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Engineering Trustworthy Secure Systems

Final Public Draft

**RON ROSS
MARK WINSTEAD
MICHAEL McEVILLEY**

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Engineering Trustworthy Secure Systems

Final Public Draft

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*Computer Security Division
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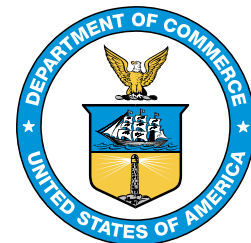
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29

REPORTS ON COMPUTER SYSTEMS TECHNOLOGY

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38 efforts in information systems security and privacy and its collaborative activities with industry,
39 government, and academic organizations.

40

ABSTRACT

41 This publication provides a basis for establishing a discipline for systems security engineering (SSE)
42 as part of systems engineering and does so in terms of its principles, concepts, activities, and tasks.
43 The publication also demonstrates how those SSE principles, concepts, activities, and tasks can be
44 effectively applied to systems engineering efforts to foster a common mindset to deliver security
45 for any system, regardless of its purpose, type, scope, size, complexity, or stage of its system life
46 cycle. Ultimately, the intent of the material is to advance the field of SSE as a discipline that can
47 be applied and studied and to serve as a basis for the development of educational and training
48 programs, including the development of professional certifications and other assessment criteria.

49

KEYWORDS

50 assurance; developmental engineering; engineering trades; field engineering; implementation;
51 information security; information security policy; inspection; integration; penetration testing;
52 protection needs; requirements analysis; resilience; review; risk assessment; risk management;
53 risk treatment; security architecture; security design; security requirements; specifications;
54 stakeholders; system of systems; system component; system element; system life cycle; systems;
55 systems engineering; systems security engineering; trustworthiness; validation; verification.

56

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58 and organizations in the public and private sectors whose constructive comments improved the
59 overall quality, thoroughness, and usefulness of this publication. In particular, we wish to thank
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68 Engineering courses whose comments and valuable insights helped to guide and inform many of
69 the proposed changes in this publication.

70

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The authors gratefully acknowledge the contributions of Janet Carrier Oren, one of the original coauthors of NIST Special Publication 800-160, Volume 1. The authors also wish to acknowledge the following organizations and individuals for their historic contributions to this publication:

Organizations: National Security Agency; Naval Postgraduate School; Department of Defense Office of Acquisition, Technology, and Logistics; Department of Homeland Security Science and Technology Office, Cyber Security Division; International Council on Systems Engineering, United States Air Force; Air Force Institute of Technology; Northrop Grumman Corporation; The MITRE Corporation; Lockheed Martin Corporation.

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72

73

NOTE TO REVIEWERS

74 The final public draft of SP 800-160. Volume 1, Revision 1 offers some significant content and
75 design changes that include a renewed emphasis on the importance of *systems engineering* and
76 viewing systems security engineering as a critical subdiscipline necessary to achieve trustworthy
77 secure systems. This perspective treats security as an emergent property of a system. It requires
78 a disciplined, rigorous engineering process to deliver the security capabilities necessary to protect
79 stakeholders' assets from loss while achieving mission and business success.

80 Bringing security out of its traditional stovepipe and viewing it as an emergent system property
81 helps to ensure that only authorized behaviors and outcomes occur, much like the engineering
82 processes that address safety, reliability, availability, and maintainability in building spacecraft,
83 airplanes, and bridges. Treating security as a subdiscipline of systems engineering also facilitates
84 making comprehensive trade space decisions as stakeholders continually address cost, schedule,
85 and performance issues and the uncertainties associated with system development efforts.

86 The authors spent a significant amount of time analyzing the comments from a variety of public-
87 and private-sector entities. Many of the comments helped shape the direction of the publication
88 and the specific content and design changes that were undertaken. In particular, the final public
89 draft:

- 90 • Provides a renewed focus on the design principles and concepts needed for engineering
91 trustworthy secure systems, distributing the content across several redesigned initial
92 chapters
- 93 • Relocates the detailed system life cycle processes and security considerations to separate
94 appendices for ease of use
- 95 • Streamlines the design principles for trustworthy secure systems by eliminating the two
96 previous design principle categories
- 97 • Includes a new introduction to the [\[ISO 15288\]](#) system life cycle processes and describes
98 key relationships among those processes
- 99 • Clarifies key systems engineering and systems security engineering terminology
- 100 • Simplifies the structure of the system life cycle processes, activities, tasks, and references
- 101 • Provides additional references to international standards and technical guidance to
102 better support the security aspects of the systems engineering process

103 Thank you for taking the time to review the final draft of this publication. We appreciate your
104 feedback and suggestions for improving the content. Your comments can be sent to [security-](mailto:security-engineering@nist.gov)
105 [engineering@nist.gov](mailto:security-engineering@nist.gov) using the comment template provided on the publication landing page at
106 <https://csrc.nist.gov/publications/detail/sp/800-160/vol-1-rev-1/draft>.

107 – **Ron Ross**
108 *Project Leader, Systems Security Engineering*

109

CALL FOR PATENT CLAIMS

110 This public review includes a call for information on essential patent claims (claims whose use
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- 120 b) assurance that a license to such essential patent claim(s) will be made available to
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122 or requirements in this ITL draft publication either:
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124 discrimination; or
 - 125 ii) without compensation and under reasonable terms and conditions that are
126 demonstrably free of any unfair discrimination.

127 Such assurance shall indicate that the patent holder (or third party authorized to make assurances
128 on its behalf) will include in any documents transferring ownership of patents subject to the
129 assurance, provisions sufficient to ensure that the commitments in the assurance are binding on
130 the transferee, and that the transferee will similarly include appropriate provisions in the event
131 of future transfers with the goal of binding each successor-in-interest.

132

133 The assurance shall also indicate that it is intended to be binding on successors-in-interest
134 regardless of whether such provisions are included in the relevant transfer documents.

135 ***Such statements should be addressed to:*** security-engineering@nist.gov.

136

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DISCLAIMER

This publication is intended to be used in conjunction with and as a supplement to **International Standard ISO/IEC/IEEE 15288** and other supporting international standards and guidance. It is highly recommended that organizations using this publication obtain the appropriate standards to understand the context of the material in Appendices G through K. Content from ISO/IEC/IEEE 15288 that is referenced in this publication is used with permission from the Institute of Electrical and Electronics Engineers. It is noted as follows: ***Reprinted with permission from IEEE, Copyright IEEE 2015, All rights reserved.***

The reprinted material has been updated to reflect any changes in the international standard.

246

251

PROLOGUE

252 *“Providing satisfactory security controls in a computer system is in itself a system design problem. A*
253 *combination of hardware, software, communications, physical, personnel and administrative-*
254 *procedural safeguards is required for comprehensive security. In particular, software safeguards*
255 *alone are not sufficient.”*

256 **“Security Controls for Computer Systems,” (The Ware Report), Rand Corporation**
257 **Defense Science Board Task Force on Computer Security, February 1970**

258 *“Mission assurance requires systems that behave with predictability and proportionality.”*

259 **General Michael Hayden**
260 **Former National Security Agency (NSA) and Central Intelligence Agency (CIA) Director**
261 **Syracuse University, October 2009**

262 *“In the past, it has been assumed that to show that a system is safe, it is sufficient to provide*
263 *assurance that the process for identifying the hazards has been as comprehensive as possible, and*
264 *that each identified hazard has one or more associated controls. While historically this approach has*
265 *been used reasonably effectively to ensure that known risks are controlled, it has become increasingly*
266 *apparent that evolution to a more holistic approach is needed as systems become more complex and*
267 *the cost of designing, building, and operating them become more of an issue.”*

268 **Preface, National Aeronautics and Space Administration (NASA) System Safety Handbook, Volume 1**
269 **November 2011**

270 *“This whole economic boom in cybersecurity seems largely to be a consequence of poor engineering.”*

271 **Carl Landwehr**
272 **Communications of the Association for Computing Machinery (ACM)**
273 **February 2015**

274 *“Cybersecurity requires more than government action. Protecting our Nation from malicious cyber*
275 *actors requires the Federal Government to partner with the private sector. The private sector must*
276 *adapt to the continuously changing threat environment, ensure its products are built and operate*
277 *securely, and partner with the Federal Government to foster a more secure cyberspace.”*

278 *“Incremental improvements will not give us the security we need; instead, the Federal Government*
279 *needs to make bold changes and significant investments in order to defend the vital institutions that*
280 *underpin the American way of life.”*

281 **Executive Order (EO) on Improving the Nation’s Cybersecurity**
282 **May 2021**

283 *“[Systems] security engineering must be fundamental to systems engineering, not just a specialty*
284 *discipline. Security concepts must be fundamental to [an] engineering education, and security*
285 *proficiency must be fundamental in development teams. Security fundamentals must be clearly*
286 *understood by stakeholders and effectively evaluated in a way that considers broad goals with security*
287 *functions and outcomes.”*

288 **Security in the Future of Systems Engineering [FUSE21]**

289

FOREWORD

290 On May 12, 2021, the President signed an *Executive Order (EO) on Improving the Nation’s*
291 *Cybersecurity* [[EO 14028](#)]. The Executive Order stated—

292 *“The United States faces persistent and increasingly sophisticated malicious cyber campaigns that*
293 *threaten the public sector, the private sector, and ultimately the American people’s security and*
294 *privacy. The Federal Government must improve its efforts to identify, deter, protect against, detect,*
295 *and respond to these actions and actors.”*

296 The Executive Order further described the holistic nature of the cybersecurity challenges
297 confronting the Nation with computing technology embedded in every type of system from
298 general-purpose computing systems supporting businesses to cyber-physical systems controlling
299 the operations in power plants that provide electricity to the American people. The Federal
300 Government must bring to bear the full scope of its authorities and resources to protect and
301 secure its computer systems, whether the systems are cloud-based, on-premises, or hybrid. The
302 scope of protection and security must include systems that process data (information technology
303 [IT]) and those that run the vital machinery that ensures our safety (operational technology [OT]).

304 In response to the EO, there is a need to:

- 305 • Identify stakeholder assets and protection needs
- 306 • Provide protection commensurate with the criticality of stakeholder assets, needs, and the
307 consequences of asset loss, and correlated with the modern threat and adversary capability
- 308 • Develop scenarios and model the complexity of systems to provide a rigorous basis to reason
309 about, manage, and address the uncertainty associated with that complexity
- 310 • Adopt an engineering-based approach that addresses the principles of trustworthy secure
311 design and apply those principles throughout the system life cycle

312 Building trustworthy, secure systems cannot occur in a vacuum with stovepipes for cyberspace,
313 software, hardware, and information technology. Rather, it requires a transdisciplinary approach
314 to protection, a determination across all assets where loss could occur, and an understanding of
315 adversity, including how adversaries attack and compromise systems. As such, this publication
316 addresses considerations for the engineering-driven actions necessary to develop defensible and
317 survivable systems, including the components that compose and the services that depend on
318 those systems. The overall objective is to address security issues from a stakeholder requirements
319 and protection needs perspective and to use established engineering processes to ensure that
320 such requirements and needs are addressed with appropriate fidelity and rigor across the entire
321 life cycle of the system.

322 Engineering trustworthy, secure systems is a significant undertaking that requires a substantial
323 investment in the requirements, architecture, and design of systems, components, applications,
324 and networks. A trustworthy system is a system that provides compelling evidence to support
325 claims that it meets its requirements to deliver the protection and performance needed by
326 stakeholders. Introducing a disciplined, structured, and standards-based set of systems security
327 engineering activities and tasks provides an important starting point and forcing function to
328 initiate needed change.

329

SECURITY – AN EMERGENT PROPERTY OF AN ENGINEERING PROCESS

A system is engineered to achieve a capability driven by stakeholder mission and business needs. Security is an emergent property of a system that is achieved through a principled engineering process that reflects the stakeholder’s protection needs and concerns. The engineered security capability contributes to the overall system capability that satisfies the stakeholder mission and business needs.

No system can provide *absolute* security due to the limits of human certainty, the uncertainty that exists in the life cycle of every system, and the constraints of cost, schedule, performance, feasibility, and practicality. As such, trade-offs made routinely across contradictory, competing, and conflicting needs and constraints are optimized to achieve *adequate* security, which reflects a decision made by stakeholders.

330

331

THE POWER OF SCIENCE AND ENGINEERING

When crossing a bridge, we have a reasonable *expectation* that the bridge will not collapse and will get us to our destination without incident. For bridge builders, the focus is on equilibrium, static and dynamic loads, vibrations, and resonance. The science of *physics* combines with civil engineering principles and concepts to produce a product that we deem *trustworthy*, giving us a level of confidence that the bridge is fit-for-purpose.

For system developers, there are also fundamental principles and concepts that can be found in *mathematics, computer science, computer and electrical engineering, systems engineering, and software engineering* that when properly employed, provide the necessary trustworthiness to engender that same level of confidence. Trustworthy secure systems are achieved by making a significant and substantial investment in strengthening the underlying systems and system components by employing transdisciplinary systems engineering efforts guided and informed by well-defined security requirements and secure architectures and designs. Such efforts have been proven over time to produce sound engineering-based solutions to complex and challenging systems security problems. Only under those circumstances can we build systems that are adequately secure and exhibit a level of trustworthiness that is sufficient for the purpose for which the system was built.

This publication does not focus exclusively on cybersecurity but rather addresses **security** more broadly. Given the scope of this publication, the following observations are relevant and worth noting:

“For the first few decades as a burgeoning discipline, cybersecurity has been dominated by the development of widgets to address some aspect of the problem. Systems have become increasingly complex and interconnected, creating even more attack opportunities, which in turn creates even more opportunities to create defensive widgets that will bring some value in detecting or preventing an aspect of the attack space. Eventually, this becomes a game of whack-a-mole in which a simulated mole pops up from one of many holes and the objective is to whack the mole before it pops back in its hole. The moles represent new attacks, and the holes represent a huge array of potential vulnerabilities – both known and as-yet-undiscovered.”

“Underlying [the discipline of] engineering is science. Sometimes engineering gets ahead of science, such as in bridge building, where the fundamentals of material science were not well understood. Many bridges were built; many fell down; some stayed up; designs of the ones that stayed up were copied. Eventually, for engineering to advance beyond some point, science must catch up with engineering. The science underlying cybersecurity [and more generally, security] engineering is complex and difficult. On the other hand, there is no time like the present to start, because it is both urgent and important to the future...”

-- O. Sami Saydjari
Engineering Trustworthy Systems [[Saydjari18](#)]

332
333

334 CHAPTER ONE

335 INTRODUCTION

336 THE NEED FOR SYSTEMS ENGINEERING-BASED TRUSTWORTHY SECURE SYSTEMS

337 Today's systems¹ are inherently complex reflecting a growth in the size, number, and types of
338 components and technologies² that compose those systems. There is also a dependence on
339 systems resulting in a range of consequences from inconvenience to catastrophic loss due to
340 adversity³ within the operating environment. Managing the complexity of systems and being able
341 to claim that those systems are trustworthy secure means that, first and foremost, there must be
342 a level of confidence in the feasibility, correctness-in-concept, philosophy, and design regarding
343 the ability of a system to produce only the intended behaviors and outcomes. That basis provides
344 the foundation to address stakeholder protection needs and security concerns with sufficient
345 confidence that the system functions only as intended while subjected to a spectrum of adversity
346 and to realistically bound those expectations with respect to constraints and uncertainty. The
347 failure to address complexity and security will continue to leave the Nation susceptible to the
348 consequences of adversity with the potential for causing serious, severe, or even catastrophic
349 consequences.

