

Experimental Demonstration of Machine Learning-aided QoT Estimation in Multi-domain Elastic Optical Networks with Alien Wavelengths

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Abstract — In multi-domain elastic optical networks with alien wavelengths, each domain needs to consider intra-domain and inter-domain alien traffic to estimate and guarantee the required quality of transmission (QoT) for each lightpath and perform provisioning operations. This paper experimentally demonstrates an alien wavelength performance monitoring technique and machine learning-aided QoT estimation for lightpath provisioning of intra-inter-domain traffic. Testbed experiments demonstrate modulation format recognition, QoT monitoring and cognitive routing for a 160 GBd alien multi-wavelength lightpath. By using experimental training datasets from the testbed and an artificial neural network (ANN), we demonstrated accurate optical signal to noise (OSNR) prediction with accuracy ~ 95% when using 1,200 data points.

Index Terms—Multi-Domain Elastic Optical Networks, Alien Wavelength, Machine Learning.

I. INTRODUCTION

Elastic optical networks (EON) makes use of dynamic and adaptive provisioning to guarantee efficient and flexible network resources utilization. In order to provide such level of flexibility and dynamicity, the network control and management plane require

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automated provisioning schemes with robust quality of transmission (QoT) estimation based on the actual network link conditions. As these analytical models can only offer rough estimates of the (QoT) of lightpaths [1], it becomes necessary to consider high margins to compensate for model inaccuracies while guaranteeing the target QoT over the duration of the lightpaths. Such high margins have a negative impact on the maximum utilization of the network capacity. Therefore, more accurate situation-aware QoT estimations are desirable. The authors in [2] proposed to use machine learning (ML) techniques to estimate the QoT of lightpath solutions provided by the Routing, Modulation format, and Spectrum Assignment (RMSA) algorithm. Their approach consisted in training a classifier with a large dataset with measurements obtained over the time. The classifier has to be periodically updated and re-trained to reduce deviations (by constantly collecting and storing the monitoring parameters). In [3], the authors proposed to continuously monitor the optical layer and use such monitoring data to tune an analytical model used for QoT estimation. In [4], the authors demonstrated instead a ML-based optical signal to noise ratio (OSNR) predictor in a single domain SDN network.

The scenario becomes more complicated when it becomes necessary to support high-capacity and dynamic traffic demands across multiple autonomous systems (ASes) [5-7]; in this scenario lightpaths might neither originate nor end in one single operator domain, but transparently traverse several of them. These lightpaths are known as *alien wavelengths* [8, 9]. Guaranteeing the quality-of-transmission (QoT) of end-to-end lightpaths is non-trivial across optically transparent inter-domain networks. Due to administrative constraints, each AS manager (or domain manager - DM) may disclose only very limited intra-domain information, making QoT estimation of inter-domain lightpaths challenging. As a consequence, previous QoT estimation solutions based on analytical

methods [10] cannot be easily applied since they require full knowledge of the domains (i.e. topology, links characteristics, etc.).

At the same time, ML-based approaches, as the ones described in [3, 4, 11, 12], heavily rely on the availability of large quantities of performance monitoring (PM) data in order to train the cognitive tools responsible for QoT

estimation. As discussed later in Section II, it becomes then important for each DM to be able to monitor alien wavelengths traversing the domain. In fact, these alien wavelengths are parts of the intra-domain traffic and should be considered when monitoring and learning from the real environment.

