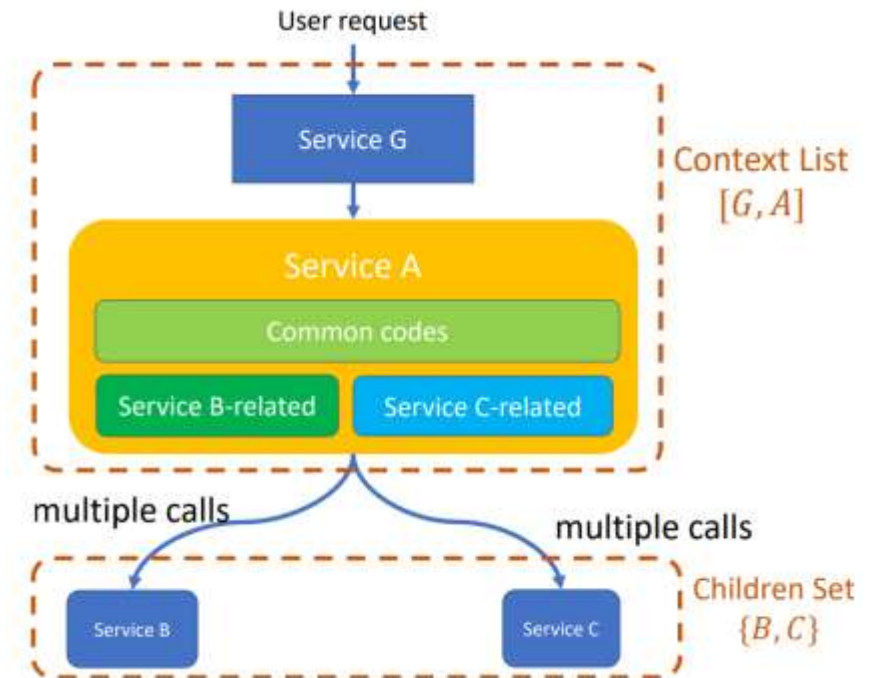
$$ET(S_i) = R(\theta(P(S_i))) + \mathbf{C}(\theta(P(S_i))) \cdot \mathbf{N}(S_i)$$

Gaussian Noise Assumption

$$R \sim \mathcal{N}(t_R(P(S_i)), \sigma_R^2(P(S_i)))$$

$$\mathbf{C} \sim \mathcal{N}(t_C(P(S_i)), \sigma_C^2(P(S_i)))$$

Theoretically derived by LSM



Design: Span ExL Modeling & Inferencing



Modeling the ExL of span S_i

$$ET(S_i) = R(\theta(P(S_i))) + \mathbf{C}(\theta(P(S_i))) \cdot \mathbf{N}(S_i)$$

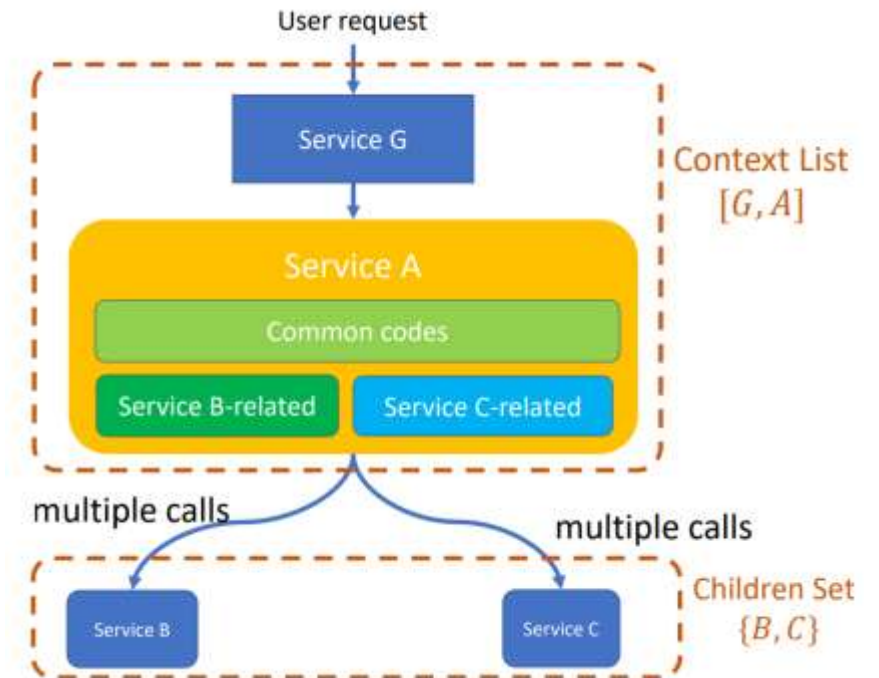
Gaussian Noise Assumption

$$R \sim \mathcal{N}(t_R(P(S_i)), \sigma_R^2(P(S_i)))$$

$$\mathbf{C} \sim \mathcal{N}(\mathbf{t}_C(P(S_i)), \sigma_C^2(P(S_i)))$$

Theoretically derived by LSM

Approximated by EM



Design: Span ExL Modeling & Inferencing



Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$

Design: Span ExL Modeling & Inferencing



 known  unknown

Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Design: Span ExL Modeling & Inferencing

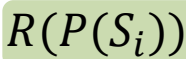
 known  unknown

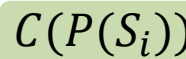
Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Learned Patterns

 $R(P(S_i))$

 $C(P(S_i))$

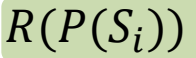
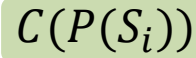


Design: Span ExL Modeling & Inferencing

 known  unknown

Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$

Learned Patterns  $R(P(S_i))$  $C(P(S_i))$

Inference Stage



Design: Span ExL Modeling & Inferencing

 known  unknown

Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Learned Patterns  $R(P(S_i))$  $C(P(S_i))$

Inference Stage

Ideal:

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Design: Span ExL Modeling & Inferencing

 known  unknown

Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Learned Patterns  $R(P(S_i))$  $C(P(S_i))$

Inference Stage

Ideal:

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$

Reality:

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Design: Span ExL Modeling & Inferencing

 known  unknown

Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Learned Patterns  $R(P(S_i))$  $C(P(S_i))$

Inference Stage

Ideal:

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$

Reality:

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$

Testing Environment



The environment is frequently updated

- **New** microservices and calls emerge frequently



Design: Span ExL Modeling & Inferencing

 known  unknown

Training Stage

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Learned Patterns  $R(P(S_i))$  $C(P(S_i))$

Inference Stage

Reality:

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$

Testing Environment



The environment is frequently updated

- **New** microservices and calls emerge frequently



Modeling for Pattern Unrecorded



Design: Span ExL Modeling & Inferencing

known unknown

Training Stage

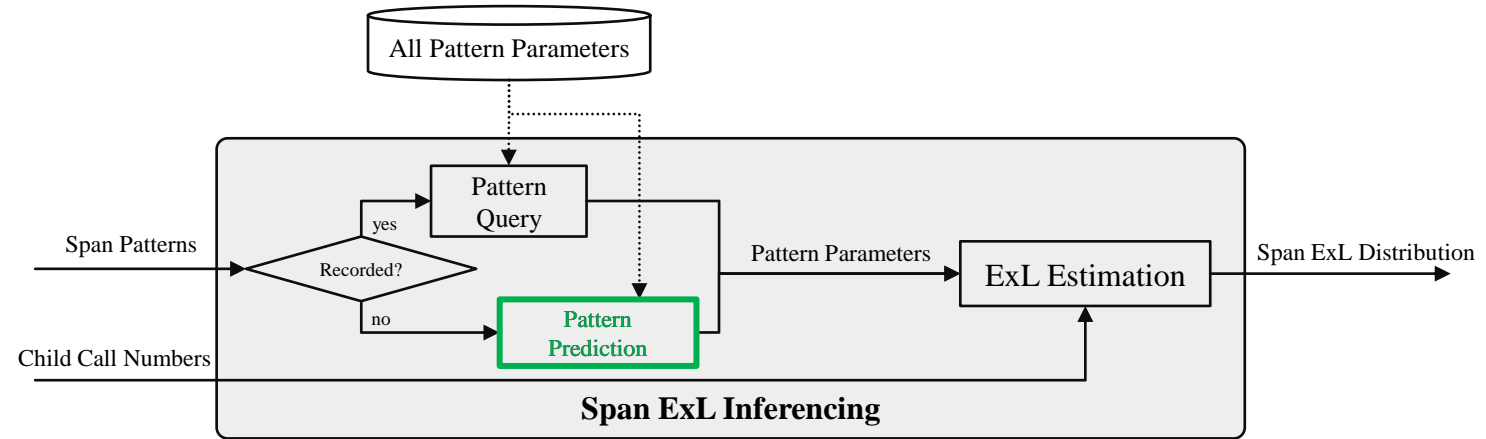
$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$

Learned Patterns $R(P(S_i))$ $C(P(S_i))$

Inference Stage

Reality:

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Testing Environment



The environment is frequently updated

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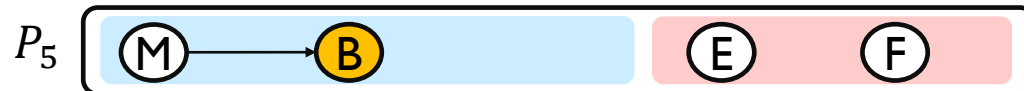
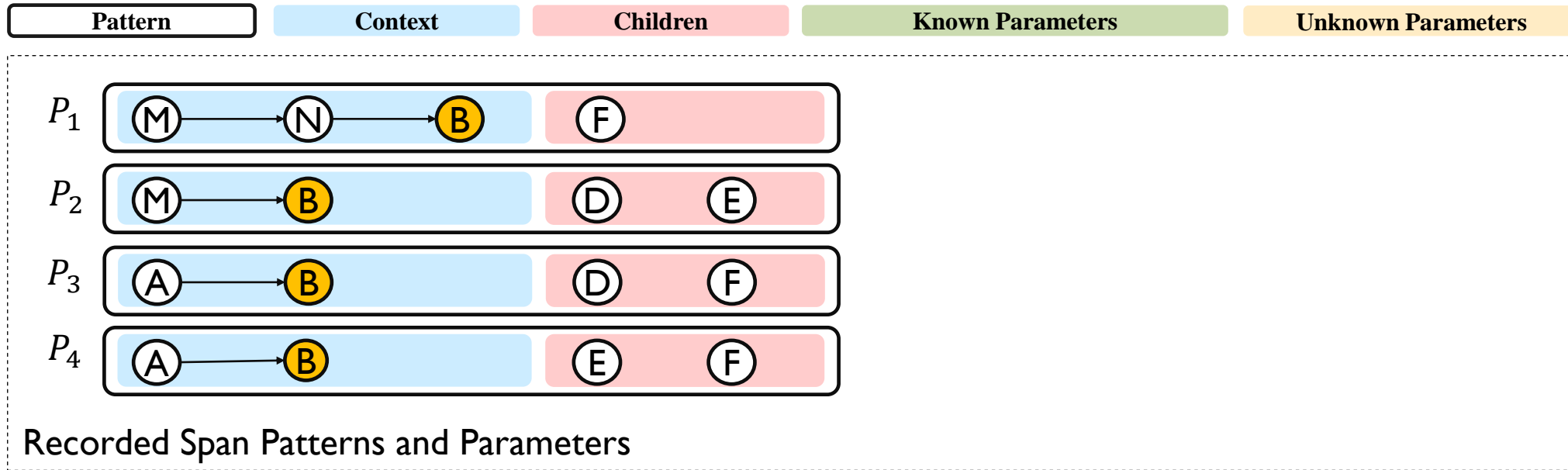