350 *Security* is freedom from the conditions that can cause a loss of *assets* with unacceptable
351 consequences.⁴ Stakeholders must define the scope of security in terms of the assets to which
352 security applies and the consequences against which security is assessed.⁵ *Systems engineering*
353 provides a necessary foundation for a disciplined and structured approach to building assured,
354 trustworthy secure systems. Trustworthiness⁶ is defined in [Neumann04] as follows:

355 *By trustworthiness, we mean simply worthy of being trusted to fulfill whatever critical requirements*
356 *may be needed for a particular component, subsystem, system, network, application, mission,*
357 *enterprise, or other entity. Trustworthiness requirements might typically involve (for example)*
358 *attributes of security, reliability, performance, and survivability under a wide range of potential*
359 *adversities. Measures of trustworthiness are meaningful only to the extent that the requirements are*
360 *sufficiently complete and well defined, and can be accurately evaluated.*

¹ A *system* is an arrangement of parts or elements that exhibit a behavior or meaning that the individual constituents do not [INCOSE19]. The elements that compose a system include hardware, software, data, humans, processes, procedures, facilities, materials, and naturally occurring entities [ISO 15288]. See Section 2.1.

² The term *technology* is used in the broadest context in this publication to include computing, communications, and information technologies, as well as any mechanical, hydraulic, pneumatic, or structural components in systems that contain or are enabled by such technologies. This view of technology provides an increased recognition of the digital, computational, and electronic machine-based foundation of modern complex systems and the growing importance of an assured trustworthiness of that foundation in providing the system's functional capability and explicit interaction with its physical machine and human system elements.

³ The term *adversity* refers to those conditions that can cause a loss of assets (e.g., threats, attacks, vulnerabilities, hazards, disruptions, and exposures).

⁴ The phrasing used in this definition of *security* is intentional. [Anderson20] noted that "now that everything's acquiring connectivity, you can't have safety without security, and these ecosystems are emerging." Reflecting this observation, the security definition was chosen to achieve alignment with a prevailing *safety* definition.

⁵ Adapted from [NASA11].

⁶ *Trustworthiness* is not only about demonstrably meeting a set of requirements, but the requirements must also be complete, consistent, and correct. From a security perspective, a trustworthy system is a system that meets a set of well-defined requirements including security requirements.

361 *Systems security engineering*, as a systems engineering subdiscipline, addresses security-relevant
362 considerations intended to produce security outcomes. The engineering efforts are conducted at
363 the appropriate level of fidelity and rigor needed to achieve trustworthiness and assurance
364 objectives. Systems security engineering provides the complementary engineering capability that
365 extends the concept of trustworthiness to deliver trustworthy secure systems. Trustworthy
366 secure systems, through evidence and expert judgment, are deemed to be capable of limiting and
367 preventing the effects of modern adversities. Such adversities come in malicious and non-
368 malicious forms and can emanate from a variety of sources including physical and electronic.
369 Adversities can include attacks from determined and capable adversaries, human errors of
370 omission and commission, accidents and incidents, component faults and failures, abuses and
371 misuses, and natural and human-made disasters.
372

“Security is embedded in systems. Rather than two engineering groups designing two systems, one intended to protect the other, systems engineering specifies and designs a single system with security embedded in the system and its components.”

-- An Objective of Security in the Future of Systems Engineering [FU5E21]

373
374

375 **1.1 PURPOSE AND APPLICABILITY**

376 The purpose of this publication is:

- 377 • To provide a basis to establish a discipline for systems security engineering, as part of systems
378 engineering, in terms of its principles, concepts, activities, and tasks
- 379 • To foster a common mindset to deliver security for any system, regardless of its purpose, type,
380 scope, size, complexity, or stage of the system life cycle
- 381 • To demonstrate how selected systems security engineering principles, concepts, activities,
382 and tasks can be effectively applied to systems engineering activities
- 383 • To advance the field of systems security engineering as a discipline that can be applied and
384 studied
- 385 • To serve as a basis for the development of educational and training programs, including the
386 development of individual certifications and other professional assessment criteria

387 The considerations set forth in this publication are applicable to all federal systems other than
388 those systems designated as national security systems as defined in 44 U.S.C., Section 3542.⁷
389 These considerations have been broadly developed from a technical and technical management
390 perspective to complement similar considerations for national security systems and may be used
391 for such systems with the approval of federal officials exercising policy authority over such
392 systems. State, local, and tribal governments, as well as private sector entities, are encouraged to
393 consider using the material in this publication, as appropriate.

⁷ [OMB M-19-03] states that increasing the trustworthiness of systems is a significant undertaking that requires a substantial investment in the requirements, architecture, design, and development of systems, system components, applications, and networks. The policy requires federal agencies to implement the systems security engineering principles, concepts, techniques, and system life cycle processes in this publication for all high value assets (HVA).

394 The applicability statement is not meant to limit the technical and management application of
395 these considerations. That is, the security design principles, concepts, and techniques described
396 in this publication are part of a *trustworthy secure design* approach as described in [Appendix D](#)
397 and can be applied to any type of system, including:

398 • **New Systems**

399 The engineering effort includes such activities as concept exploration, preliminary or applied
400 research to refine the concepts and/or feasibility of technologies employed in a new system,
401 and an assessment of alternative solutions. This effort is initiated during the concept and
402 development stages of the system life cycle.

403 • **Dedicated or Special-Purpose Systems**

404 - *Security-dedicated or security-purposed systems*: The engineering effort delivers a system
405 that satisfies a security-dedicated need or provides a security-oriented purpose and does
406 so as a stand-alone system that may monitor or interact with other systems. Such systems
407 can include surveillance systems, physical protection systems, monitoring systems, and
408 security service provisioning systems.

409 - *High-confidence, dedicated-purpose systems*: The engineering effort delivers a system
410 that satisfies the need for real-time control of vehicles, industrial or utility processes,
411 weapons, nuclear power plants, and other special-purpose needs. Such systems may
412 include multiple operational states or modes with varying forms of manual, semi-manual,
413 automated, or autonomous modes. These systems have highly deterministic properties,
414 strict timing constraints, functional interlocks, and severe or catastrophic consequences
415 of failure.

416 • **System of Systems**

417 The engineering effort occurs across a set of constituent systems, each system with its own
418 stakeholders, primary purpose, and planned evolution. The composition of the constituent
419 systems into a *system of systems* [Maier98] produces a capability that would otherwise be
420 difficult or impractical to achieve. This effort can occur across a variety of system of systems
421 from a relatively informal, unplanned system of systems concept and evolution that emerges
422 over time via voluntary participation to a more formal execution with the most formal being
423 a system of systems concept that is directed, structured, and planned, and achieved via a
424 centrally managed engineering effort. Any resulting emergent behavior often introduces
425 opportunities and additional challenges for systems security engineering.

426 The design principles, concepts, and techniques can also be applied at any stage in the system life
427 cycle when an engineered approach is needed to achieve any of the following objectives:

428 • **System Modifications**

429 - *Reactive modifications to fielded systems*: The engineering effort occurs in response to
430 adversity that diminishes or prevents the system from achieving the design intent. This
431 effort can occur during the production, utilization, or support stages of the system life
432 cycle and may be performed concurrently with or independent of day-to-day system
433 operations.

434 - *Planned upgrades to fielded systems while continuing to sustain day-to-day operations*:
435 The planned system upgrades may enhance an existing system capability, provide a new

436 capability, or constitute a technology refresh of an existing capability. This effort occurs
437 during the production, utilization, or support stages of the system life cycle.

438 - *Planned upgrades to fielded systems that result in new systems:* The engineering effort is
439 conducted as if developing a new system with a system life cycle that is distinct from the
440 life cycle of a fielded system. The upgrades are performed in a development environment
441 that is independent of the fielded system.

442 • **System Evolution**

443 The engineering effort involves migrating or adapting a system or system implementation
444 from one operational environment or set of operating conditions to another operational
445 environment or set of operating conditions.⁸

446 • **System Retirement**

447 The engineering effort removes system functions or services and system elements from
448 operation, including removal of the entire system, and may also include the transition of
449 system functions and services to another system. The effort occurs during the retirement
450 stage of the system life cycle and may be conducted while sustaining day-to-day operations.

451 **1.2 TARGET AUDIENCE**

452 This publication is intended for systems engineers, security engineers, and other engineering
453 professionals. The term [systems security engineer](#) is used to include systems engineers and
454 security professionals who apply the concepts and principles and perform the activities and tasks
455 described in this publication.⁹ This publication can also be used by professionals who perform
456 other system life cycle activities or tasks. These include:

- 457 • Individuals with security governance, risk management, and oversight responsibilities
- 458 • Individuals with security verification, validation, testing, evaluation, auditing, assessment,
459 inspection, and monitoring responsibilities
- 460 • Individuals with acquisition, budgeting, and project management responsibilities
- 461 • Individuals with system security administration, operations, maintenance, sustainment,
462 logistics, and support responsibilities
- 463 • Providers of technology-related products, systems, or services
- 464 • Educators in academic institutions offering systems engineering, computer engineering,
465 computer science, software engineering, and computer security programs

⁸ Increasingly, there is a need to reuse or leverage system implementation successes within operational environments that are different from how they were originally designed and developed. This type of reuse or reimplementation of systems within other operational environments is more efficient and represents potential advantages in maximizing interoperability between various system implementations. It should be noted that reuse may violate the assumptions used to determine a system or system component was trustworthy.

⁹ Systems security engineering activities and tasks can be applied to a mechanism, component, system element, system, system of systems, processes, or organizations. Regardless of the size or complexity of the entity, there is need for a transdisciplinary systems engineering team to deliver systems that are trustworthy and that satisfy the protection needs and concerns of stakeholders. The processes are intended to be tailored to facilitate effectiveness.

466 1.3 HOW TO USE THIS PUBLICATION

467 This publication is intended to serve as a *reference* and *educational resource* for engineers and
468 engineering specialties, architects, designers, and any individuals involved in the development of
469 trustworthy secure systems and system components. It is meant to be flexible in its application to
470 meet the diverse needs of organizations. There is no expectation that all of the technical content
471 in this publication will be used as part of a systems engineering effort. Rather, the concepts and
472 principles for trustworthy secure design in Appendices D through F as well as the systems life cycle
473 processes and security-relevant activities and tasks in Appendices G through K can be selectively
474 employed by organizations – relying on the experience and expertise of the engineering teams to
475 determine what is correct for their purpose. Applying the content of this publication provides an
476 approach for achieving the security outcomes of a systems engineering perspective on system life
477 cycle processes with the ultimate objective of improving the security and trustworthiness of
478 systems and system components.

479 The system life cycle processes described in this publication can take advantage of any system or
480 software development methodology. It is equally applicable to waterfall, spiral, DevOps, and agile
481 approaches in addition to other approaches. The processes can be applied recursively, iteratively,
482 concurrently, sequentially, or in parallel and to any system regardless of its size, complexity,
483 purpose, scope, environment of operation, or special nature. The full extent of the application of
484 the content in this publication is guided and informed by stakeholder capability needs, protection
485 needs, and concerns with particular attention paid to considerations of cost, schedule, and
486 performance.

487 1.4 ORGANIZATION OF THIS PUBLICATION

488 The remainder of this publication is organized as follows:

- 489 • [Chapter Two](#) presents an overview of systems engineering and the fundamental concepts
490 associated with engineering trustworthy secure systems. This includes basic concepts that
491 address the structure and types of systems; systems engineering foundations; and the
492 concepts of trust and trustworthiness of systems and systems components.
- 493 • [Chapter Three](#) describes foundational system security concepts and an engineering
494 perspective to building trustworthy secure systems. This includes the concepts of security and
495 system security; the nature and character of systems; the concepts of assets and asset loss;
496 reasoning about asset loss; defining protection needs; system security viewpoints;
497 demonstrating system security; and an introduction to systems security engineering.
- 498 • [Chapter Four](#) provides a Systems Security Engineering Framework that includes a problem
499 context, solution context, and trustworthiness context.
- 500 • The following sections provide information to support the engineering of trustworthy secure
501 systems:
 - 502 - [References](#)
 - 503 - [Appendix A](#): Glossary
 - 504 - [Appendix B](#): Acronyms
 - 505 - [Appendix C](#): Security Policy and Requirements

- 506 - [Appendix D](#): Trustworthy Secure Design
- 507 - [Appendix E](#): Principles for Trustworthy Secure Design
- 508 - [Appendix F](#): Trustworthiness and Assurance
- 509 - [Appendix G](#): System Life Cycle Processes Overview
- 510 - [Appendix H](#): Technical Processes
- 511 - [Appendix I](#): Technical Management Processes
- 512 - [Appendix J](#): Organizational Project-Enabling Processes
- 513 - [Appendix K](#): Agreement Processes
- 514

ENGINEERING-DRIVEN SOLUTIONS

The effectiveness of any engineering discipline first requires a thorough understanding of the problem and consideration of all feasible solutions before acting to solve the identified problem. To maximize the effectiveness of systems security engineering, the security requirements for the protection against asset loss must be driven by business, mission, and all other stakeholder asset loss concerns. The security requirements are defined and managed as a well-defined set of engineering requirements and cannot be addressed independently or after the fact.

In the context of systems security engineering, the term *protection* has a broad scope and is primarily focused on the concept of assets and asset loss. The protection capability provided by a system goes beyond prevention and aims to control the events, conditions, and consequences that constitute asset loss. It is achieved in the form of the specific capability and constraints on system architecture, design, function, implementation, construction, selection of technology, methods, and tools and must be “engineered in” as part of the system life cycle process.

Understanding stakeholder asset protection needs (including assets that they own and assets that they do not own but must protect) and expressing those needs through a set of well-defined security requirements is an investment in the organization’s mission and business success in the modern age of global commerce, powerful computing systems, and network connectivity.

515

516 **CHAPTER TWO**517 **SYSTEMS ENGINEERING OVERVIEW**

518 THE CONCEPTS ASSOCIATED WITH SYSTEMS AND SYSTEMS ENGINEERING

519 This chapter presents system, systems engineering, trust, and trustworthiness concepts that
520 provide the foundation for engineering trustworthy secure systems.

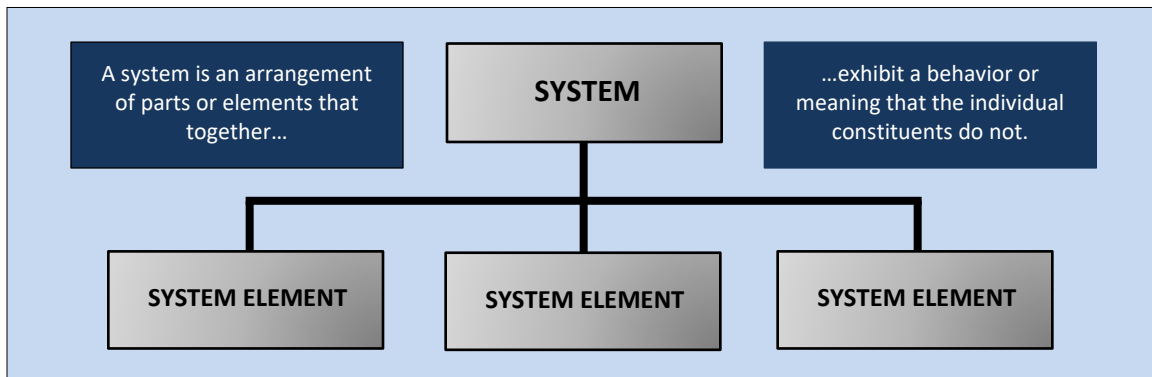
521 **2.1 SYSTEM CONCEPTS**

522 Many system concepts are important to inform engineering trustworthy secure systems. This
523 includes what constitutes a system, the structure of a system, categories of systems, and the
524 concept of a system of systems.