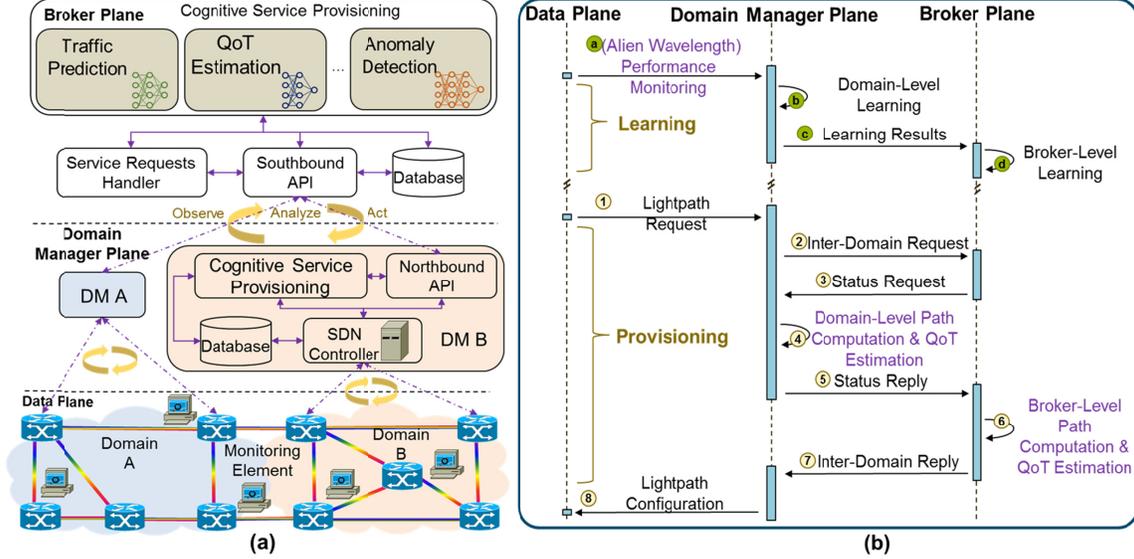


Fig. 1. (a) A schematic framework of the proposed cognitive multi-domain optical network with observe-analyze-act machine learning cycle and the broker plane interacting with the multiple domain managers. (b) The operation principle of the proposed framework.

In the context of a multi-domain network with orchestration [6], this paper extends the results published in [13], reporting the details regarding the alien wavelength PM technique (Section III), as well as a new section with results on machine learning QoT estimation using a dataset from an experiment testbed (Section IV.B). Overall, the main contributions of this paper are the following. First, we propose to use per-domain alien wavelength PM to assist ML-based QoT estimation in each domain. Second, we report a proof-of-concept experimental demonstration of alien wavelength PM by a combination of modulation format identification (MFI) [14] and supervisory channel (SC) techniques [15]. Third, we use datasets collected from an experimental testbed to demonstrate accurate training and QoT OSNR estimations using an ML approach based on *artificial neural networks (ANN)*. Finally, we use a testbed to demonstrate a use case example of cognitive RMSA.

The remainder of this paper is organized as follows. Section II introduces the framework of the multi-domain network architecture with per-domain cognitive function and broker-based orchestration. Section III introduces the working principle of the proposed alien wavelength PM technique. Section IV reports the testbed experiments. Section V concludes the paper.

II. NETWORK ARCHITECTURE

A. Cognitive Multi-Domain EON Architecture with Alien Wavelengths

Fig. 1(a) shows a schematic framework of the proposed cognitive multi-domain EON, which operates according to an *Observe-Analyze-Act* cycle [7]. The data plane of each EON domain is built with bandwidth-variable transponders (BVTs) and bandwidth-variable wavelength selective switches (BV-WSS's). PM elements are deployed at certain locations for collecting the network status in real time (*Observe*). For instance, a coherent receiver can measure and report the bit-error-rate (BER) of an active connection. In addition, SC PM tools can be used in each domain to monitor QoT (BER or OSNR) of alien wavelengths.

Note that the significance of monitoring alien wavelengths is two-fold. First, the state of alien wavelengths affects the performance of intra-domain connections. Second, such information enables better perceptions of the inter-domain traffic behavior, facilitating potentially better intra-domain planning result. DMs apply the software-defined networking

(SDN) paradigm to operate their EON domains [16]. Specifically, SDN controllers residing in the domain control and management plane can collect PM data and conduct service provisioning by interacting with SDN agents that collocate with optical devices. Based on traffic engineering metrics and the received PM data, DMs can realize domain-level cognitive service provisioning. For instance, by analyzing the correlation between the path configurations and QoT with certain ML techniques, DMs can potentially predict accurately the QoT of candidate RMSAs solutions (*Analyse*) and therefore, set up connections with guaranteed QoT and reduced margins (*Act*).

A broker plane on top of DMs coordinates the service provisioning across multiple domains. The broker plane operates similarly to a DM, but only perceives limited or even no intra-domain information due to the administrative constraints in multi-AS systems. DMs can abstract their domains as virtual topologies consisting of virtual links among edge nodes [17] and report PM data of alien wavelengths measured at each of the edge nodes. Then, with proper multi-domain modeling methods and cognitive functions at the broker plane, multi-domain cognitive service provisioning can be achieved.