Modeling for Pattern Unrecorded

Design: Span ExL Modeling & Inferencing



Predict Unseen Pattern Parameters



Unrecorded Span Pattern

$R(P_5)$

$C_{B \rightarrow E}(P_5)$

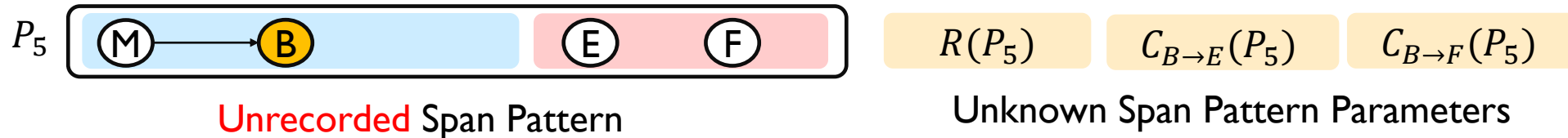
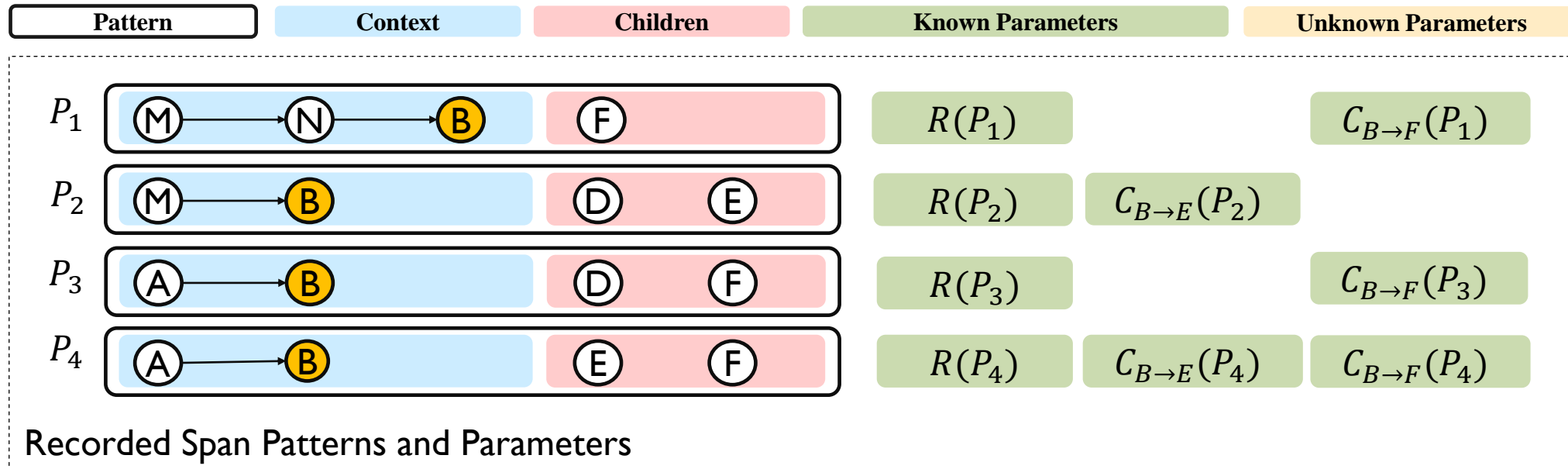
$C_{B \rightarrow F}(P_5)$