525 **2.1.1 Systems and System Structure**

526 A *system*¹⁰ is an arrangement of parts or elements that together exhibit a behavior or meaning
527 that the individual constituents do not. The properties of a system (i.e., attributes, qualities, or
528 characteristics) emerge from the system's parts or elements and their individual properties, as
529 well as the relationships and interactions between and among the parts or elements, the system,
530 and its environment [INCOSE19]. An *engineered system* is a system designed or adapted to
531 interact with an anticipated operational environment to achieve one or more intended purposes
532 while complying with applicable constraints [INCOSE19]. Figure 1 shows the basic structure of a
533 system including its constituent system elements.^{11 12}

534



535

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FIGURE 1: BASIC SYSTEM AND SYSTEM ELEMENT RELATIONSHIP

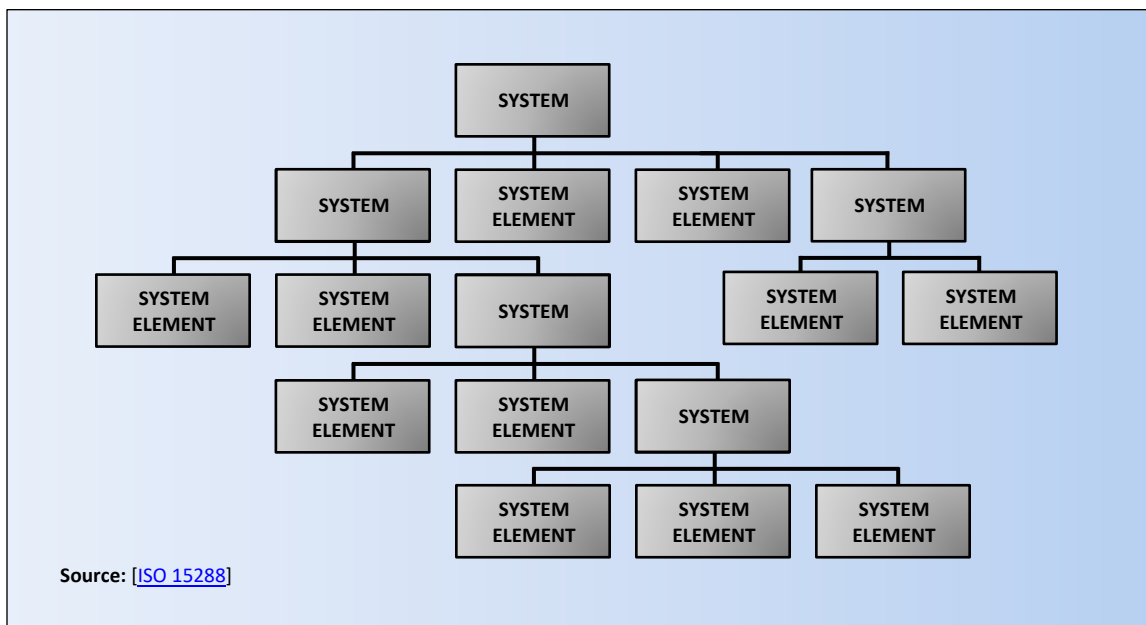
¹⁰ Examples of systems include information systems, communications systems, financial systems, manufacturing systems, transportation systems, logistics systems, medical systems, weapons systems, mechanical systems, space systems, industrial control systems (ICS), Building Management and Building Automation Systems (BMS)/(BAS), optical systems, or electrical systems. Systems may be physical or conceptual; use information technology (IT) or operational technology (OT); include humans; be cyber-physical; and leverage Internet of Things (IoT) or other technologies.

¹¹ A system element can be a discrete component, product, service, subsystem, system, human, organization, infrastructure, or enterprise. System elements are implemented by hardware, software, and firmware that perform operations on information or data; physical structures, devices, and components in the environment of operation; and the people, processes, and procedures for operating, sustaining, and supporting the system elements.

¹² Systems with few or no active functions (e.g., physical infrastructure) may also exhibit assured trustworthiness. For example, the interstate highway system employs safety barriers such as Jersey walls (a system element) that contribute to the transportation system's trustworthiness.

537 The purpose of a system is to deliver a capability. The capability may directly or indirectly interact
 538 with, control, or monitor physical, mechanical, hydraulic, or pneumatic devices or other systems
 539 or capabilities, or it may provide the ability to create, manipulate, access, transmit, store, or share
 540 resources, such as data and information.

541 Figure 2 is a general model for the representation of a hierarchical system. Not all systems, such
 542 as networks, are hierarchical in nature. Non-hierarchical systems have models that more
 543 accurately reflect the relationships of their constituent elements. A system element may itself be
 544 considered a system (i.e., comprised of other system elements). Realizing a system of interest
 545 involves recursively resolving its structure to the point where understandable and manageable
 546 system elements can be implemented (i.e., developed, bought, or reused) and subsequently
 547 integrating those elements into the system.
 548



549
 550

FIGURE 2: MODEL FOR A SYSTEM AND ITS ELEMENTS

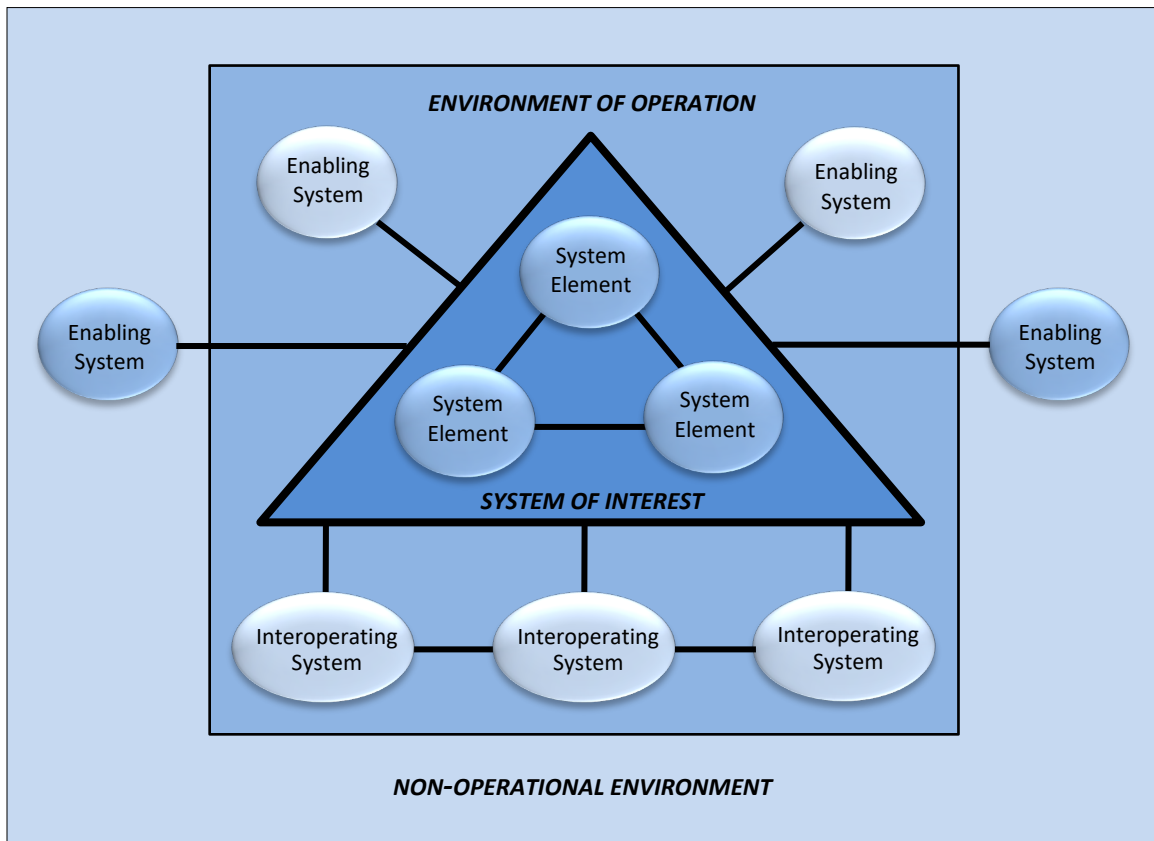
551 A *system of systems* is a set of systems and system elements interacting to provide a unique
 552 capability that none of the constituent systems can accomplish on its own. The elements of a
 553 system of systems are, by definition, systems themselves. A system of systems consists of several
 554 constituent systems plus any inter-system infrastructure, facilities, and processes necessary to
 555 enable the constituent systems to integrate or interoperate [ISO 21841].

556 2.1.2 Interfacing, Enabling, and Interoperating Systems

557 *Interfacing systems* are systems that interact with the system of interest. Interfacing systems have
 558 an interface for exchanging data, energy, or other resources with the system of interest. An
 559 interfacing system exchanges resources with the system of interest during one or more system
 560 life cycle stages, such as a system that interfaces for maintenance purposes or a system used to
 561 develop the system of interest. The relationships with interfacing systems can be either bi-
 562 directional or one way. Interfacing systems have two specific subsets: *enabling systems* and
 563 *interoperating systems*.

- 564 • **Enabling systems** provide essential services required to create and sustain the system of
 565 interest. Examples of enabling systems include software development environments,
 566 production systems, training systems, maintenance systems.
- 567 • **Interoperating systems** interact with the system of interest for the purpose of jointly
 568 performing a function.

569 Figure 3 illustrates the relationship between the system of interest and its interfacing systems in
 570 both the environment of operation and non-operational (external) environment.
 571



572
 573

FIGURE 3: SYSTEM OF INTEREST AND INTERFACING SYSTEMS

574 2.2 SYSTEMS ENGINEERING FOUNDATIONS

575 *Systems engineering* is a transdisciplinary and integrative approach to enabling the successful
 576 realization, use, and retirement of engineered systems. It employs systems principles and
 577 concepts, as well as scientific, technological, and management methods to achieve such systems
 578 [INCOSE]. Systems engineering is *system-holistic* in nature, whereby the contributions across
 579 multiple engineering and specialty disciplines are evaluated and balanced to produce a coherent
 580 system capability. Systems engineering applies systems science and systems thinking¹³ to solve
 581 problems and balances the often-conflicting needs, priorities, and constraints of performance,

¹³ *Systems science* is an interdisciplinary field that studies complex systems in nature, society, and science. It aims to develop interdisciplinary foundations that are applicable in a variety of areas, such as social sciences, engineering, biology, and medicine. *Systems thinking* is a discipline of examining wholes, interrelationships, and patterns [SEBoK].

582 cost, schedule, and effectiveness to optimize the objectives for the solution with an acceptable
583 level of uncertainty. Systems engineering is *outcome-oriented* and leverages engineering
584 processes to realize a system while effectively managing complexity and serving as the principal
585 integrating mechanism for the technical, management, and support activities related to the
586 engineering effort. Finally, systems engineering is *data-* and *analytics-driven* to ensure that all
587 decisions and trades are guided and informed by data produced by analyses conducted with an
588 appropriate level of fidelity and rigor.

589 Systems engineering efforts are complex, requiring close coordination between the *engineering*
590 *team* and stakeholders throughout the system life cycle stages.¹⁴ While systems engineering is
591 typically considered in terms of its developmental role as part of capability acquisition, systems
592 engineering efforts and responsibilities do not end once a system completes development and is
593 transitioned to the environment of operation for day-to-day operational use. Stakeholders
594 responsible for the system's utilization, support, and retirement provide data to the systems
595 engineering team on an ongoing basis. This data captures experiences, problems, and issues
596 associated with system operation, maintenance, and sustainment. Stakeholders also advise on
597 enhancements and improvements made or desired. In addition, field engineering (also known as
598 sustainment engineering) provides on-site, full system life cycle engineering support for
599 operations, maintenance, and sustainment organizations. Field engineering teams coexist with or
600 are dispatched to operational sites and maintenance depots to provide continuous systems
601 engineering support.

602 Systems engineering efforts are system specific and context dependent in application. The context
603 includes stakeholders, operating environment, system purpose, and the relationships of the
604 system to other systems, its users, and the owning organization. Systems engineering is
605 concerned with defining and combining a system's multiple subsystems of various physical and
606 logic types to accomplish the system purpose. This necessitates the integration of relevant
607 engineering and science disciplines in a transdisciplinary role. Systems engineering influences and
608 is influenced by organizational structure, budget, schedule, government/corporate/company
609 policy, regulations, law, and culture. Therefore, every project has constraints beyond the physical,
610 logical, and environmental contexts of the system of interest. Additionally, the system design
611 choices may influence all these factors (e.g., government policy and law may be based on the
612 understanding of legislators on which systems can achieve intent).

613 There are many additional resources available that provide a more in-depth examination of
614 systems engineering.^{15 16} Such discussions are beyond the scope of this publication.

¹⁴ Nomenclature for stages of the system life cycle varies but often includes concept analysis; solution analysis; technology maturation; system design and development; engineering and manufacturing development; production and deployment; training, operations, and support; and retirement and disposal.

¹⁵ The International Council on Systems Engineering (INCOSE) is a not-for-profit organization founded to promote systems engineering and connect its practitioners. INCOSE offers a systems engineering handbook [INCOSE14] and Systems Engineering Book of Knowledge [SEBoK] as general resources, periodicals such as INCOSE INSIGHT, and other resources through their website (www.incose.org). These resources address specific processes and practices within systems engineering, many referenced within this publication.

¹⁶ The National Aeronautical and Space Administration (NASA) has published a significant amount of material on systems engineering as it is applied to the NASA community. Publications include the NASA Systems Engineering Handbook [NASA07] and two volumes of expanded guidance. Volume 1 discusses systems engineering practices [NASA16]. Volume 2 addresses crosscutting and special topics [NASA18].

615

CRITICAL SYSTEM BEHAVIORS OF THE FUTURE

“To deliver system behavior, the systems engineer must define a group of subsystems and precisely how those subsystems are to interact with each other. It is the subsystems and their interactions which produce the system-level *behavior*. Many of us recognize a vehicle that can take a 60-degree curve at 200 miles per hour as possessing a valuable system behavior. Would we as quickly recognize safe, private, trusted, and available as system behaviors? These behaviors require the same careful system-level design and trades to achieve optimal solutions as the performance system behavior I mentioned above. And there is a clear need—investors want the system to keep their data private, to be safe, and to be trustworthy so that their control is not compromised by a cyber threat, and to be highly available.

If we systems engineers are willing to recognize these behaviors as system behaviors, then we are accountable for delivering them as part of our job. If we choose to view these behaviors as attributes of the parts of our system but not the system as a whole, then we are likely to consider them as jobs for the “specialty engineers.” I’ve looked back into past behaviors of our system engineering community. What I find are examples of systems engineers giving our “specialty engineering” colleagues these challenges by way of the requirements-allocation process. I think we have been wrong to do this. Our “specialty” colleagues are likely to take these allocated requirements and focus on building safe, private, trusted, available parts of a system—rather than in delivering safe, private, trusted, and available system behaviors. It is true you can build a safer system by building safe parts. However, you can’t build a truly safe system without having safe parts interacting with each other in a safe manner. The same can be said for other system behaviors (private, trusted, available, and so on).” [\[INCOSE13\]](#)

-- John A. Thomas
President, INCOSE

616
617

618 2.3 TRUST AND TRUSTWORTHINESS

619 The concepts of *trust* and *trustworthiness* are foundational to engineering trustworthy secure
620 systems, to the decisions made to grant trust, and to the extent which trust is granted based on
621 *demonstrated* trustworthiness. Trust is a belief that an entity meets certain expectations, and
622 therefore, can be relied upon. The terms *belief* and *can* imply that trust may be granted to an
623 entity whether the entity is trustworthy or not. A trustworthy entity is one for which sufficient
624 evidence exists to support its claimed trustworthiness. Thus, trustworthiness is the demonstrated
625 ability and, therefore, the worthiness of an entity to be trusted to satisfy expectations, including
626 satisfying expectations in the face of adversity. Trustworthiness, being something demonstrated,
627 is based on evidence that supports a claim or judgment of an entity being worthy to be trusted
628 [\[Schroeder77\]](#) [\[Neumann04\]](#) [\[Levin07\]](#).