B. Operation Principle

We summarize the operation principle of the proposed cognitive multi-domain EON framework with alien wavelength PM in the workflow in Fig. 1(b). Each DM constantly conducts PM for both intra-domain connections and alien wavelengths. A domain-level learning process is then executed (*step a*). The learned results can either be used for intra-domain provisioning (*step b*) or sent to the broker plane for learning the performance of inter-domain end-to-end lightpaths (*steps c-d*).

In the provisioning phase, upon receiving a lightpath request (*step 1*), the DM first determines whether it is for intra- or inter-domain transmission. If it is an intra-domain request, the DM immediately tries to calculate an RMSA solution that satisfies the QoT requirement. Specifically, the DM can calculate several candidate RMSAs and call the domain-level QoT estimation model to estimate the QoT of each of them given the current link conditions. The QoT of existing in-service connections in the case that the corresponding candidate RMSA is launched will also be evaluated. The best RMSA that satisfies the QoT requirement and ensures the QoT of existing connections will be set up. On the other hand, if the request is for inter-domain communication, it is forwarded to the broker plane (*step 2*). To calculate an inter-domain lightpath, the broker plane requests from related DMs for intra-domain information (*step 3*). Each involved DM, in turn, replies several intra-domain candidate RMSA together with

their estimated QoT (*steps 4 and 5*). The broker plane aggregates the received data, builds a multi-domain virtual topology, and calculates an inter-domain end-to-end RMSA with QoT guarantee relying on the broker-level QoT estimation model (*step 6*, like the intra-domain case). Finally, each related DM sets up the path segment within its domain to accomplish the inter-domain provisioning service (*step 8*).

III. ALIEN WAVELENGTH MONITORING SYSTEM

As mentioned above, PM of alien wavelengths is essential for correct estimation of QoT parameters in intra- and inter- domain lightpath provisioning. In this section, we discuss the details of an alien wavelength PM system that can be used by the domains to identify the modulation format and OSNR of the alien lightpath traversing the domains. The proposed PM system is given by a combination of two monitoring techniques which are experimentally demonstrated in the subsequent sections. This PM system will be used at the ingress and the egress nodes of a domain, as shown later in IV.A.

A. Supervisory Channel

The first PM tool is called supervisory channel (SC); ref. [15] reported this technique for QPSK signals. In this paper, we extend the demonstration for the first time to QAM signals as well.

Fig. 2(a) shows the experimental setup used to evaluate and characterize the proposed PM technique. A standard coherent Tx (Co-Tx) consists of an external cavity laser (ECL), an I/Q modulator, and an electrical arbitrary waveform generator (EAWG) generating an optical M-QAM signal at 10 GBd. As part of the monitoring system, the optical signal is then fed into a second Mach-Zehnder modulator (MZM) to over-modulate the coherent signal with a 200 Mb/s ASK signal with 0.1 modulation index. Before the Rx (or at an intermediate node in the network where monitoring is needed), 10% of the optical power is tapped to the PM system, whereas the rest is sent to a coherent receiver operating at full speed. The PM system consists of an avalanche photodiode (APD) and an analog low-pass filter (LPF) with 200 MHz bandwidth. An FPGA-based bit error rate tester (BERT) receives the ASK signal and calculates its BER and Q -factor.

Fig. 2(b) depicts the optical signal captured by the real-time oscilloscope (RTO). It shows that the low-speed ASK signal has shaped the envelope of the M-QAM signal. Fig. 2(c) and (d) present the waveform of the signal after the APD and LPF, respectively, clearly showing that the ASK symbols can be extracted from the high-speed M-QAM signal thanks to the LPF.

We varied the OSNR values using a variable optical

attenuator (VOA) and erbium doped fiber amplifier (EDFA) as noise loader. We measured the Q -factor of the ASK signal when the modulation format of the high-speed optical signal is QPSK, 8-QAM, and

16-QAM. An optical spectrum analyzer (OSA) with 0.1 nm resolution bandwidth is placed before the coherent receiver to measure the OSNR independently.