Unknown Span Pattern Parameters

Design: Span ExL Modeling & Inferencing



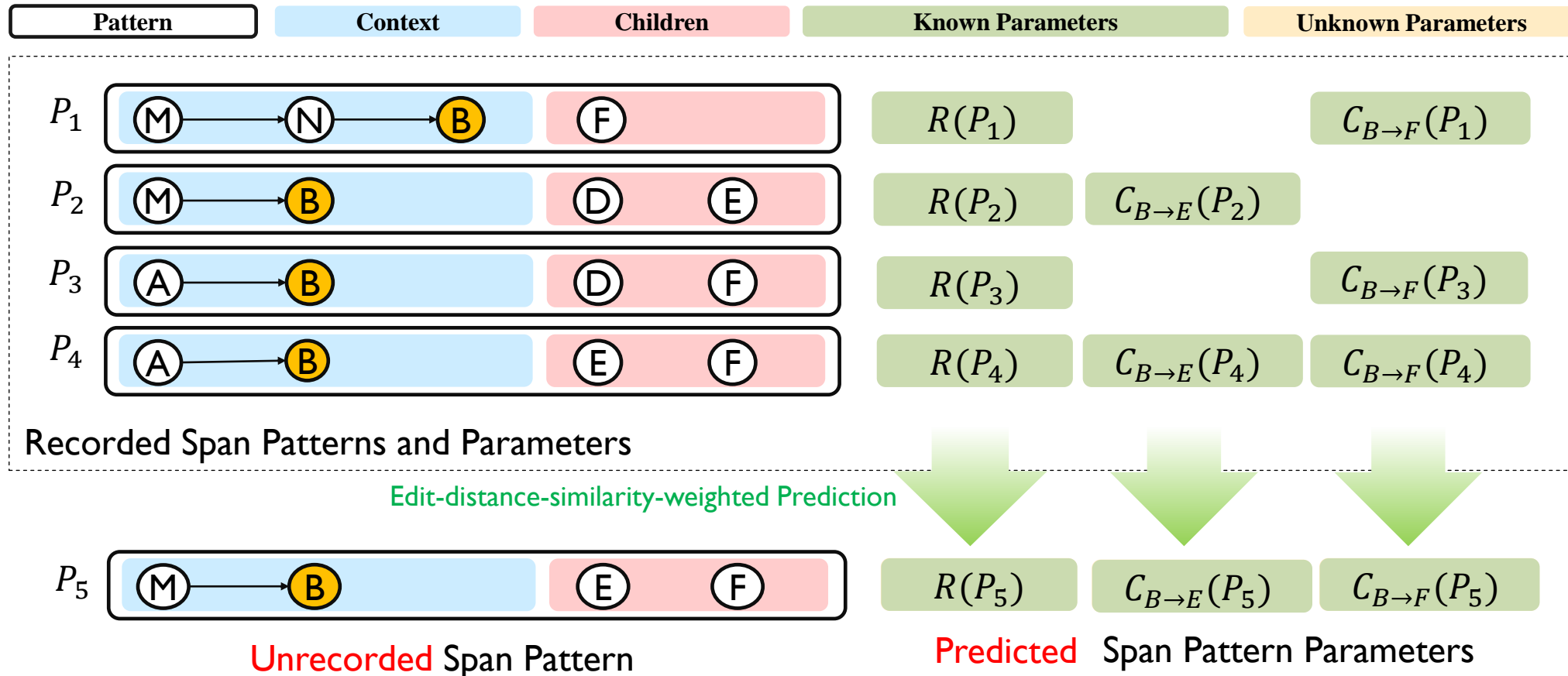
Predict Unseen Pattern Parameters



Design: Span ExL Modeling & Inferencing



Predict Unseen Pattern Parameters

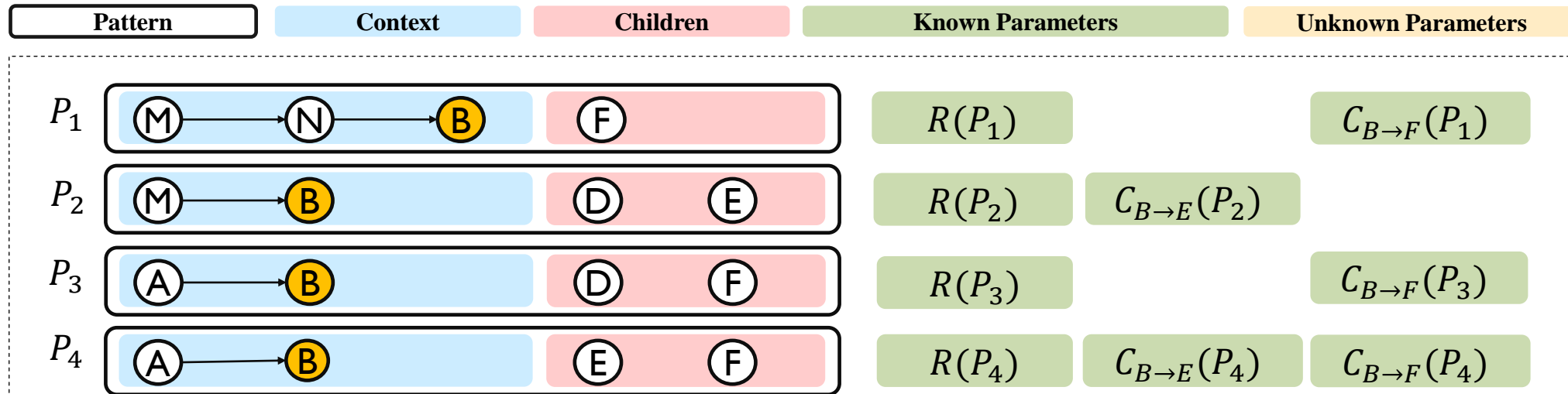


Design: Span ExL Modeling & Inferencing



Predict Unseen Pattern Parameters

$$ET(S_i) = R(P(S_i)) + C(P(S_i)) \cdot N(S_i)$$



Recorded Span Patterns and Parameters

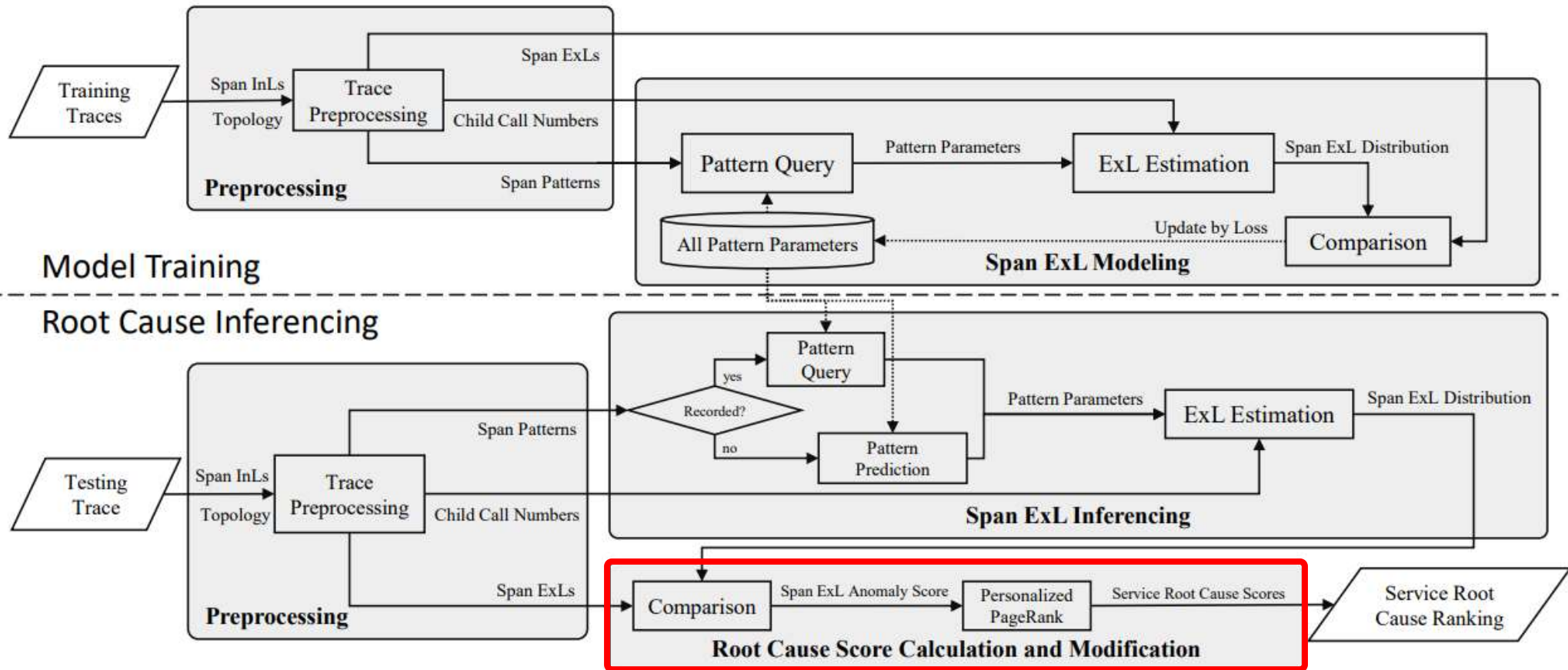
Edit-distance-similarity-weighted Prediction



Unrecorded Span Pattern

Predicted Span Pattern Parameters

Overview of SparseRCA



Workflow of SparseRCA

Design: Deriving and Optimizing Root Cause Scores



Naïve Root Cause Score



Design: Deriving and Optimizing Root Cause Scores

Naïve Root Cause Score

Standard Deviation



Relative Deviation

$$Y_{raw}(S_i) = \frac{(\text{ET}(S_i) - \mu(S_i))^2}{(\mu(S_i) + \epsilon) * (\sigma(S_i) + \epsilon)}$$



Design: Deriving and Optimizing Root Cause Scores

Naïve Root Cause Score

Standard Deviation

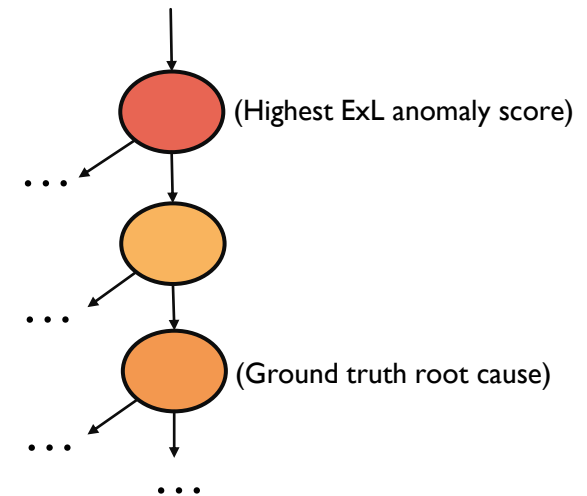


Relative Deviation

$$Y_{raw}(S_i) = \frac{(\text{ET}(S_i) - \mu(S_i))^2}{(\mu(S_i) + \epsilon) * (\sigma(S_i) + \epsilon)}$$



RCA cannot **fully** depend on ExL anomalies because **anomalous high ExLs may also appear in ancestor nodes**





Design: Deriving and Optimizing Root Cause Scores

Naïve Root Cause Score

Standard Deviation



Relative Deviation

$$Y_{raw}(S_i) = \frac{(ET(S_i) - \mu(S_i))^2}{(\mu(S_i) + \epsilon) * (\sigma(S_i) + \epsilon)}$$