629 Since trust is not necessarily based on a judgment of trustworthiness, the decision to trust an
630 entity should consider the consequences, effects, and impacts of expectations not being fulfilled
631 because of non-performance, whether due to failure, deficiency, or incompetence. Trust that is
632 granted without establishing the required trustworthiness is a significant contributor to risk. The
633 concepts of trust and trustworthiness are discussed in greater detail in [Appendix F](#).

634

ENGINEERING FOR TRUST

In January 2022, INCOSE released the Systems Engineering Vision 2035 [INCOSE22]. It is intended to inspire and guide the strategic direction for the global systems engineering community. A core element identified for the future state of systems engineering is increased confidence in systems to improve the practice of engineering trusted systems.

[FUSE21] noted that a key problem to address in realizing Vision 2035 is that “Systems security has moved from its traditional focus on trust to a more singular focus on risk.” The need is to prove a level of system security through evidence-based assurance.

635

636 CHAPTER THREE

637 SYSTEM SECURITY CONCEPTS

638 ENGINEERING PERSPECTIVE TO ENGINEER TRUSTWORTHY SECURE SYSTEMS

639 This chapter describes the aspects necessary for a systems engineering perspective on security. A
640 systems engineering perspective on security requires an understanding of the concepts of security
641 ([Section 3.4](#)) and system security ([Section 3.5](#)), as well as the nature and characteristics of systems
642 ([Section 3.1](#)). It also requires an understanding of the concepts of assets ([Section 3.2](#)) and loss
643 ([Section 3.3](#)) in order to reason about asset loss ([Section 3.6](#)) and determine protection needs
644 ([Section 3.7](#)). In satisfying such needs, specific viewpoints ([Section 3.8](#)) and how security is
645 demonstrated are considered, including what is adequate ([Section 3.9](#)). Holistically, the systems
646 engineering subdiscipline that encompasses these considerations is referred to as *systems*
647 *security engineering* ([Section 3.10](#)).

648 3.1 THE CONCEPT OF SECURITY

649 A system with freedom from those conditions that can cause a loss of assets with unacceptable
650 consequences must provide the intended behaviors and outcomes (e.g., the intended system
651 functionality) and avoid any unintended behaviors and outcomes that constitute a loss. The term
652 *intended* has two cases, both of which must be satisfied:

- 653 • **Design intent:** As intended by the design
- 654 • **User intent:** As intended by the user

655 A system delivering a capability per the design intent but inconsistent with the user intent
656 constitutes a loss. For example, vehicle control loss might result from a failure in the vehicle's
657 steering control function (i.e., failure to meet the design intent) or through an attack that takes
658 control away from the driver (i.e., failure to meet the user intent). The primary security objective
659 is to ensure only the intended behaviors and outcomes occur, both with the system and within
660 the system.¹⁷ Every security need and concern derive from this objective, which is based on the
661 concept of *authorization* for what is and is not allowed.¹⁸ As such, the primary security control
662 objective is enforcing constraints in the form of rules for allowed and disallowed behaviors and
663 outcomes. This control objective – and a foundational principle of trustworthy secure design – is
664 [Mediated Access](#). If access is not mediated (i.e., controlled though enforcing constraints) following
665 a set of non-conflicting rules, then no basis exists upon which to claim security is achieved.

666 The rules for mediated access are stated in a set of security policies¹⁹ that reflect or are derived
667 from laws, directives, regulations, life cycle concepts,²⁰ requirements, or other specifically stated
668 stakeholder objectives. A security policy includes a *scope of control* that establishes bounds within

¹⁷ Intended behaviors include interactions. Relevant interactions include human-to-machine and machine-to-machine interactions. Human-to-machine interactions are typically transformed into machine-to-machine interactions, whereby a machine element operates on behalf of the human.

¹⁸ An attacker seeks to produce unauthorized behaviors or outcomes. Attackers attempt to accomplish something that they are not authorized to accomplish, even if that behavior or outcome is authorized for some other entity.

¹⁹ A *security policy* is a set of rules governing security-relevant system and system element behavior. See [Appendix C](#).

²⁰ Life cycle concepts include operation, sustainment, evolution, maintenance, training, startup, and shutdown.

669 which the policy applies. Security policy rules are stated in terms of subjects (active entities),
670 objects (passive entities), and the operations the subject can perform or invoke on the object.²¹
671 The rules govern *subject-to-object* and *subject-to-subject* behaviors and outcomes. Each security
672 policy rule must be accurate, consistent, compatible, and complete with respect to stakeholder
673 objectives for the defined scope of control.²² Inconsistency, incompatibility, or incompleteness in
674 the security policy rules leads to protection gaps. Equally important is that the security protection
675 capabilities of the system are aligned with and can achieve the expectations of the policy.

676 *Privileges*²³ define the set of allowed and disallowed behavior and outcomes granted to a subject.
677 Privileges are the basis for making mediated access decisions. A restrictive default practice for
678 security policy enforcement is to design the enforcement mechanism to allow only what the policy
679 explicitly allows and to deny everything else. For a system to be deemed trustworthy secure, there
680 must be sufficient confidence that the system is capable of enforcing security policy on a
681 continuous basis for the duration of the time that the security policy is in effect ([Appendix F](#)).

682 3.2 THE CONCEPT OF AN ADEQUATELY SECURE SYSTEM

683 *Adequate security* is a concept that enables meaningful judgments about the idealistic nature of
684 security objectives. The definition of security expresses an ideal that encapsulates three essential
685 characteristics of a secure system. A secure system:

- 686 • Enables the delivery of the required system capability despite intentional and unintentional
687 forms of adversity
- 688 • Enforces constraints to ensure that only the desired behaviors and outcomes associated with
689 the required system capability are realized while satisfying the first aspect
- 690 • Enforces constraints based on a set of rules to ensure that only authorized human-to-machine
691 and machine-to-machine interactions and operations are allowed to occur while satisfying
692 the second aspect

693 These characteristics are to be achieved to the extent practicable, therefore resulting in a gap
694 between the ideal secure system and the security performance that the system can dependably
695 achieve.²⁴ The judgment that a system is *adequately secure*²⁵ requires an evidence-based
696 determination that security performance is optimized against all other performance objectives
697 and constraints. The scope of conditions relevant to security and the acceptable level of security
698 are specific to the stakeholder needs. To be adequately secure, the system:

- 699 • Is assessed to meet minimum tolerable levels²⁶ of security, as determined by experience,
700 analysis, or a combination of both
- 701 • Is as secure as reasonably practicable (ASARP), (i.e., an incremental improvement in security
702 would require a disproportionate deterioration of meeting other system cost, schedule, or

²¹ Active entities exhibit behavior (e.g., a process in execution) while passive entities do not (e.g., data, file).

²² At the highest level of assurance, security policies are formally specified and verified.

²³ Privileges are also referred to as authorizations or rights.

²⁴ Because system security is asymmetric – that is, things can be observed to be insecure, but no observation allows one to declare an arbitrary system secure [[Herley16](#)] – the ideal cannot be achieved without some uncertainty.

²⁵ The concept of *adequately secure* is an adaptation of the concept of *adequately safe* from [[NASA14](#)].

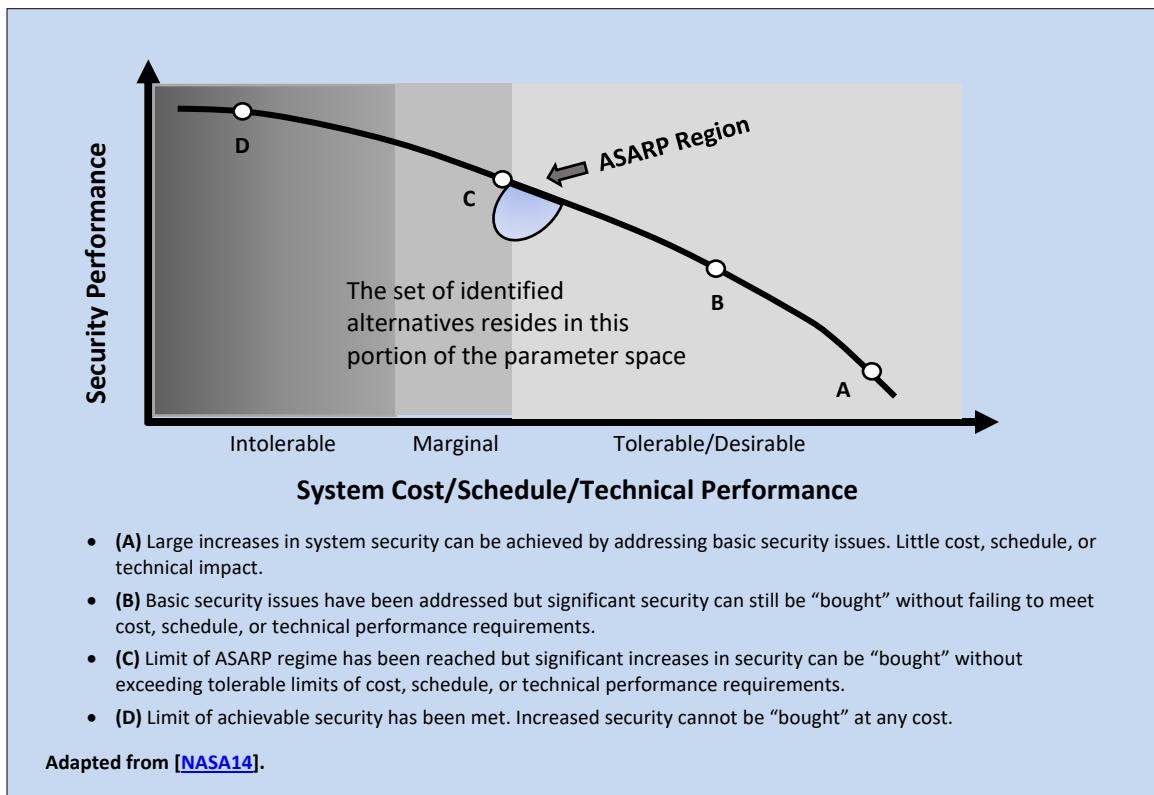
²⁶ Below such levels, the system is considered insecure.

703 performance objectives, would violate system constraints, or would require unacceptable
704 concessions such as an unacceptable change in the way operations are performed)

705 An adequately secure system does not necessarily preclude all of the conditions that can lead to
706 undesirable consequences. The minimum tolerable levels of security and interpretations of “as
707 secure as reasonably practicable” may not be fixed over the life of a system. The information
708 gathered while the system is in use and the lessons learned may inform candidate modifications
709 that raise the bar on either or both.

710 The concept of adequately secure is therefore, inherently context-dependent, and subjective in
711 nature. It is based on the assertions and expectations about the system security objectives and
712 determining those objectives have been achieved. Figure 4 illustrates the tradeoffs between
713 system security and the cost, schedule, and technical performance of the system.

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FIGURE 4: SYSTEM SECURITY AND COST/SCHEDULE/TECHNICAL PERFORMANCE

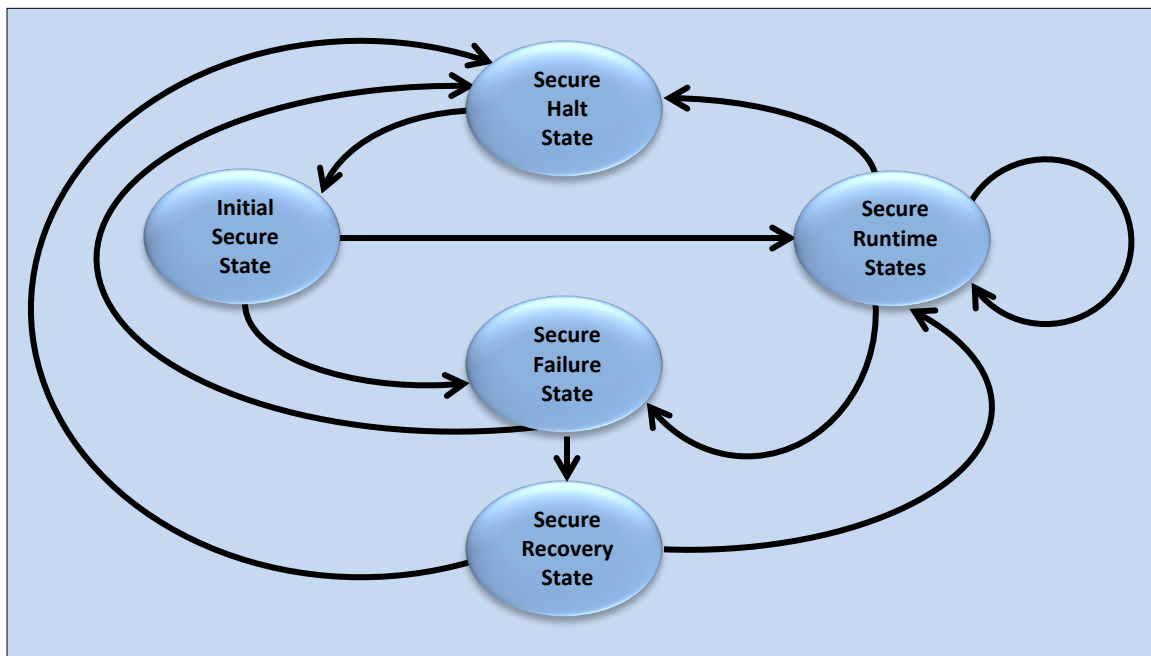
717 All systems operate in and transition between a set of states. These states and transitions may
718 correspond to or be defined by characteristics of the system, such as how the system functions
719 (e.g., start, run, idle, recovery), how the system is used (e.g., operational, training, maintenance,
720 peacetime, wartime), and by environment conditions (e.g., temperature ranges, under fire or
721 not). There are security characteristics that determine whether each state or transition is secure,
722 insecure, or indeterminate (unknown whether secure or insecure). Adequate security depends on
723 being able to distinguish among secure, insecure, and indeterminate states and to keep the
724 system operating in secure states by applying the principles of [Protective Failure](#) and [Protective
725 Recovery](#).

726 System states may be secure states (i.e., what states are desired and allowed) and insecure states
 727 (i.e., what states are not desired nor allowed). Ideally, a secure system is a system that begins
 728 execution in a secure state and does not transition to an insecure state. That is, every state
 729 transition results in the same or another secure state. Each state transition must also be secure.
 730 Figure 5 illustrates a subset of these “idealized” secure system state transitions.

731 Protective failure requires the ability to: (1) detect that the system is in an insecure state, and (2)
 732 detect a transition that will place the system into an insecure state for the purposes of responding
 733 to avoid the propagation of new failure. Protective failure calls for responsive and corrective
 734 actions, including (when needed) transitioning to a secure halt state with a protected recovery to
 735 allow for the continuation of operations in a reconstituted, reconfigured, or alternative secure
 736 operational mode. Other stakeholder objectives may necessitate the continuation of operations
 737 in a less-than-fully-secure state and should be reflected as necessary in such things as policy and
 738 requirements ([Appendix C.3](#)).