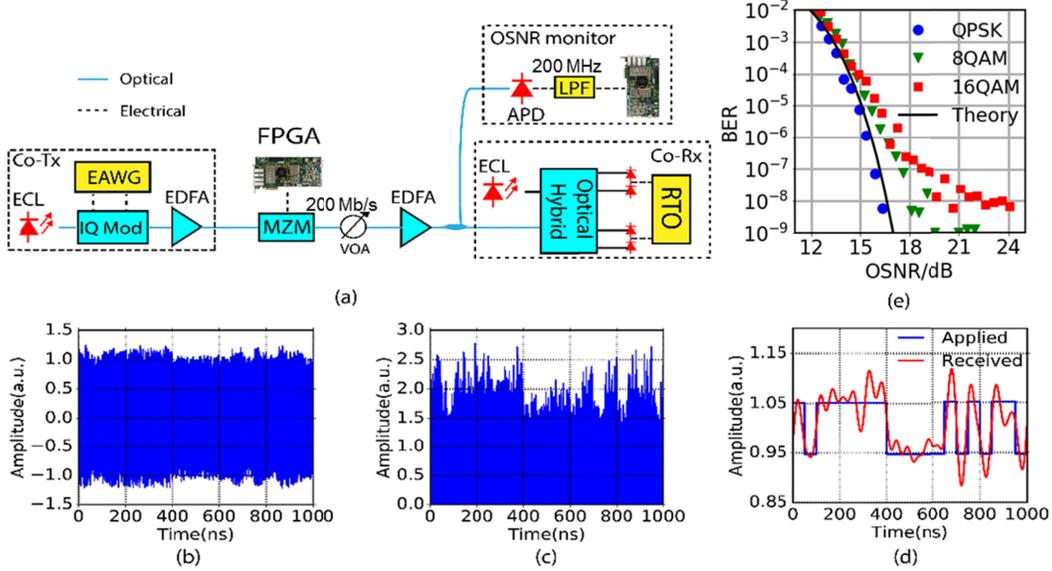


Fig. 2. (a) Experimental setup for characterization of the proposed technique. (b) 10 Gb/s 16-QAM waveform with ASK overmodulation. (c) Electrical waveform after the APD. (d) Received ASK signal after low-pass filtering (red curve; blue curve is the applied ASK signal at the transmitter). (e) Measured correlation curve between the Q -factor of the ASK signal and the OSNR for 4-QAM, 8-QAM, and 16-QAM.

Fig. 2(e) shows the measured BER of the ASK signal with respect to the real OSNR measured by the OSA. When OSNR is relatively low, the BER is monotonically decreasing with OSNR. When the OSNR is greater than 20 dB, the BER experiences a floor due to the perturbation of the multi-level QAM signals on the ASK signal. The theoretical curve is also plotted in Fig. 2(e) for reference. At high OSNR values, results from both modulation formats deviate from the theoretical model. We attribute this deviation to the amplitude fluctuation induced by the high-speed M-QAM signal. By recording the measured BER of the ASK signal and knowing the modulation index of the ASK signal and modulation format of M-PSK or M-QAM signal, low-cost OSNR and BER monitoring of the high-speed M-PSK and M-QAM signals can be achieved.

B. Modulation Format Recognition

As reported above, the SC technique allows monitoring QoT parameters (e.g. OSNR and BER) of an alien wavelength under the assumption that the modulation format is known. However, in a multi-domain architecture, as described in Section II, the DM might not have access to this information and therefore, a system that allows identifying the modulation format of alien wavelengths is needed to be able to use the PM systems proposed in the previous subsection.