Root Cause Score Modification

Personalized PageRank

Redistribute the root cause scores

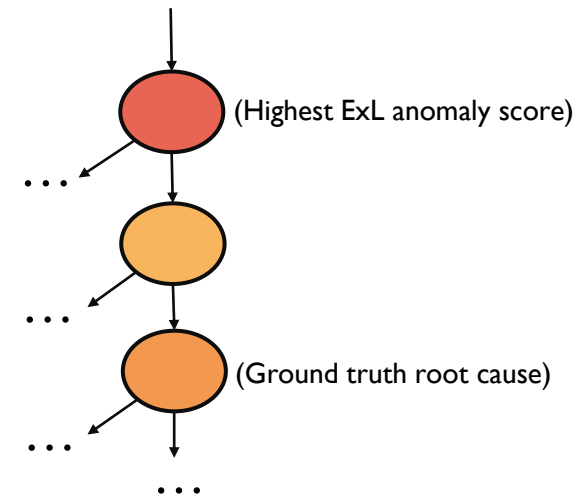
$$Y_{mod}^{(t+1)}(\mathbf{S}) = \alpha Y_{raw}(\mathbf{S}) + (1 - \alpha) \mathbf{M} \times Y_{mod}^{(t)}(\mathbf{S})$$

$$Y_{mod}^{(0)}(\mathbf{S}) = Y_{raw}(\mathbf{S})$$

$$Y_{final}(\mathbf{S}) = Y_{mod}^{(L)}(\mathbf{S})$$



RCA cannot fully depend on ExL anomalies because anomalous high ExLs may also appear in ancestor nodes



Most Anomalous

Least Anomalous

Exclusive Latency Anomaly Ranking



Design: Deriving and Optimizing Root Cause Scores

Naïve Root Cause Score

Standard Deviation



Relative Deviation

$$Y_{raw}(S_i) = \frac{(ET(S_i) - \mu(S_i))^2}{(\mu(S_i) + \epsilon) * (\sigma(S_i) + \epsilon)}$$

Root Cause Score Modification

Personalized PageRank

Redistribute the root cause scores

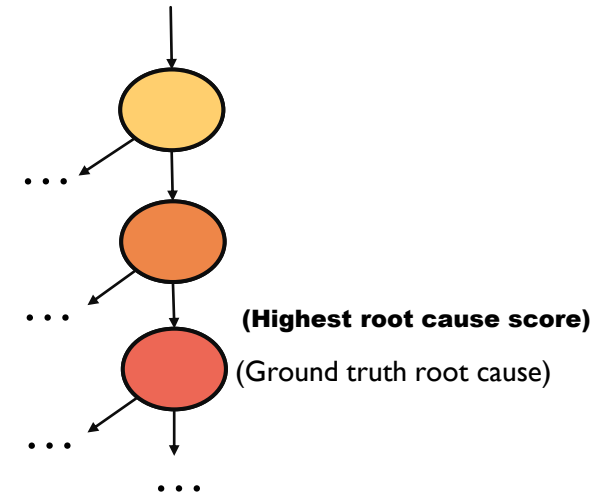
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$$Y_{final}(\mathbf{S}) = Y_{mod}^{(L)}(\mathbf{S})$$



RCA cannot fully depend on ExL anomalies because anomalous high ExLs may also appear in ancestor nodes





Outline

- Background
- Design
- Evaluation
- Summary



RQ1: Effectiveness

How does SparseRCA improve the accuracy of RCA in real-world TE dataset?



RQ2: Ablation Study

What is the individual and combined contribution of some designs in SparseRCA?



RQ3: Trace Sparsity Robustness

How does our model perform with even sparser traces?



Experiment Dataset

- Collected from the **real-world testing environment** in a datacenter in Hangzhou of Ant Group
- **6k+ traces** (SLO-satisfied and SLO-violated) as the **training set**
- The root cause of **120 SLO-violated traces** manually labeled serve as the **test set**
- The dataset covers **29 days** and involves **500+ services**

#Traces (train)	#Traces (test)	Overall (Duration)	#Services	AvgSrv (per trace)	AvgSpn (per trace)
6,080	120	29 days	507	10.6	38.7

Dataset Overview



Evaluation Metric

- Average Expected Top-k accuracy
- Tie-breaking with probability strategy

$$a_i = \begin{cases} \min(m, k - n + 1)/m & \text{if } n \leq k \\ 0 & \text{if } n > k \end{cases}$$

$$A@k = \frac{1}{T} \sum_{i=1}^T a_i \times 100\%$$

Comparison with Baselines

TABLE IV: Performance of SparseRCA and Baselines

	Model	Category	A@1 (%)	A@3 (%)	A@5 (%)
Baselines	MicroHECL	Stat-based Topology	19.3	26.4	39.5
	AutoMap	Stat-based Causality	40.7	50.6	61.5
	MicroScope	Stat-based Causality	40.3	66.3	73.0
	MicroRank	Trace InL & Spectrum	61.2	67.6	73.0
Ours	SparseRCA	Trace ExL & Topology	66.1	86.4	88.1

Evaluation RQ I: Effectiveness



Evaluation Metric

- Average Expected Top-k accuracy
- Tie-breaking with probability strategy

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SparseRCA outperforms baselines in TE

Evaluation RQ2: Ablation Study



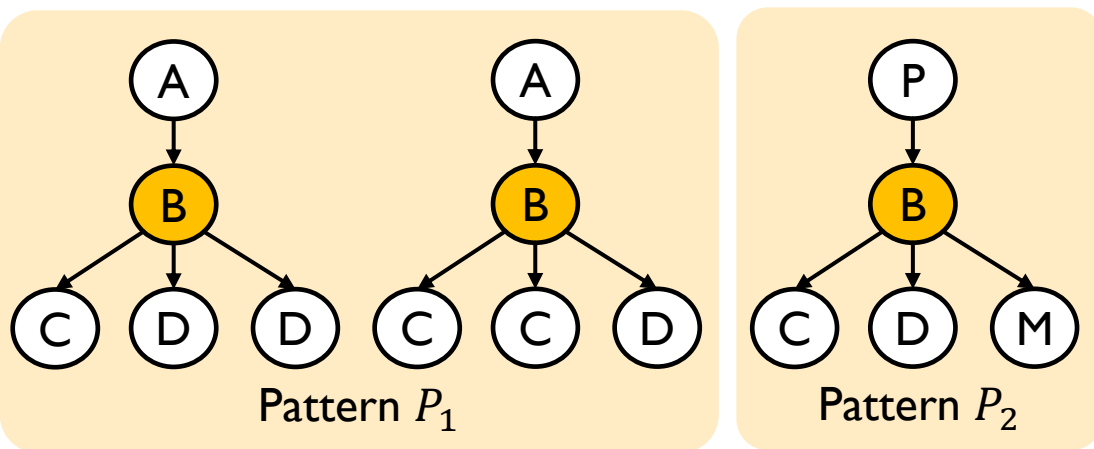
Analyzed Components

Evaluation RQ2: Ablation Study



Analyzed Components

PBM The Pattern-Based Modeling of the span ExLs (instead of the call-based)