739 Protective recovery requires the ability to take reactive, responsive, or corrective action to
 740 securely transition from an insecure state to a secure state (or a less insecure state). The secure
 741 state achieved after completing protective recovery actions includes those actions that limit or
 742 prevent any further state transition and those that constitute a type of degraded capability, mode,
 743 or operation.

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FIGURE 5: IDEALIZED NOTIONAL SECURE SYSTEM STATE TRANSITIONS

747 3.3 THE NATURE AND CHARACTER OF SYSTEMS

748 The nature and characteristics of systems, their interrelationships with other systems, and their
 749 role as part of a system of systems all impact security (including determining adequate security)
 750 and efforts to achieve a trustworthy secure system of interest. The system characteristics that
 751 impact system security and trustworthiness vary and can include:

- 752 • System type, function, and primary purpose
- 753 • System technological, mechanical, physical, and human element characteristics
- 754 • System states and modes of operation
- 755 • Criticality or importance of the system
- 756 • Ramifications of the system’s failure to meet its performance expectations, to function
- 757 correctly, to produce only the intended behaviors and outcomes, and to provide for its own
- 758 protection (i.e., self-protection)²⁷
- 759 • System concept for the delivery of capability
- 760 • Approach to acquisition of the system
- 761 • Approach to managerial and operational governance
- 762 • Value, sensitivity, and criticality of assets entrusted to and used by the system
- 763 • The system’s interfaces and those interfacing systems that interact through those interfaces
- 764 • Role as a constituent system in one or more system of systems

765 **3.4 THE CONCEPT OF ASSETS**

766 An asset is an item of value. There are many different types of assets. Assets are broadly
 767 categorized as either *tangible* or *intangible*. Tangible assets include physical items, such as
 768 hardware, computing platforms, or other technology components. Intangible assets include
 769 humans, firmware, software, capabilities, functions, services, trademarks, intellectual property,
 770 data, copyrights, patents, image, or reputation.²⁸ Within asset categories, assets can be further
 771 identified and described in terms of common asset classes as illustrated in Table 1.

772 Assets may also be considered as individual items or as an aggregate or group of items that spans
 773 asset types or asset classes (e.g., personnel data, fire control function, environmental sensor
 774 capability). This publication uses the term *asset of interest* to emphasize and establish bounds on
 775 the scope of reasoning for a specific asset, asset type, or asset class.

776 **TABLE 1: COMMON ASSET CLASSES**

ASSET CLASS	DESCRIPTION	LOSS PROTECTION CRITERIA
MATERIAL RESOURCES AND INFRASTRUCTURE	This asset class includes physical property (e.g., buildings, facilities, equipment) and physical resources (e.g., water, fuel). It also includes the basic physical and organizational structures and facilities (i.e., infrastructure) needed for an activity or the operation of an enterprise or society. ²⁹ An infrastructure may be comprised of assets in other classes. For example, the National Airspace System	<i>Material resources</i> are protected from loss if they are not stolen, damaged, or destroyed or are able to function or be used as intended, as needed, and when needed. <i>Infrastructure</i> is protected from loss if it meets performance expectations while delivering only

²⁷ To the extent feasible, *self-protection* is a required capability that enables the system to deliver the required stakeholder capabilities while also protecting their assets against loss and the consequences of loss.

²⁸ Humans are perhaps the most important and valuable of all intangible assets. Safety explicitly considers the human asset, and that same consideration is equally applicable to security.

²⁹ Adapted from the Merriam Webster and Oxford definitions of *infrastructure*.

ASSET CLASS	DESCRIPTION	LOSS PROTECTION CRITERIA
	(NAS) may be considered infrastructure that itself is a system and contains other elements that are forms of systems and infrastructures, such as Air Traffic Control, navigational aids, weather aids, airports, and the aircraft that maneuver within the NAS.	the authorized and intended capability and producing only the authorized and intended outcomes.
SYSTEM CAPABILITY	This asset class is the set of capabilities or services provided by the system. Generally, system capability is determined by: (1) the nature of the system (e.g., entertainment, vehicular, medical, financial, industrial, or recreational), and (2) the use of the system to achieve mission or business objectives.	<i>System capability</i> is protected from loss if the system meets its performance expectations while delivering only the authorized and intended capability and producing only the authorized and intended outcomes.
HUMAN RESOURCES	This asset class includes personnel who are part of the system and personnel who are directly or indirectly involved with or affected by the system. The consequences of loss associated with the system may significantly change the importance of this asset class (e.g., the effect on personnel due to a failure of a guidance system in an aircraft is significantly different from the effect on personnel due to the breach of a system that compromises individual credit card information).	<i>Human resources</i> are protected from loss if they are not injured, suffer illness, or killed.
INTELLECTUAL PROPERTY³⁰	This asset class includes trade secrets, recipes, technology, ³¹ and other items that constitute an advantage over competitors. The advantage is domain-specific and may be referred to as a competitive advantage, technological advantage, or combative advantage.	<i>Intellectual property</i> is protected from loss if it is not stolen, corrupted, destroyed, copied, substituted in an unauthorized manner, or reverse-engineered in an unauthorized manner.
DATA AND INFORMATION	This asset class includes all types of data and information (aggregations of data) and all encodings and representations of data and information (e.g., digital, optical, audio, visual). There are general sensitivity classes of data and information that do not fall within the above categories, such as classified information, Controlled Unclassified Information (CUI), and unclassified data and information.	<i>Data and information</i> are protected from loss due to unauthorized alteration, exfiltration, infiltration, and destruction.
DERIVATIVE NON-TANGIBLES	This asset class is comprised of derivative, non-tangible assets, such as image, reputation, and trust. These assets are defined, assessed, and affected – positively and negatively – by the success or failure to provide adequate protection for assets in the other classes.	<i>Non-tangible assets</i> are protected from loss by ensuring the adequate protection of assets in the other classes.

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³⁰ The term *intellectual property* is defined as an output of a creative human thought process that has some intellectual or informational value [ISO 24765]. Examples include microcomputer design and computer programs.

³¹ The term *technology* is defined as the application of scientific knowledge, tools, techniques, crafts, systems, or methods of organization to solve a problem or achieve an objective [ISO 16290].

779 The *valuation* of an asset is a key input in decision-making about investments to protect an asset.
780 Stakeholders determine valuation. For those cases where an asset is associated with multiple
781 stakeholders, there may be differing, contradictory, competing, or conflicting concerns about the
782 valuation of the asset. These differences are addressed as part of discussions that resolve
783 differences associated with agreements on needs, expectations, and requirements. An asset's
784 valuation may be influenced by a variety of factors that include the cost (i.e., monetary, time,
785 material, human resources) to develop or acquire, the cost to maintain, the cost to repair or
786 replace, the cost if the asset is not repairable or replaceable, and the importance of completing
787 an objective.

788 3.5 THE CONCEPTS OF LOSS AND LOSS CONTROL

789 Loss is the experience of having an asset taken away or destroyed or the failure to keep or to
790 continue to have an asset in a desired state or form.³² A loss typically results from an adverse
791 event or condition that causes unacceptable ramifications, consequences, or impacts. A specific
792 loss is determined and assessed independent of the causal events and conditions necessary to
793 produce the loss (i.e., the triggering event, such as an error of omission, or the exploitation event,
794 such as an attack). Examples of resultant adverse events or conditions and their ramifications,
795 impacts, or consequences include:

796 1. **Adverse event or condition:** Data is stolen or inadvertently disclosed on a public website; it
797 is no longer solely in the possession of the owner or entities authorized by the owner.

798 **Ramification, impact, or consequence:** Market share and competitive advantage is taken
799 away because the data that was lost or stolen provided detailed instructions for a precision
800 machining method that no other company possessed.

801 2. **Adverse event or condition:** Flat tire on a vehicle; it no longer supports the vehicle weight.

802 **Ramification, impact, or consequence:** One cannot drive the vehicle and needs alternate
803 transportation to get to work, the store, or go on vacation.

804 3. **Adverse event or condition:** Confidence in the system of interest operating correctly is lost
805 or questioned.

806 **Ramification, impact, or consequence:** A loss of trust in the system and its outputs, whether
807 the loss of confidence is justified or not.

808 While the loss condition or event is negative relative to the intended norm, the effect of the loss
809 can be either neutral/inconsequential or negative/consequential. For example, a flat tire on a
810 vehicle that is used only for off-road excursion is neutral /inconsequential if no such excursion is
811 planned or affected.

812 Loss may occur because of a single or combination of intentional and unintentional causes, events,
813 and conditions. These may include the authorized or unauthorized use of the system; intentional
814 acts of disruption or subversion; human and machine faults, errors, and failures; human acts of
815 misuse and abuse; and the by-product of emergence, side effects, and feature interaction. These
816 losses may be inconsequential to the mission or business objectives that the system supports –
817 the objectives may still be achieved despite suffering an immediate or eventual loss that impacts
818 other stakeholder objectives.

³² Adapted from the Merriam Webster definition of loss.

819 The potential to experience loss suggests the need for *loss control objectives* which serve as the
 820 basis for judgments about effectively addressing the prevention and limiting of loss. This includes
 821 the resultant adverse events and conditions and their ramifications. The loss control objectives
 822 also serve as the basis to acquire evidence of assurance that the system as designed, built, used,
 823 and sustained will adequately protect against loss while achieving its design intent. The loss
 824 control objectives reflect an ideal to preserve the assets’ characteristics (i.e., state, condition,
 825 form, utility) to the extent practicable despite the potential for those characteristics to be
 826 changed. The objectives accept uncertainty in the form of limits to what can be done (i.e., not all
 827 losses can be avoided) and limits to the effectiveness of what is done (i.e., anything done has its
 828 scope of effectiveness and set of potential failure modes).

829 Due to uncertainty, it is not possible to guarantee that some form of loss will not occur. There is
 830 a need to place an emphasis on protection against the effects of loss, including cascading or ripple
 831 events (i.e., the immediate effect of a loss causes some additional unintended or undesired effect
 832 or causes additional losses to occur). Thus, holistically protecting against loss and the unintended
 833 or undesired effects of loss considers the full spectrum of possible loss across types of losses and
 834 loss effects associated with each asset class. This is important considering that all forms of
 835 adversity are not knowable. Therefore, it is prudent to ensure there is focus on the effect to be
 836 controlled rather than on the cause when protecting against loss. A focus on cause is important,
 837 but that focus should have a basis in the effect to be controlled.

838 The loss control objectives in Table 2 address the possibilities to control the potential for loss and
 839 the effects of loss given the limits of certainty, feasibility, and practicality. Collectively, the loss
 840 control objectives include the concerns attributed to security and to system safety, survivability,
 841 and resilience. Note that satisfying loss control objectives may require trade-offs. Avoiding or
 842 limiting the loss of one asset may come at the expense of not avoiding or limiting the loss of
 843 another asset, as well as having trade-offs with other objectives (e.g., cost and schedule).

844

TABLE 2: LOSS CONTROL OBJECTIVES

LOSS CONTROL OBJECTIVE	DISCUSSION
LOSS PREVENTION <i>(Prevent the loss from occurring)</i>	<ul style="list-style-type: none"> • This is the case where a loss is totally avoided. That is, despite the presence of adversity: <ul style="list-style-type: none"> - The system continues to provide <i>only</i> the intended behavior and produces <i>only</i> the intended outcomes - The desired properties of the system and assets used by the system are retained - The assets continue to exist • Loss avoidance may be achieved by any combination of: <ul style="list-style-type: none"> - Preventing or removing the event or events that cause the loss - Preventing or removing the condition or conditions that allow the loss to occur - Not suffering an adverse effect despite the events or conditions • Terms such as <i>avoid, continue, delay, divert, eliminate, harden, prevent, redirect, remove, tolerate, and withstand</i> are typically used to characterize approaches to achieve this objective such that a loss does not occur despite the system being subjected to adversity • The term <i>tolerate</i> refers to the objective of fault/failure tolerance, whereby adversity in the form of faults, errors, and failures is rendered inconsequential and does not alter or prevent the realization of authorized and intended system behavior and outcomes (i.e., the faults, efforts, and failures are tolerated)

LOSS CONTROL OBJECTIVE	DISCUSSION
<p>LOSS LIMITATION <i>(Limit the extent of the loss)</i></p>	<ul style="list-style-type: none"> • This covers cases where a loss can or has occurred, and the extent of loss is to be limited • The extent of loss can be limited in terms of any combination of the following: <ul style="list-style-type: none"> - Limited dispersion (e.g., migration, propagation, spreading, ripple, domino, or cascading effects) - Limited duration (e.g., milliseconds, minutes, hours, days) - Limited capacity (e.g., diminished utility, delivery of function, service, or capability) - Limited volume (e.g., bits or bytes of data/information) • Decisions to limit the extent of loss may require prioritizing what constitutes acceptable loss across a set of losses, whereby the objective to limit the loss for one asset requires accepting a loss of some other asset • The extreme case of loss limitation is to avoid destruction of the asset • Terms such as <i>tolerate</i>, <i>withstand</i>, <i>remove</i>, <i>continue</i>, <i>constrain</i>, <i>stop/halt</i>, and <i>restart</i> fall into this category in the case where the loss occurs and the system can, or enables the ability to, limit the effect of the loss • Loss recovery and loss delay are two means to limit loss: <ul style="list-style-type: none"> - <i>Loss Recovery</i>: Action is taken by the system or enabled by the system to recover (or allow the recovery of) some or all of its ability to function (i.e., behave, interact, produce outcomes) and to recover assets used by the system (e.g., re-imaging, reloading, or recreating data and information, including software in the system). The restoration of the asset, fully or partially, can limit the dispersion, duration, capacity, or volume of the loss. - <i>Loss Delay</i>: The loss event is avoided until the adverse effect is lessened or when a delay enables a more robust response or quicker recovery. • System and environmental conditions may be assumed to result in loss, but measures are taken to limit impacts • Terms such as <i>contain</i>, <i>recover</i>, <i>restore</i>, <i>reconstitute</i>, <i>reconfigure</i>, and <i>restart</i> are typically used to characterize approaches to achieving this objective

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846 **3.6 REASONING ABOUT ASSET LOSS**