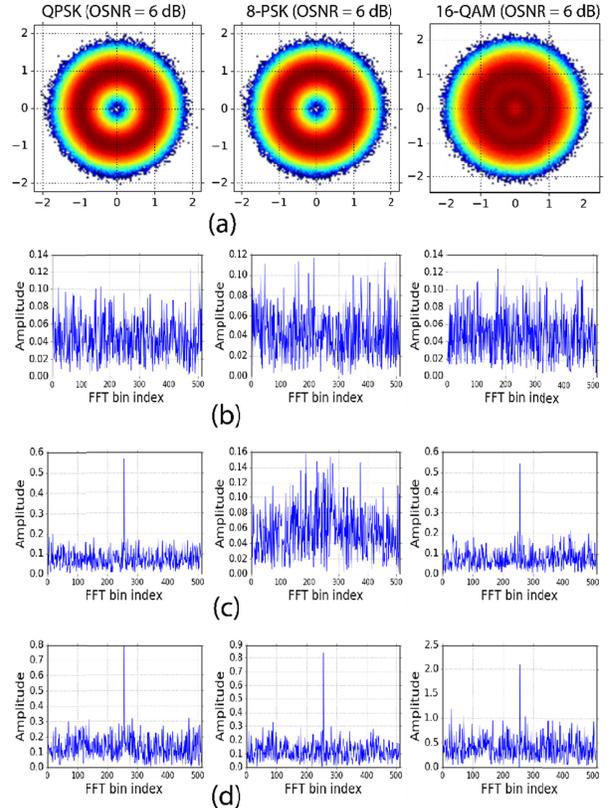


Fig. 3. (a) Constellation diagrams. (b) FFT after $()^2$. (c) FFT after $()^4$. (d) FFT after $()^8$. [14]

Such modulation format recognition system can be additionally used for other purposes like training of ML-based QoT estimators.

In Ref. [14], we already experimentally demonstrated a PM technique based on a blind modulation format identification (MFI) method. This technique can deliver very high accuracy ($> 99\%$), even when the OSNR of the incoming signal is < 10 dB. The MFI technique allows identifying the modulation format by sampling the signal, performing a Fast Fourier Transform (FFT) of the samples after different power operations, and finally observing the peak to average ratio of the Fourier transform. Fig. 3 reproduces simulation results from [14] for the sake of completeness; the 512-point FFT after the nonlinear power transformations for different modulation formats are shown. The signals' baud rate was 10 GBd and the laser linewidth was set at 100 kHz. After the correct power operation, a peak tone showed up in the signal's frequency spectrum. By evaluating whether there is a peak tone or not after certain transformations, the signals' modulation format can be determined. Experimental studies reported in [14] demonstrated that the proposed MFI method can achieve successful identification rate as high as 99% when the incoming signal OSNR is as low as 7 dB. The reader can refer to ref. [14] for more details.

IV. TESTBED EXPERIMENTS

The goal of the experimental testbed demonstrations discussed in the following section is threefold. First, Section IV.A shows a proof of concept demonstration of alien wavelength monitoring by a combination of MFI and SC techniques. Second, in Section IV.B, we

demonstrate the use of experimental data to train a QoT OSNR estimator using an ML approach based on ANNs. Finally, Section IV.C shows a simple use case scenario of cognitive RMSA; the scenario illustrates how the use of a legacy RMSA could lead to underestimating the physical impairments (saturation and noise loading conditions in the optically-amplified links), resulting in a connection failure due to excessively high BER at the receiver.

A. Alien Wavelength Monitoring Experiment

Fig. 4 shows the experimental testbed. An EAWG produces the analog electrical signals to generate QPSK or 8PSK alien wavelength signals and an I/Q block modulates 16 WDM lasers at 10 GBd (160 GBd). After the alien signals are amplified by an EDFA, they travel toward their destination network domain. The ingress node has PM capabilities based on MFI and SC (see also Section III). The ingress node applies a low-speed (200 Mb/s) low-modulation-depth SC on the alien wavelengths to enable PM without significantly affecting the signals themselves. Insets *i*) and *ii*) in Fig. 4 show the schematic of MFI and SC-PM blocks (please refer to Section III and also to [14] for more details). At the ingress node, an FPGA generating four WDM 10Gb/s signals acts as an intra-domain traffic source. There are two paths to reach the egress node with lengths of 25km and 50km, respectively. A PM block located at the egress node monitors the QoT of the alien signals going out of the domain.