PBM

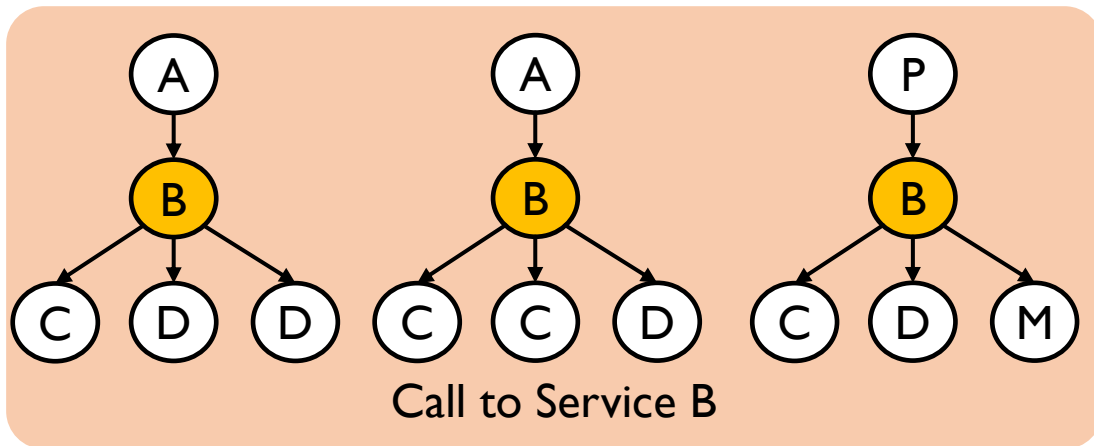
Distinguished Patterns

Evaluation RQ2: Ablation Study



Analyzed Components

PBM The Pattern-Based Modeling of the span ExLs (instead of the call-based)



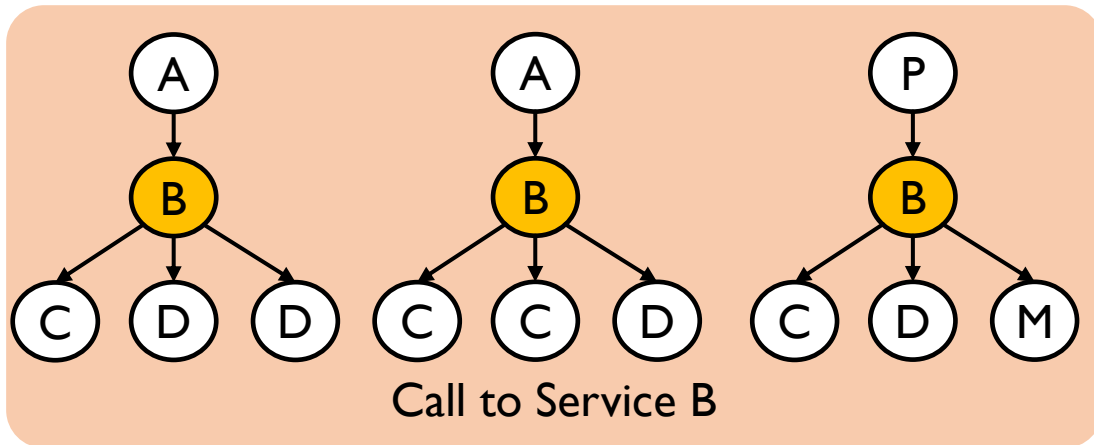
~~PBM~~

Same Calls

Evaluation RQ2: Ablation Study

Analyzed Components

- PBM** The **P**attern-Based **M**odeling of the span ExLs (instead of the call-based)
- DBA** The **D**istribution-Based **A**nomaly score of ExL (instead of expectation-based)



$$R \sim \mathcal{N}(t_R(P(S_i)), \sigma_R^2(P(S_i)))$$

$$C \sim \mathcal{N}(t_C(P(S_i)), \sigma_C^2(P(S_i)))$$

$$Y_{raw}(S_i) = \frac{(ET(S_i) - \mu(S_i))^2}{(\mu(S_i) + \epsilon) * (\sigma(S_i) + \epsilon)}$$

~~PBM~~

Same Calls

DBA

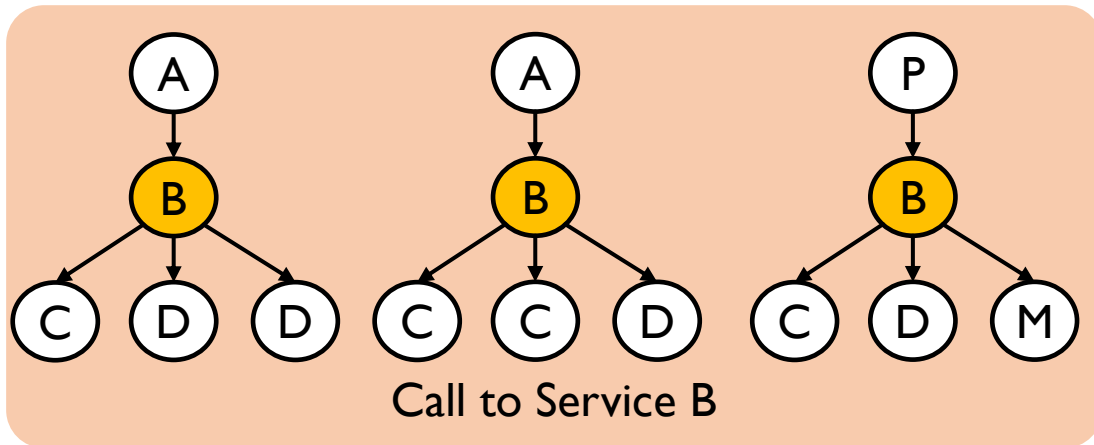
Evaluation RQ2: Ablation Study



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DBA The **D**istribution-Based **A**nomaly score of ExL (instead of expectation-based)