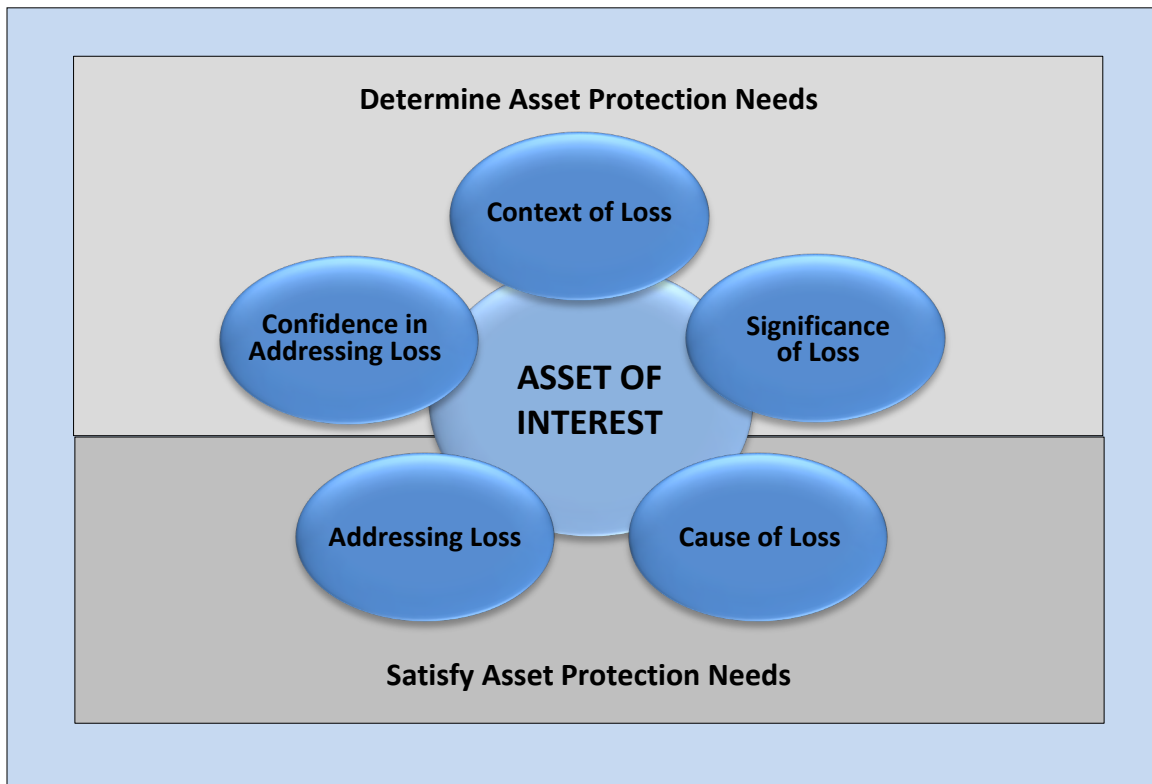
847 As shown in Figure 6, the elements of a structured approach to reason about asset loss include:
 848 (1) context of loss, (2) confidence in addressing loss, (3) significance of loss, (4) addressing loss,
 849 and (5) cause of loss. The elements provide an asset-protection basis to determine the objectives
 850 for a secure system, optimize the system protection capability, and judge the overall suitability
 851 and effectiveness of the implemented protections.³³ The elements are also grouped into two
 852 objectives to facilitate reasoning about the *asset of interest*:

- 853 • **OBJECTIVE 1:** *Determine* asset protection needs
- 854 - **Context of Loss:** The scope and criteria that bounds reasoning about asset loss
 - 855 - **Significance of Loss:** The effect of asset loss (or adverse impact) based upon its valuation
 - 856 - **Confidence in Addressing Loss:** The assurance to be achieved based on claims-driven and
 857 evidence-based arguments about the effectiveness of what is done to address potential
 858 and actual loss

³³ Applying the asset reasoning approach works equally to reason about assets in terms of mission (i.e., mission-driven asset reasoning), organization (i.e., organization-driven asset reasoning), and enterprise (i.e., enterprise-driven asset reasoning).

- 859 • **OBJECTIVE 2:** *Satisfy* asset protection needs
- 860 - **Cause of Loss:** The events, conditions, or circumstances that describe what has happened
- 861 before and what can happen in the future and that constitute the potential for loss to
- 862 occur
- 863 - **Addressing Loss:** The various actions taken to exercise control over loss to the extent
- 864 practicable. The control objectives are to prevent loss from occurring and to limit the
- 865 extent and duration for those losses that do occur. Limiting loss includes recovery from
- 866 loss to the extent practicable.

867 Each of these elements is discussed in greater detail below.



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FIGURE 6: REASONING ABOUT ASSET PROTECTION

870 The *asset of interest* is the asset class, asset type, or individual asset being addressed. Reasoning

871 about loss is based on the asset of interest. Distinguishing the asset of interest from all other

872 assets provides clarity in the interpretation of loss for the asset of interest and the associated

873 judgments of suitability and effectiveness of protections employed. A focus on a specific asset

874 class, type, or discrete element also enables precise traceability to requirements that support the

875 analysis needed to determine the protection-relevant impact of changes to requirements.

876 The *context of loss* establishes the boundary, scope, and time frame for the reasoning, analyses,

877 assessments, and conclusions about the asset of interest. The context of loss also provides a basis

878 to relate and trace asset dependencies and interactions and to group assets for protection. The

879 context of loss time frame is particularly important because the asset of interest has a life cycle³⁴
880 that is different from the system of interest.³⁵ For example, the asset of interest may be created,
881 configured, or modified outside of the scope of control of the system of interest yet be within the
882 scope of the engineering effort. The asset of interest, once within the scope of control of the
883 system of interest, may have differing protection needs associated with the state or mode of the
884 system (e.g., the system operational mode protection may differ from the system training mode).
885 Additionally, system life cycle assets ([Section 3.8](#)) may exist only within a development or
886 production system and their associated supporting environments. The effect of the loss for these
887 assets may transfer to a loss associated with the system of interest. Therefore, the context of loss
888 includes the life cycle of the asset, the state and mode of the system, and other time-based
889 periods or characteristics during which loss is addressed.

890

TIMEFRAME OF LOSS – AN EXAMPLE

A financial portfolio (an asset or collection of assets) with specific investment objectives and risk acceptance considerations may be created by a financial advisor for a client, funded by the client, and subsequently managed using multiple systems across one or more institutional investment firms throughout the portfolio's life cycle. Each asset of interest within the portfolio may have differing protection needs at different times depending on the type of asset, market conditions, regulatory jurisdiction, risk position, and other asset management factors that are imposed on the system.

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893 The *significance of loss* is the adverse effect on the asset of interest or the resultant adverse effect
894 associated with the asset. The significance of loss is best described as an experience that is to be
895 avoided, thereby warranting an investment to protect against it occurring and to minimize the
896 extent of the adverse effect should it occur. The significance of loss is determined and assessed
897 as an effects-based judgment. That is, it is determined without any consideration of how or why
898 the loss occurs, the probability or likelihood of the loss occurring, and any intent or the absence
899 of intent related to the loss.³⁶

900 The *consequence of loss* simply answers the following question: "What are the ramifications,
901 effects, and problems that result from suffering a loss of the asset of interest?" The significance
902 of loss requires clarity in what loss means for the asset of interest. Examples of terms used to
903 describe asset loss include ability, accessibility, accuracy, assurance, advantage (technological,
904 competitive, combatant), capability, control, correctness, existence, investment, ownership,
905 performance, possession, precision, quality, satisfaction, and time.

³⁴ The lifetime of an asset may be different from the lifetime of the system. Assets may predate the system and may persist after the system's retirement from use. The significance of the loss of an asset can have ramifications that are independent of the system, system function, and business and mission objectives.

³⁵ The asset life cycle is the same as the system life cycle when the asset of interest is the system of interest. The asset life cycle may be the same or shorter than the system life cycle for those assets created by the system of interest and only required while the system of interest is operating.

³⁶ Determining the consequence of loss is not a determination of risk.

906 *Confidence in addressing loss* ensures that protections have a body of objective evidence that
907 demonstrates the effectiveness, sufficiency, and suitability of protective measures to satisfy asset
908 protection needs. Confidence in addressing loss is cumulative. It begins with determining the loss
909 concerns for the asset of interest and continuously builds as those concerns are better understood
910 and addressed across the context of loss, the consequence of loss, the causes of loss, and how
911 loss is addressed. The evidence basis that provides confidence is informed by verification and
912 validation activities that occur throughout the life cycles of the assets and the system, including
913 requirements elicitation and analysis. A key informing element to those activities is to ensure that
914 the results contribute to the confidence sought.

915 The *cause of loss*³⁷ is the individual or combination of events, conditions, and circumstances that
916 result in some form of loss of an asset. The causes of asset loss constitute a continuum that
917 includes intentional, unintentional, accidental, incidental, misuse, abuse, error, defect, fault,
918 weakness, and failure events and conditions. This continuum spans all human-based, machine-
919 based, physical-based, and nature-based drivers of loss. The following considerations apply to
920 reasoning about the causes of loss:

- 921 • Single events and conditions that alone can produce the loss
- 922 • Combinations, sequences, and aggregate events and conditions
- 923 • Events and conditions that are desirable, intended, and even planned yet produce
924 unanticipated, unforeseen, and unpredictable results
- 925 • Cascading and ripple events and conditions

926

SIGNIFICANCE OF LOSS – AN EXAMPLE

The significance of loss due to a flat tire is determined and assessed without consideration of how or why the tire became flat (e.g., puncture, manufacturing defect, impact with curb or other object) and without any consideration of malicious intent (e.g., tire cut, valve stem loosened). Regardless of how or why the tire became flat, the significance of loss remains the same (e.g., loss of control if the vehicle is moving, inability to drive if the vehicle is stationary, time lost to replace or repair the tire to make the vehicle operable). The significance of loss due to a flat tire includes the inability to steer the vehicle, and the resultant adverse effect may be to impact some other object (i.e., a crash). The adverse effect of the loss of steering (loss of control) is specific, while the adverse effect of a crash is general (many other circumstances may result in a crash without any loss of the ability to steer the vehicle).

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³⁷ Many terms are used to describe the cause of asset loss. Some of these terms are specific to a community of interest or specialty field, while others span communities and specialties. There are also cases where the same term may be used differently across communities and specialty fields (e.g., the term *threat* has varying interpretations across communities, such as physical security, cybersecurity, commerce, law enforcement, industry, military combat operations, and military intelligence). The terms typically used as a synonym for the cause of asset loss include attack, breach, compromise, hazard, mishap, threat, violation, and vulnerability.

929 Finally, the causes of asset loss answer the following questions: “How can loss occur?” and “How
 930 has loss occurred in the past?” However, determining how loss can occur does not require asking
 931 or answering the question “What is likely or probable to happen?”³⁸

932 *Addressing loss* occurs through the protective measures that enforce constraints to ensure that
 933 only authorized and intended behaviors and outcomes of the system occur. These include:

- 934 • Protective measures that are provided by the *machine* portion of the system (i.e., the system
 935 architecture and design, the use of engineered features and devices within the architecture
 936 and design)
- 937 • Protective measures that are provided by the *human* in the system (i.e., personnel, practices,
 938 procedures, the use of tools to support the human as a system element, and the human role
 939 in designing and building the machine part of the system)
- 940 • Protective measures that are provided by the *physical environment* (i.e., controlled access
 941 areas, facility access points, physical monitoring, environmental controls, fire suppression)

942 The terminology used to describe means and methods includes mechanisms, configurations,
 943 controls, safeguards, countermeasures, features, techniques, overrides, practices, procedures,
 944 processes, and inhibits. These may be applied in accordance with governing policies, regulations,
 945 laws, practices, standards, and techniques.
 946

ASSET-BASED PROTECTION – ENGINEERING FOR SUCCESS

Don't focus on what is *likely* to happen. Instead, focus on what *can* happen, and be prepared. That is what systems security engineering means by adopting a proactive and reactive strategy ([Section D.2](#)) in the form of a *concept of secure function* that addresses the spectrum of asset loss and associated consequences. This means proactively planning and designing to prevent the loss of an asset that you are not willing to accept, to be able to minimize the consequences should such a loss occur, and to be in an informed position to reactively recover from the loss when it does happen.

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949 3.7 PROTECTION NEEDS

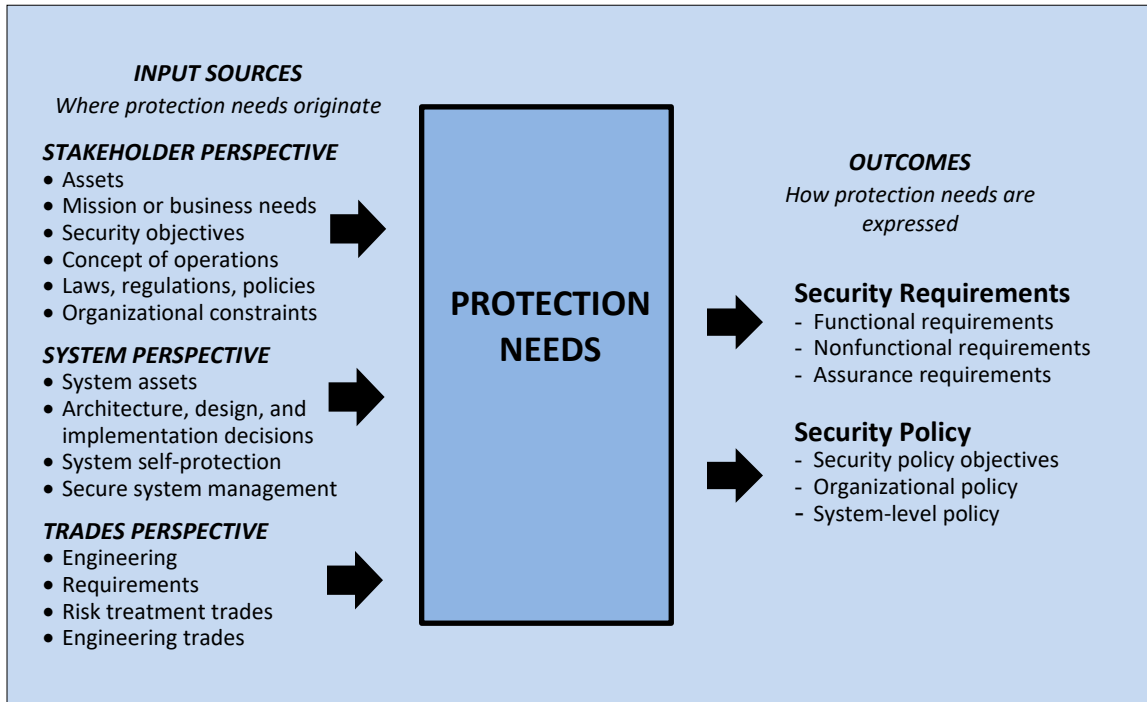
950 Stakeholders have a need to achieve their mission or business objectives in a secure manner that
 951 preserves assets and limits the extent of asset loss. Asset protection must be continuous, thereby
 952 making it possible for stakeholders to have a realistic expectation of continuous success in the
 953 ability of their systems to support and achieve their objectives.

954 The scope and expectations for the protection of assets is foundational to achieving the design
 955 intent for a trustworthy secure system. Protection needs typically correlate to the severity of
 956 consequences associated with the loss of an asset. The protection needs are determined from all
 957 needs, concerns, priorities, and constraints to protect and preserve stakeholder and system

³⁸ This point distinguishes analysis of what can happen from a risk assessment that determines probability greater than zero and less than one that the adverse event will happen.

958 assets. There are three perspectives for protection needs: (1) the *stakeholder* perspective, (2) the
 959 *system* perspective, and (3) the *trades* perspective. Figure 7 illustrates the key input sources used
 960 to define protection needs and the outputs derived from the specification of those needs.