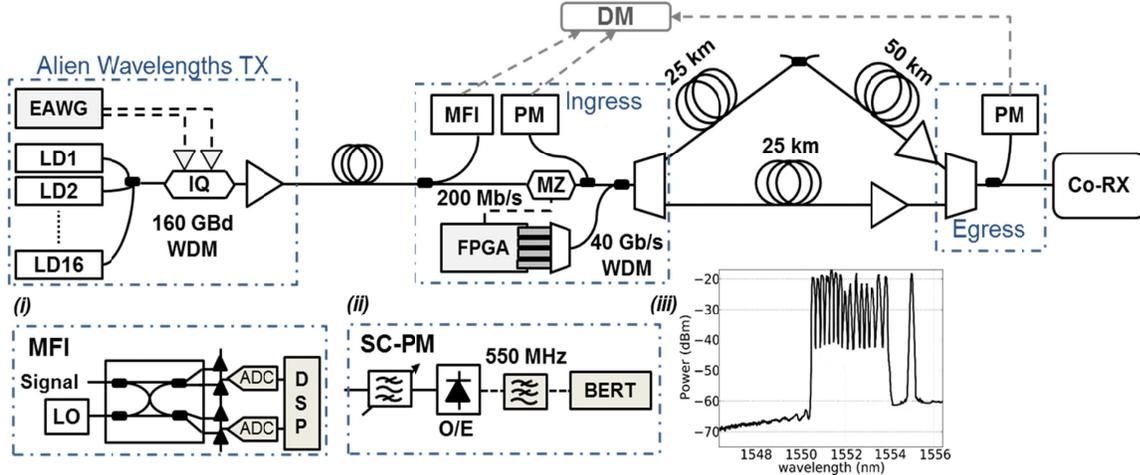


Fig. 4. Testbed. LD: laser diode; IQ: phase/quadrature modulator; MZ: Mach Zehnder modulator; DM: domain manager; Inset *(i)*: MFI monitoring; LO: local oscillator; ADC: analog to digital converter; DSP: digital signal processing; Inset *(ii)*: SC-PM monitoring; BERT: bit error rate tester; Inset *(iii)*: Alien wavelengths spectrum;

Fig. 5 (a-b) show the results of the MFI monitoring block when changing the alien wavelength modulation format. For QPSK, Fig. 5(a) shows that after the power of four transformation, a peak can clearly be observed in the FFT spectrum, which allows determining that the signal modulation format is QPSK. When switching the modulation format to 8PSK, the peak in the FFT spectrum disappeared (see Fig. 5(b)); this allowed determining that the modulation format was 8PSK. Table I shows the results of SC monitoring at the ingress and egress nodes when the alien lightpath is modulated with QPSK and 8PSK and going through the shortest path.

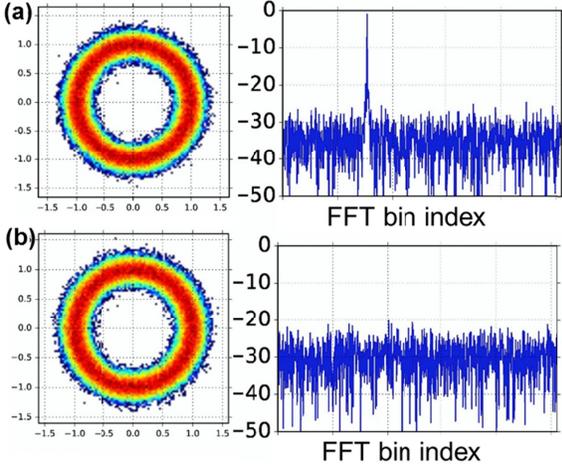


Fig. 5. MFI output for (a) QPSK and (b) 8PSK signals.

Table I. BER values in the testbed at Ingress and Egress nodes.

	<i>QPSK/8PSK</i>	
	Ingress	Egress
<i>SC-BER</i>	1E-3	3E-3
<i>Alien λ OSNR</i>	13.5 dB	12.7 dB

B. ML-aided QoT Estimator Experiment

Applying the alien wavelength PM technique, we demonstrate an ANN-based estimator to estimate the OSNR of unestablished lightpaths given the current network conditions. Targeting a realistic scenario, we extended the experimental setup in Fig. 4 to a seven-node testbed. By regulating the routing paths and link loads of the testing lightpaths, we obtained 1,200 PM data points ready to be used, together with other data, for training and testing purposes. Fig. 6 plots the histogram that shows the distribution of the measured data in the experiments.

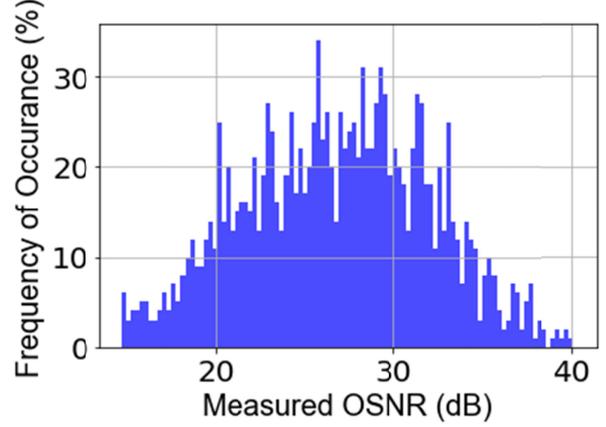


Fig. 6. OSNR distribution of the measured data.