~~PBM~~

Same Calls

~~DBA~~

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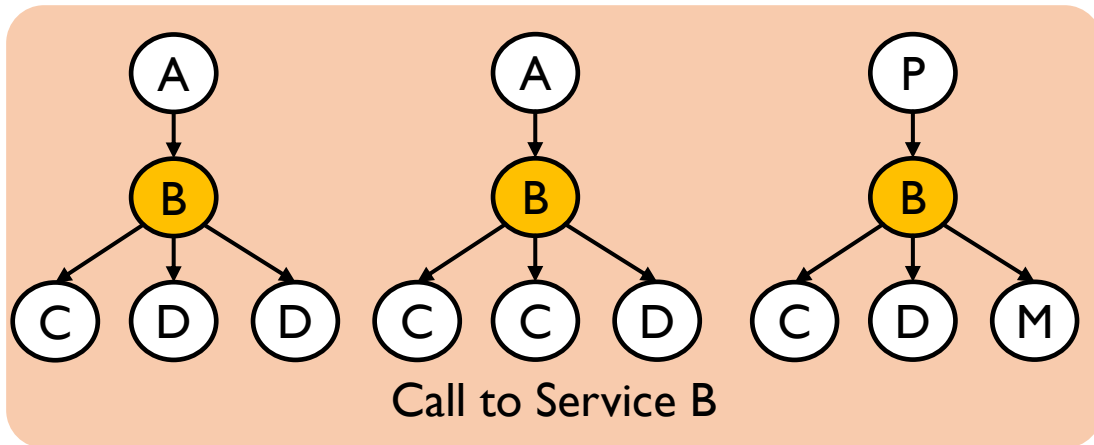
$$C \sim \mathcal{N}(t_C(P(S_i)), \sigma_C^2(\cancel{P}(S_i)))$$

$$Y'_{raw}(S_i) = \frac{|\text{ET}(S_i) - \mu(S_i)|}{\mu(S_i) + \epsilon}$$

Evaluation RQ2: Ablation Study

Analyzed Components

- PBM** The **P**attern-**B**ased **M**odeling of the span ExLs (instead of the call-based)
- DBA** The **D**istribution-**B**ased **A**nomaly score of ExL (instead of expectation-based)
- RCM** The topology-based **R**oot **C**ause **M**odification through personalized PageRank



$$R \sim \mathcal{N}(t_R(P(S_i)), \sigma_R^2(\cancel{P}(S_i)))$$

$$C \sim \mathcal{N}(t_C(P(S_i)), \sigma_C^2(\cancel{P}(S_i)))$$

$$Y_{mod}^{(t+1)}(\mathbf{S}) = \alpha Y_{raw}(\mathbf{S}) + (1 - \alpha) \mathbf{M} \times Y_{mod}^{(t)}(\mathbf{S})$$

$$Y_{mod}^{(0)}(\mathbf{S}) = Y_{raw}(\mathbf{S})$$

$$Y_{final}(\mathbf{S}) = Y_{mod}^{(L)}(\mathbf{S})$$

$$Y'_{raw}(S_i) = \frac{|ET(S_i) - \mu(S_i)|}{\mu(S_i) + \epsilon}$$

RCM

~~PBM~~

Same Calls

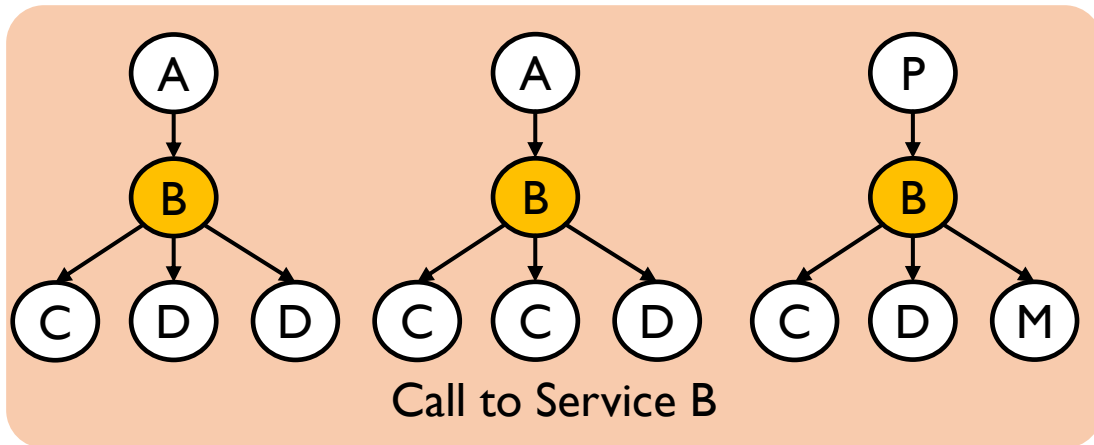
~~DBA~~



Evaluation RQ2: Ablation Study

Analyzed Components

- PBM** The **P**attern-**B**ased **M**odeling of the span ExLs (instead of the call-based)
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~~PBM~~

Same Calls

~~DBA~~

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$$Y_{mod}^{(t+1)}(S) = \alpha Y_{raw}(S) + (1 - \alpha) M \times Y_{mod}^{(t)}(S)$$

$$Y_{mod}^{(t)}(S) = Y_{raw}(S)$$

$$Y_{final}(S) = Y_{mod}^{(t)}(S)$$

~~RCM~~

Evaluation RQ2:Ablation Study



Experiment Results

	Model	PBM	DBA	RCM	A@1	A@3	A@5
Complete	SparseRCA	✓	✓	✓	66.1	86.4	88.1
	w/o (RCM)	✓	✓	×	49.2	72.9	72.9
	w/o (DBA)	✓	×	✓	59.3	81.4	84.7
	w/o (PBM)	×	✓	✓	61.0	84.7	88.1
Partial	w/o (DBA,RCM)	✓	×	×	42.4	69.5	72.9
	w/o (PBM,DBA)	×	✓	×	44.1	69.5	74.6
	w/o (PBM,DBA)	×	×	✓	47.5	72.9	84.7
	w/o (PBM,DBA,RCM)	×	×	×	27.1	61.0	72.9

Evaluation RQ2:Ablation Study



Experiment Results

	Model	PBM	DBA	RCM	A@1	A@3	A@5	
Complete	SparseRCA	✓	✓	✓	66.1	86.4	88.1	↓ Remove from complete model
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	w/o (PBM)	×	✓	✓	61.0	84.7	88.1	
Partial	w/o (DBA,RCM)	✓	×	×	42.4	69.5	72.9	↑ Add to partial model
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Evaluation RQ2: Ablation Study



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The designs are all proved **effective**

Evaluation RQ2:Ablation Study



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The **RCM** improves the performance **most significantly**

Evaluation RQ2:Ablation Study



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The **RCM** improves the performance **most significantly**



While our **ExL modeling** can roughly identify root causes (A@5), the analyzed components can effectively **optimize the ranking** within the highly suspicious root cause candidates