961



962

963

FIGURE 7: DEFINING PROTECTION NEEDS

964 The purpose of establishing the *need for protection* is to decide what assets to protect and to
 965 determine the priority given to such protection. This can be accomplished without considering a
 966 cause or condition against which to protect. As shown in Figure 8, the need for protection is
 967 derived from the relationship among the asset of interest, context of loss, type of loss, and the
 968 consequences of loss. This approach establishes the need for protection that, once validated by
 969 stakeholders across all assets of interest, provides the basis for developing security objectives and
 970 requirements.³⁹

971

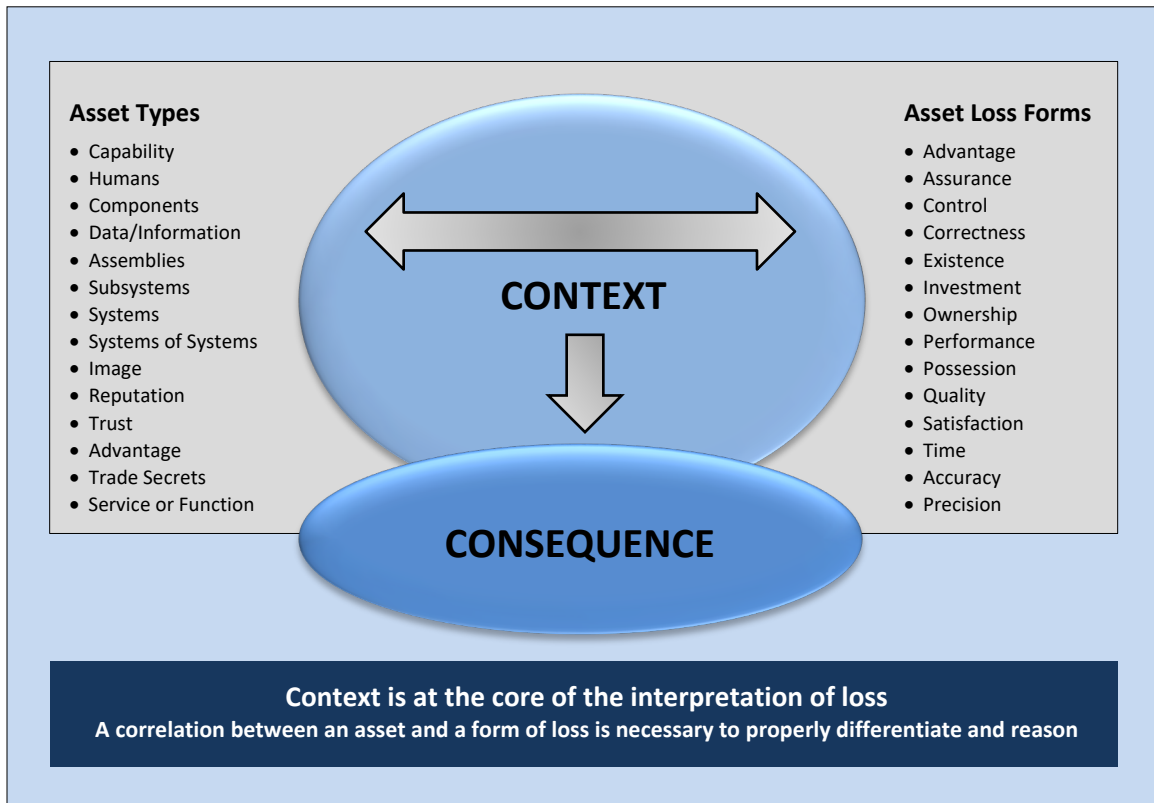
*No system can provide **absolute** security due to the limits of human certainty, the uncertainty that exists in the life cycle of every system, and the constraints of cost, schedule, performance, feasibility, and practicality. As such, trade-offs made routinely across contradictory, competing, and conflicting needs and constraints are optimized to achieve **adequate** security, which reflects a decision made by stakeholders.*

972

973

³⁹ Requirements provide a formal and clear expression of the needs, concerns, priorities, and constraints to be satisfied for system function, operation, and maintenance. Each requirement is accompanied by verification methods for demonstrating that the requirement is satisfied. Requirements must be accurate, unambiguous, comprehensive, evaluatable, and achievable.

974



975

976

FIGURE 8: RELATIONSHIP AMONG ASSET, LOSS, AND CONSEQUENCE

977

Summarizing, the following considerations impact the identification of protection needs:

978

- Assets have different classes and types

979

- Assets are associated with stakeholders and the system

980

- Some assets are associated with stakeholders (i.e., stakeholder assets) and have a purpose, use, and existence that is independent of the system being designed

981

982

- Some assets are associated with the system, are dependent on characteristics of the system design and behavior, and are typically unknown to stakeholders

983

984

- Loss interpretation is dual-faceted

985

- The effect on the asset of interest

986

- The effect on those who value the asset of interest

987

- Loss interpretation is temporal and state-based

988

- Spans a continuum within and across asset types and classes

989

- May change across the life cycle of the asset and the state in which the asset exists or is utilized

990

991

- Asset-based judgments are subjective

992

- Asset valuation

- 993 - Asset loss ramifications
- 994 - Asset protection suitability, effectiveness, and dependability

995 The stakeholder perspective is based on the assets that belong to stakeholders. Therefore, those
 996 stakeholders determine the protection needs. The system perspective is based on the assets
 997 necessary for the system to function. These assets are determined by system design decisions and
 998 the criticality and priority⁴⁰ of the asset in providing or supporting the functions of the system.
 999 Stakeholders are typically unaware of the existence of system assets and are not able to make
 1000 decisions about the protection needs for system assets. The protection of system assets is an
 1001 element of trustworthy secure system design.

1002 Protection needs are continuously reassessed and adjusted as variances, changes, and trades
 1003 occur throughout the system life cycle. These include the maturation of the system design and
 1004 life cycle concepts, improved understanding of the operational environment (e.g., a more
 1005 thorough understanding of adversities), and changes in understanding the consequences of asset
 1006 loss. Revisiting protection needs is a necessary part of the iterative nature of systems engineering
 1007 and with it, systems security engineering – necessary to ensure completeness in understanding
 1008 the problem space, exploring all feasible solutions, and engineering a trustworthy secure system.

1009 **3.8 SYSTEM SECURITY VIEWPOINTS**

1010 Three predominant viewpoints of system security include *system function*, *security function*, and
 1011 *life cycle assets*. These viewpoints shape the considerations that are used as trustworthy secure
 1012 design considerations for any system type, intended use, and consequence of system failure.

1013 Every system is delivered to satisfy stakeholder capability needs. These needs constitute the
 1014 *system function* – the system’s purpose or role as fulfilled by the totality of the capability it
 1015 delivers combined with its intended use. The system function is the predominant viewpoint and
 1016 establishes the context for the security function and the associated system life cycle assets.

1017 The stakeholder capability needs include the protection capability needs. The protection needs
 1018 parallel the concept of stakeholder capability needs and constitute the system’s *security function*
 1019 – the totality of the system’s purpose or role to securely satisfy stakeholder capability needs. The
 1020 security function enforces security-driven constraints as part of the overall system design. The
 1021 constraints have the purpose to avoid, reduce, and tolerate susceptibilities, defects, weaknesses,
 1022 and flaws in the system that may constitute a vulnerability that can be exploited or triggered.
 1023 These vulnerabilities can reside within the system’s structure or behaviors and can have the effect
 1024 to counter, defeat, or minimize the ability of the system to effectively satisfy its design intent to
 1025 deliver the required capability. Thus, the constraints also enable the synthesis of the security
 1026 function within the system function in a non-conflicting manner.

1027 The *security function* of the system has both *passive* and *active* aspects:

- 1028 • Passive aspects of the security function do not exhibit behavior (i.e., are non-functional in
 1029 nature). They include the system architecture and design elements. The passive aspects are

⁴⁰ Criticality and priority based on asset valuation is typically used in decisions on protection needs. An asset with higher criticality and priority would take precedence in providing protection should there be constraints that require choosing between the overall protection needs.

1030 part of the system structure and are therefore embodied in the architecture of the system.
 1031 For example, the functional architecture may segment system functions (including security
 1032 functions) into different subsystems, reducing the possibility of interference among functions
 1033 as well as limiting the propagation of erroneous behavior. Passive aspects inherently reduce
 1034 the susceptibility of the system to exposure, hazard, and vulnerability, thereby limiting if not
 1035 eliminating the potential for loss scenarios. The employment of passive aspects generally
 1036 enables greater confidence in the protection capability of the system.

1037 • Active aspects of the security function exhibit behavior (i.e., are functional in nature). They
 1038 include engineered features and devices, referred to as controls, countermeasures, features,
 1039 inhibits, mechanisms, overrides, safeguards, or services. The active aspects are employed or
 1040 allocated within the system architecture, have a specific design, and have capabilities and
 1041 limitations that affect their suitability and effectiveness relative to their intended use.

1042 Passive and active aspects of security function factor into trades, as discussed in Section [D.4.4](#).
 1043 Active aspects may also require additional hardware or loads on existing hardware, increasing
 1044 demands for size, weight, and power (SWaP) and making active aspects a challenge for SWaP-
 1045 restricted systems (e.g., satellites).

1046 *Life cycle assets* are assets associated with the system but are not engineered into or delivered
 1047 with the system. Their association with the system means that they can be the direct cause of loss
 1048 or a conduit/means through which a loss can occur. Life cycle assets have several types:

- 1049 • Systems that interact with the system of interest, including conceptual systems ([Section 2.1.1](#))
- 1050 • Intellectual property in various forms, including proprietary algorithms, technologies, and
 1051 technology solutions
- 1052 • Data and information associated with the system
- 1053 • Developmental, manufacturing, fabrication, and production capabilities, systems, and
 1054 environment systems and capabilities used to utilize, operate, and sustain the system⁴¹

1055 **3.9 DEMONSTRATING SYSTEM SECURITY**

1056 Demonstrating that a system is *adequately secure* ([Section 3.2](#)) has the objective of providing
 1057 stakeholders with confidence that their objectives, needs, concerns, and associated constraints
 1058 have been addressed. Such demonstration must consider the system as an emergent⁴² whole that
 1059 consists of:

- 1060 • The required capability it delivers
- 1061 • The protection capability

⁴¹ Examples include software and hardware development tools and suites; modeling and simulation environments and tools; maintenance and diagnostics devices, components, and suites; simulators and test-case scenario generators; and training systems. While these assets are not necessarily within the scope of engineering the system of interest, behaviors and outcomes of these systems have security implications that must be addressed in the secure design of the system of interest. The behaviors and outcomes include how they might directly or indirectly enable, interface, interact, and interoperate with the system of interest.

⁴² An *emergent property* is a property exhibited by entities meaningful only when attributed to the whole [[ISO 21840](#)], not any individual constituent element. Emergent properties of systems include its capability, safety, security, reliability, resilience, agility, survivability, maintainability, and availability. [Appendix D](#) discusses emergence in more detail.

1062 • The limits of certainty⁴³

1063 In particular, the limits of certainty apply to requirements and accepting the potential errors,
1064 inconsistencies, or gaps in the completeness and coverage of those requirements. Therefore, the
1065 requirements and associated verification and validation methods, while a necessary aspect of
1066 demonstrating adequate security, are not sufficient to deem a system as adequately secure. The
1067 level of confidence provided must be commensurate with the asset loss consequences addressed.
1068 The evidence basis for demonstrating confidence must be recorded, traced, maintained, and
1069 evolved as variances that are relevant to demonstrating adequate security occur throughout the
1070 system life cycle. Additionally, the evidence basis must be meaningful to reasoning by subject-
1071 matter experts across the subjective, competing, and often contradicting needs and beliefs of
1072 stakeholders.

1073 Demonstrating this justified confidence, or *assurance*, is achieved by an evidentiary basis provided
1074 by systems analyses and other evidence-producing activities.⁴⁴ The evidentiary basis is used
1075 within an approach for structured reasoning, as demonstrated in assurance cases ([Section 4.3](#)).
1076 The reasoning considers the system needs and capabilities, contributing system quantitative and
1077 qualitative factors, and how these capabilities and factors compose in the context of system
1078 security to produce an evidentiary base upon which further analyses are conducted. In turn, these
1079 analyses support substantiated and reasoned conclusions that serve as the basis for consensus
1080 among stakeholders that the system is adequately secure ([Appendix F](#)).
1081

ENGINEERING THE RIGHT SOLUTIONS FOR THE RIGHT REASONS

NASCAR is an organization that governs competition among race teams that engineer, operate, and sustain high-performance racecars designed to be extremely fast, able to operate in hostile racing environments, and able to protect the teams' most critical asset – the driver. These racecars are very different from the typical family car that carries your kids to school or makes the trip to the grocery store. Bigger, more powerful engines, larger tires, and additional safety features such as the head and neck safety (HANS) device are just a few items that result from the automobile engineering effort. In this example, the NASCAR team owner (key stakeholder) wants to win races while also providing the safest possible vehicle for the driver in accordance with the rules, expectations, and constraints established by NASCAR.

Based on those stakeholder objectives, NASCAR rules, the specific conditions anticipated on the racetrack, and the strategy for how the racing team decides to compete, the requirements that include performance and safety considerations are defined as part of the systems engineering process and subsequently, appropriate investments are made to produce a racecar that meets those requirements. While the typical race car is more expensive than a family car, the additional expense is justified by the stakeholder mission and business objectives, strategy for competing, and willingness to preserve (i.e., engineer against loss) their most critical asset – the driver.

1082

⁴³ An individual function or mechanism can be verified and validated for correctness and its quality and performance attributes. Those results help inform the determination of system security but are insufficient alone.

⁴⁴ While the evidence obtained through demonstrating compliance to a set of expectations or criteria may support judgments of adequate security, such evidence alone does not support a claim of adequate security.

1083 3.10 SYSTEMS SECURITY ENGINEERING

1084 *Systems security engineering* is a transdisciplinary and integrative approach to enabling the
 1085 successful realization, use, and retirement of engineered trustworthy secure systems. Systems
 1086 security engineering employs systems, security, and other principles and concepts, as well as
 1087 scientific, technological, and management methods. Systems security engineering ensures that
 1088 these principles, concepts, methods, and practices are applied during the entire system life cycle
 1089 to achieve stakeholder objectives for assured trustworthiness and asset protection despite
 1090 adversity. It also helps to reduce system defects that can lead to vulnerability and, as a result,
 1091 reduces the effect adversity can have on the system.

1092 As part of a transdisciplinary systems engineering effort to deliver a trustworthy secure system,
 1093 systems security engineering:

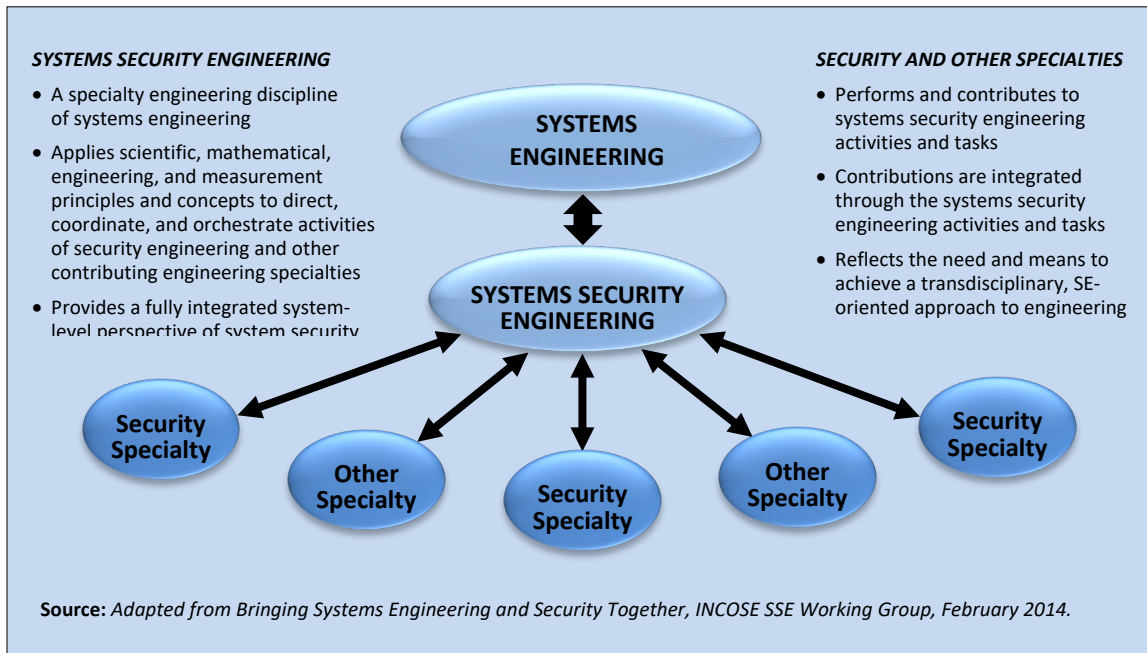
- 1094 • Works with stakeholders to ensure security objectives, protection needs/concerns, assurance
 1095 needs, security requirements (including associated measures of effectiveness (MOEs) and
 1096 measures of performance (MOPs)), and associated validation methods are defined
- 1097 • Defines system security requirements⁴⁵ and associated verification methods
- 1098 • Develops security views and viewpoints of the system architecture and design
- 1099 • Identifies and assesses susceptibilities and vulnerabilities to life cycle hazards and adversities
- 1100 • Designs proactive and reactive features and functions included within a balanced strategy to
 1101 control asset loss and associated loss consequences
- 1102 • Provides security considerations to inform systems engineering efforts with the objective to
 1103 reduce errors, flaws, and weaknesses that may constitute a security vulnerability
- 1104 • Performs system security analyses and interprets the results of other system analyses in
 1105 support of decision-making for engineering trades and risk management
- 1106 • Identifies, quantifies, and evaluates the costs and benefits of security features and functions
 1107 and considerations to inform assessments of alternative solutions, engineering trade-offs,
 1108 and risk treatment⁴⁶ decisions
- 1109 • Demonstrates through evidence-based reasoning that security and trustworthiness claims for
 1110 the system have been satisfied to the desired level of assurance
- 1111 • Leverages multiple security and other specialties to address all feasible solutions

1112 Systems security engineering is a systems engineering subdiscipline that overlaps with other
 1113 subdisciplines and leverages multiple *specialties* to accomplish systems security engineering
 1114 activities and tasks. These specialties include computer security; communications security;
 1115 transmission security; electronic emissions security; anti-tamper protection; physical security;
 1116 information, software, hardware, and supply chain assurance; and technology specialties such as
 1117 biometrics and cryptography. [Figure 9](#) illustrates the relationship among systems engineering,
 1118 systems security engineering, and contributing security and other specialty engineering areas.