The OSNR estimator was implemented as an ANN consisting of two hidden layers; Fig. 7 shows the detailed structure of the OSNR estimator. Basically, the estimator uses the routing path, channel power, and OSNR measurements as the input features and produces the predicted OSNR of an end-to-end path. Each node j in layer i ($i > 1$) is fully connected to the nodes in layer $i - 1$, and with an activation function $f(x) = \max(x, 0)$, its output value is computed as,

$$h_{i,j} = f(\mathbf{w}_{i-1,j}^T \mathbf{h}_{i-1} + b_{i-1,j}),$$

where $\mathbf{w}_{i-1,j}$ contains the weights of the edges between node j and the nodes in layer $i - 1$, and $b_{i-1,j}$ is the bias.

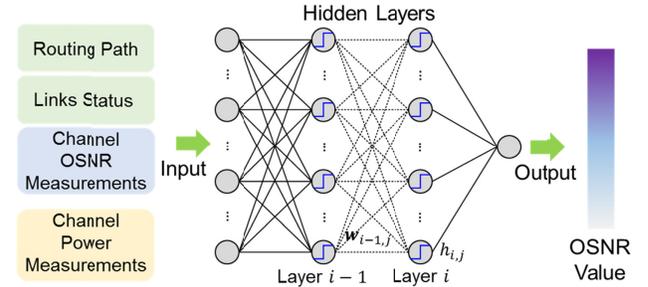


Fig. 7. Structure of the OSNR estimator.

Here, we can see that node j is a higher-level representation of the nodes in the lower layer. Therefore, with multiple hidden layers, we can potentially extract the most useful features from the initial input data for the final OSNR estimation. Finally, we can train the estimator (iteratively adjusting the values of $\mathbf{w}_{i-1,j}$ and $b_{i-1,j}$ using the back-propagation method) to minimize the difference between the output of the ANN and the real monitoring OSNR.

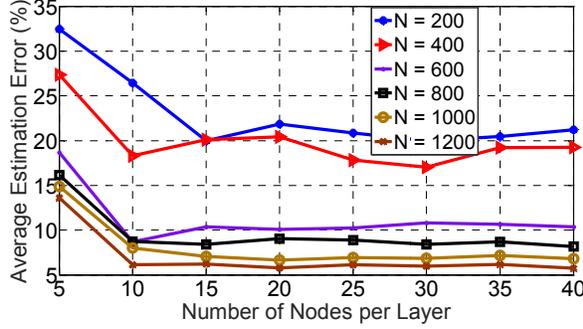


Fig. 8. Results on average prediction error.

Aiming at finding the right size of the training dataset, Fig. 8 shows the results on average estimation error for different sizes (denoted as N) and ANN configurations. Specifically, we randomly picked out certain numbers of data points from the whole dataset, divided them into the training and testing datasets with a proportion of 9:1, repeated the experiment for five times and calculated the average estimation errors. The estimation error is defined as $\frac{|O_{rel} - O_{est}|}{O_{rel}}$, where O_{rel} and O_{est} stand for the measured and estimated OSNR values, respectively. We also evaluated the impact of the number of nodes in each hidden layer on the performance of the OSNR estimator. As expected, we can observe that the estimation accuracy improves with the number of data points since the estimator can learn more accurately the inherent correlations between the path performance and network configurations with more data. Meanwhile, we can see that the performance of the OSNR estimator improves significantly when the number of nodes in each layer is increased from 5 to 10 and then stays almost unchanged when the scale of the ANN further enlarges. Such observation indicates that under our specific experiment testbed setup and for the OSNR estimation task, two hidden layers with 10 nodes in each layer are sufficient for relatively good estimation accuracy.