Evaluation RQ2:Ablation Study



Experiment Results

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Evaluation RQ3: Trace Sparsity Evaluation



With Sparser Traces

TABLE VI: Accuracy of SparseRCA Under Sparser Traces.

trainset used (%)	Model	A@1	A@3	A@5
100	MicroRank	61.2	67.6	73.0
100	SparseRCA	66.1	86.4	88.1
50	SparseRCA	66.1	78.0	84.7
40	SparseRCA	66.1	79.7	83.1
25	SparseRCA	55.9	72.9	79.7
20	SparseRCA	59.3	71.2	79.7
15	SparseRCA	54.2	69.5	78.0
10	SparseRCA	54.2	66.1	74.6
5	SparseRCA	42.4	52.5	69.5

Evaluation RQ3: Trace Sparsity Evaluation



With Sparser Traces

TABLE VI: Accuracy of SparseRCA Under Sparser Traces.

trainset used (%)	Model	A@1	A@3	A@5
100	MicroRank	61.2	67.6	73.0
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5	SparseRCA	42.4	52.5	69.5

Evaluation RQ3: Trace Sparsity Evaluation



With Sparser Traces

TABLE VI: Accuracy of SparseRCA Under Sparser Traces.

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100	MicroRank	61.2	67.6	73.0
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15	SparseRCA	54.2	69.5	78.0
10	SparseRCA	54.2	66.1	74.6
5	SparseRCA	42.4	52.5	69.5



SparseRCA is more robust and tolerate in scenarios with even sparser traces



SparseRCA

- The **trace sparsity** and **system volatility** in **testing environments**
- An **unsupervised** trace-based RCA method performing robust **single-trace inference** and capable of processing **unseen span patterns**
- 👍 High top-k accuracy of RCA evaluated with real-world dataset

Key Designs of SparseRCA

- **Span-pattern-based** modeling of span **ExL distributions**
- Predicting **unseen patterns** with pattern similarity
- **Topology-based** Optimization with personalized PageRank
- 👍 Proved effectiveness of the key components in ablation study



清华大学
Tsinghua University



中国科学院
计算机网络信息中心
Computer Network Information Center,
Chinese Academy of Sciences



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Thank You!

SparseRCA: Unsupervised Root Cause Analysis in Sparse Microservice Testing Traces

Zhenhe Yao¹, Haowei Ye, Changhua Pei², Guang Cheng, Guangpei Wang, Zhiwei Liu,
Hongwei Chen, Hang Cui, Zeyan Li, Jianhui Li, Gaogang Xie, Dan Pei



Q: Why do you model the ExL with linear gaussian assumption?

Trace Sparsity in Testing Environment **limits the training** of some DL-based methods

- VAE
- GNN
- ...



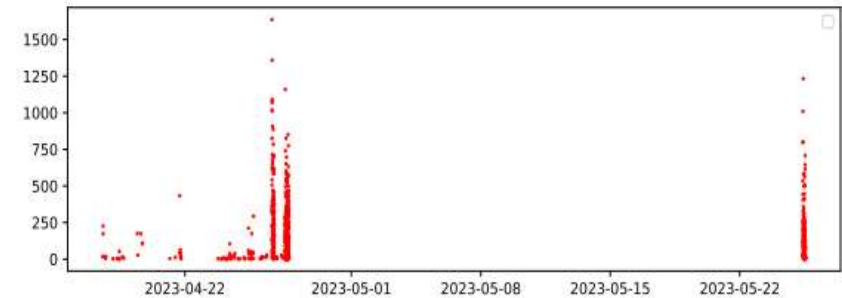
Non-convergence

Testing Environment



Traces from manually constructed test cases

- **Sparse** traces (mostly less than 10/min at peak)
- **Centralized** in testing period



#Trace/min	0	1	[2,10)	[10,30)	[30,50)	50+
Minute Pct. (%)	89.97	3.95	3.85	1.50	0.53	0.19
Abnormal Pct. (%)	/	11.11	8.01	6.16	7.12	2.04



Q: Can SparseRCA be applied to trace-dense scenarios?

1. SparseRCA addresses the challenges for sparse scenarios

- Theoretically, SparseRCA can be applied dense scenario. The design insights holds for trace-dense scenarios.
- But in dense environment where more data are available and some important weaknesses are not strong, the performance improvement by SparseRCA might **not be as significant as in sparse environment**.

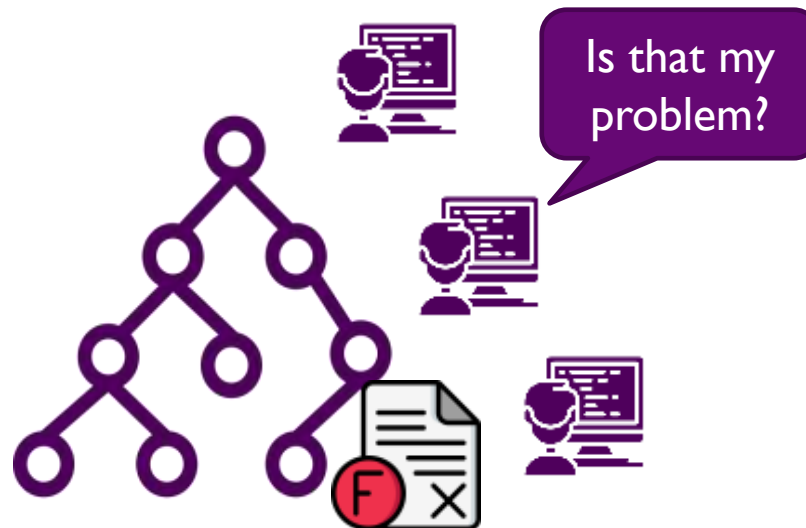
2. Some of the implementations could be altered with larger data input

- With large volumes of data, we usually train the models batch by batch, avoiding processing the data together.
- Some of the SparseRCA designs could be altered if being applied to dense scenario. E.g., we could:
 - Utilize complex models like VAE to derive the variance
 - Introduce mixed distributions

Q: How does SparseRCA compare with statistical code analysis tasks?



- **SparseRCA focuses the end-to-end testing scenarios**
 - Multiple teams/developers maintain different microservices, with little knowledge about the other teams' code details.
 - It's hard for a developer to perform code analysis for his upstream or downstream service



Q: Why do you choose the best metric instead of utilizing all together?



- **Sparsity introduces compromises**
 - In scenarios with sparse samples, simply introducing more features as new input channels usually results in worse performance.
 - Model easily **overfits** to **bad RCA indicator** metric
 - General machine learning principle
 - Incorporating additional metrics would be **preferred** for scenarios with **dense traces**