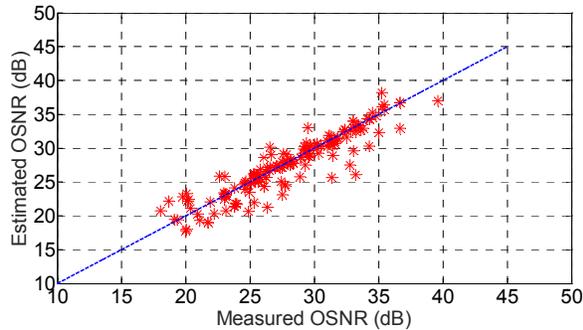


Fig. 9. Comparison between measured (blue line) and estimated (red stars) OSNR.

Overall, with 1,200 data points and 40 nodes in each layer, the estimator can achieve an average estimation error of as low as 5.8%. It is reasonable to expect that the

estimation accuracy will further improve when larger datasets are employed.

Finally, Fig. 9 shows the comparison between the measured OSNR values and the estimated ones when the size of the dataset is 1,200, which exhibits a good match and further verifies the practicability of the proposed method.

C. Cognitive RMSA example.

It is important to demonstrate that the use of a simple RMSA without cognitive functions could lead to underestimating the physical impairments (saturation and noise loading conditions in the optically-amplified links), resulting in a connection failure due to insufficient BER at the receiver. To this aim and to clearly motivate our proposal, we performed a simple use case experiment on the testbed in Fig. 4. Let us assume that there is a 480 Gb/s alien lightpath request A (e.g. 8PSK modulation format) that must traverse the domain in the testbed. There is also a WDM lightpath B (40 Gb/s) currently established through link 1-3, which is already saturating the amplifier. In a scenario with simple RMSA, the network control plane could decide to route the request through link 1-3 (shortest path) using 8PSK modulation format (see

(a) (b)
Fig. 10(a)). However, because the link is already loaded by intra-domain traffic, the QoT at the egress node might not be as expected (OSNR is too low and the estimated BER is $2.5E-2$ (see Table II), which is higher than the 20%-FEC limit). Assuming instead that the network control plane has cognitive functions, it would use the information provided by the ML-aided OSNR estimator to consider the current link status and decide to route the 420 Gb/s alien signal through the longer but empty link 1-2-3 (see (a) (b)

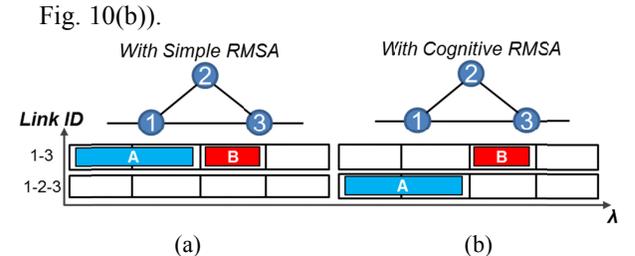


Fig. 10. (a) Links status with simple RMSA. (b) Links status with Cognitive RMSA.

As shown by the BER Table II, in this case, the BER at the egress node is below the pre-FEC BER limit.

Table II. BER values in the testbed at Ingress and Egress nodes.

	<i>Simple RMSA</i>		<i>Cognitive RMSA</i>	
	SC BER	AW BER	SC BER	AW BER
Ingress	1E-3	8.7E-4	1E-3	8.7E-4
Egress	8E-3	<u>2.5E-2</u>	2.7E-3	<u>5.2E-3</u>

V. CONCLUSION

This paper experimentally demonstrated alien wavelength PM for cognitive provisioning in

multi-domain networks. Each autonomous system (domain) makes use of optical PM to train an ANN-based QoT estimator to predict the OSNR of intra- and inter-domain lightpaths and make sure that the new connection to be established, as well as the existing ones, will meet the QoT requirements that guarantee BER values below the pre-FEC threshold.

By using *experimental data*, (a) we demonstrated a new monitoring technique for modulation format recognition and OSNR monitoring; (b) we trained an ANN-based ML QoT estimator capable to estimate the OSNR of a given lightpath with an error rate $< 6\%$; (c) we demonstrated a use case network scenario of cognitive routing based on the existing network conditions.

Future research works will focus on: (a) the use of larger testbeds to better understand how the estimation performance of the ML tool depends on the number of network nodes, the number of links, the size of the training datasets and specific ML approaches (e.g. Q-learning [18]); (b) hierarchical learning approaches for multi-domain routing [19].

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