⁴⁵ It is important to understand the context in which the term *system security requirement* is being used in this publication. For example, due to the complexity of system security, there are several types and purposes of system security requirements. See [Section 3.8](#) and [Appendix C](#).

⁴⁶ The term *risk treatment* is used in [\[ISO 15288\]](#) and defined in [\[ISO 73\]](#).

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FIGURE 9: SYSTEMS ENGINEERING AND OTHER SPECIALTY ENGINEERING DISCIPLINES

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Systems security engineering also leverages contributions from other enabling engineering disciplines and specialties to analyze and manage complexity, interconnectedness, dynamicity, and susceptibility associated with hardware, software, and firmware-based technologies.⁴⁷ This includes the development, manufacturing, handling, and distribution of technologies throughout the system life cycle.⁴⁸

⁴⁷ Enabling engineering disciplines and specialties include reliability, availability, maintainability (RAM) engineering, software engineering, resilience engineering, and human factors engineering (ergonomics).

⁴⁸ This includes assessing potential supply chain assurance deficiencies when third parties and reuse are considered in planning the system and its realization.

1127 CHAPTER FOUR

1128 **SYSTEM SECURITY ENGINEERING FRAMEWORK**

1129 CONCEPTUAL VIEW OF KEY CONTEXTS OF ACTIVITIES AND TASKS

1130 The *systems security engineering framework* [[McEville15](#)] provides a conceptual view of the key
1131 contexts within which systems security engineering activities are conducted. It defines, bounds,
1132 and focuses activities and tasks toward achieving stakeholder *security objectives* and presents a
1133 coherent, well-formed, evidence-based case to support judgements about achievement of the
1134 objectives.⁴⁹ The framework is independent of system type and engineering or acquisition process
1135 model and is not to be interpreted as a sequence of flows or steps but rather as a set of interacting
1136 contexts, each with its own checks and balances. The systems security engineering framework
1137 emphasizes an integrated, holistic security perspective across all system life cycle stages and is
1138 applied to satisfy the milestone objectives of each life cycle stage.

1139 The framework defines three contexts for conducting activities and tasks: (1) the *problem* context,
1140 (2) the *solution* context, (3) and the *trustworthiness* context. Establishing the three contexts helps
1141 to ensure that the engineering is driven by a sufficiently complete understanding of the problem.
1142 This understanding is described in a set of stakeholder security objectives that reflect protection
1143 needs and security concerns instead of by security solutions brought forth without considering
1144 the entire problem space and its associated constraints. Moreover, there is explicit focus and a
1145 set of activities to demonstrate the worthiness of the solution in providing adequate security
1146 across competing and often conflicting constraints. While the framework appears to follow a
1147 *sequential* execution across the three contexts, it is actually implemented in an *iterative* manner
1148 within the system life cycle stages and guided and informed by system analyses ([Section H.6](#)).
1149 Decision gates control the transitions between life cycle stages. Iteration facilitates refining the
1150 problem statement, proposed solutions, and trustworthiness objectives.

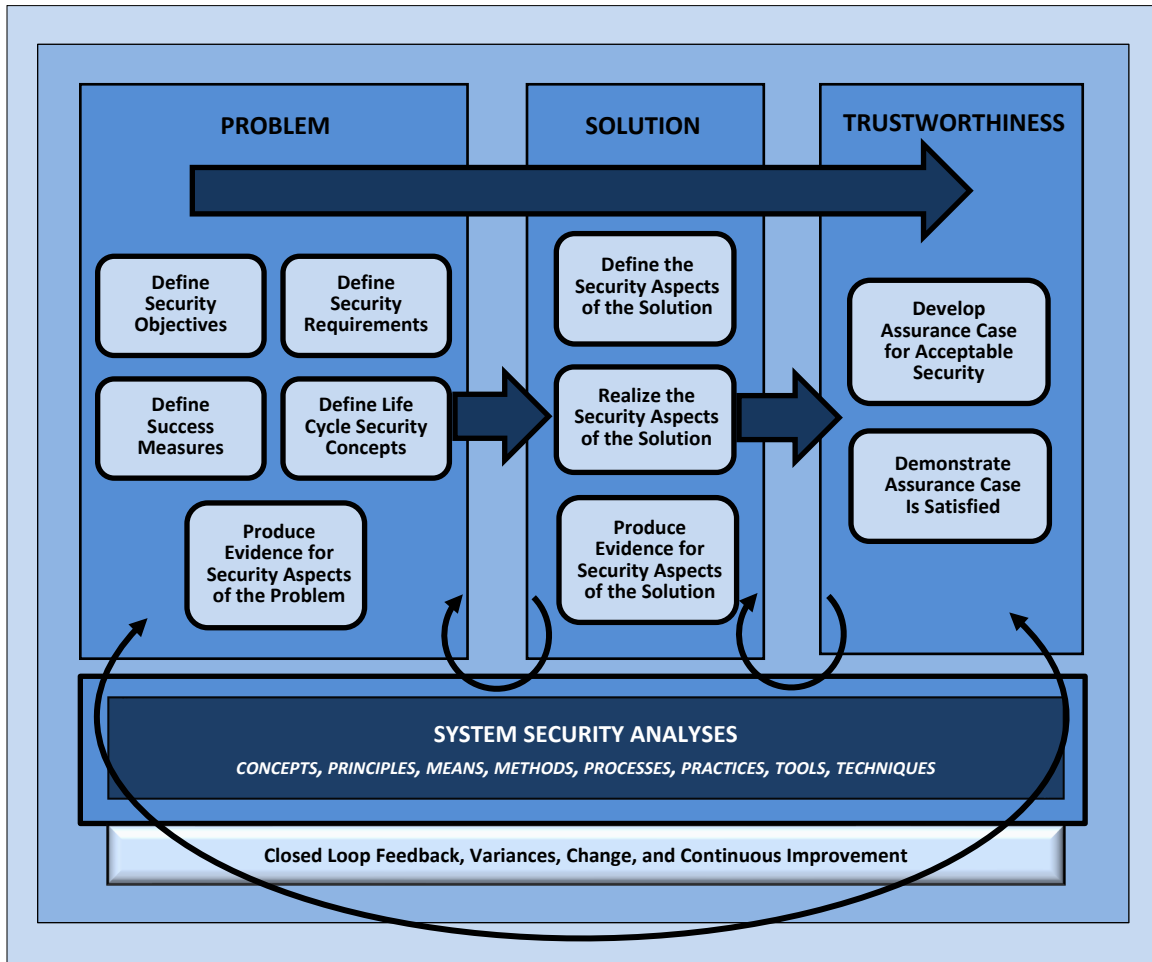
1151 The three framework contexts share a common foundational base of *system security analyses*,
1152 including *system analyses* with security interpretations of the analyses results. System security
1153 analyses produce data to support engineering and stakeholder decision-making. Such analyses
1154 are differentiated for application within the problem, solution, and trustworthiness contexts and
1155 employ a variety of concepts, principles, techniques, means, methods, processes, practices, and
1156 tools. System security analyses:

- 1157 • Provide relevant data and technical interpretations of system issues from the system security
1158 perspective
- 1159 • Are differentiated in their application to align with the scope and objectives of where they are
1160 applied within the systems security engineering framework
- 1161 • Are performed with a level of fidelity, rigor, and formality to produce data with a level of
1162 confidence that matches the assurance required by the stakeholders and engineering team
1163 ([Appendix F](#))

1164

⁴⁹ Adapted from [[NASA11](#)].

1165 Figure 10 illustrates the systems security engineering framework and its key components.
 1166



1167
 1168 **FIGURE 10: SYSTEMS SECURITY ENGINEERING FRAMEWORK**

1169 System security analyses address important topic areas related to systems security engineering.
 1170 These areas include architecture, assurance, behavior, cost, criticality, design, effectiveness,
 1171 emergence, exposure, fit-for-purpose, life cycle concepts, penetration resistance, performance
 1172 (including security performance), protection needs, security objectives, privacy, requirements,
 1173 resilience, risk, strength of function, threats, trades, uncertainty, vulnerability, verification, and
 1174 validation.

1175 The systems security engineering framework includes a *closed loop feedback* for interactions
 1176 among and between the three framework contexts and the requisite system security analyses to
 1177 continuously identify and address variances as the variances are introduced into the engineering
 1178 effort. The feedback loop also helps to achieve continuous process improvement for the system,
 1179 including viewing the outputs of one life cycle phase (i.e., the “solution” to the phase) as the inputs
 1180 to the next phase (i.e., the “problem” for the next phase).

1181 4.1 THE PROBLEM CONTEXT

1182 The *problem context* defines the basis for an acceptably and adequately secure system. It focuses
1183 on stakeholders' concerns about unacceptable losses given their mission, operational capability,
1184 and performance needs and concerns, as well as all associated cost, schedule, performance, and
1185 risk-driven constraints. The problem context enables the engineering team to focus on acquiring
1186 as complete an understanding of the stakeholder problem as practical, to explore all feasible
1187 solution class options, and to select the solution class option or options to be pursued. The
1188 problem context includes:

- 1189 • Determining life cycle security concepts⁵⁰
- 1190 • Defining security objectives
- 1191 • Defining security requirements
- 1192 • Determining measures of success

1193 The security objectives are foundational, establishing and scoping what it means to be *adequately*
1194 *secure* in terms of protection against asset loss and the consequences of such loss. The security
1195 objectives have associated measures of success. These measures constitute specific and
1196 measurable criteria relative to operational performance measures and stakeholder concerns.
1197 Measures of success include both strength of protection and level of assurance in the protection
1198 capability that has been engineered. These measures influence developing security requirements
1199 and assurance claims.

1200 Life cycle security concepts are the processes, methods, and procedures associated with the
1201 system throughout its life cycle and provide distinct contexts for interpretation of system security.
1202 These concepts also serve to scope and bound attention in addressing protection needs and for
1203 broader security-informing considerations and constraints. Protection needs are determined
1204 based on the security objectives, life cycle concepts, and stakeholder concerns. The protection
1205 needs are subsequently transformed into stakeholder security requirements and associated
1206 constraints, and the measures needed to validate that all requirements have been met. A well-
1207 defined and stakeholder-validated problem definition and context provides the foundation for all
1208 systems engineering and systems security engineering and supporting activities.

1209 The problem context may be interpreted within a life cycle phase as being informed by solutions
1210 from earlier life cycle stages, thereby providing a more accurate statement of the problem and its
1211 associated constraints. For example, the stakeholder requirements may be the "solution" of an
1212 early life cycle phase which then constrains activities completed in later life cycle stages.

⁵⁰ The term *life cycle security concept* refers to the processes and activities associated with the system throughout the life cycle (from concept development through retirement) with specific security considerations. It is an extension of the *concept of operation* and includes the processes and activities related to development, prototyping, assessment of alternative solutions, training, logistics, maintenance, sustainment, evolution, modernization, refurbishment and disposal. Each life cycle concept has one or more security considerations and constraints that must be fully integrated into the life cycle to ensure that the system security objectives can be met. Life cycle security concepts include those applied during acquisition and program management. Life cycle security concepts can affect such things as Requests for Information, Requests for Proposal, Statements of Work, source selections, development and test environments, operating environments, supply chains, supporting infrastructures, distribution, logistics, maintenance, training, clearances, and background checks.

1213 4.2 THE SOLUTION CONTEXT

1214 The *solution context* establishes the security aspects and constraints for the architecture and
1215 design of the system that: (1) satisfies the requirements and objectives of the problem context,
1216 (2) realizes the design for the system, and (3) produces sufficient evidence to demonstrate that
1217 the requirements and objectives of the problem context have been satisfied.⁵¹ The solution
1218 context is based on a balanced proactive and reactive system security protection strategy⁵² that
1219 exercises control over events, conditions, asset loss, and the consequence of loss to the degree
1220 possible, practicable, and acceptable to stakeholders. The solution context includes:

- 1221 • Defining the security aspects of the solution
- 1222 • Realizing the security aspects of the solution
- 1223 • Producing evidence for the security aspects of the solution

1224 The security aspects of the solution include the development of a system protection strategy;
1225 allocated and derived security requirements; security architecture views and viewpoints; security
1226 design; security aspects, capabilities, and limitations in the system life cycle procedures; and
1227 security performance verification measures. The security aspects of the solution are realized
1228 during the implementation of the system design in accordance with the system architecture and
1229 in satisfaction of the security requirements. The evidence associated with the security aspects of
1230 the solution is obtained with a fidelity and rigor influenced by the level of assurance⁵³ targeted by
1231 the security objectives. Assurance evidence is obtained from standard systems engineering
1232 verification methods (e.g., analysis, demonstration, inspection, testing, and evaluation) and
1233 complementary validation methods applied against the stakeholder requirements. Application of
1234 the solution context may be interpreted to provide a part of the solution, constraining the next
1235 iteration of the problem context.

1236 4.3 THE TRUSTWORTHINESS CONTEXT

1237 The *trustworthiness context* is a decision-making context that provides an evidence-based
1238 demonstration – through reasoning – that the system of interest is deemed trustworthy (or not)
1239 based on a set of claims derived from security objectives. This context consists of:

- 1240 • Developing and maintaining the assurance case
- 1241 • Demonstrating that the assurance case is satisfied

1242 The trustworthiness context is grounded in the concept of an *assurance case*. An assurance case
1243 is a well-defined and structured set of arguments and a *body of evidence* showing that a system
1244 satisfies specific claims.⁵⁴ Assurance cases provide reasoned, auditable artifacts that support the

⁵¹ Security constraints are transformed and incorporated into system design requirements with metadata-tagging to identify security relevance.

⁵² The system security protection strategy is consistent with the overall *concept of secure function*. The concept of secure function, defined during the problem context, constitutes a strategy for a proactive and reactive protection capability throughout the system life cycle ([Section D.2](#)). The strategy has the objective to provide freedom from specific concerns associated with asset loss and loss consequences.

⁵³ *Assurance* is the measure of confidence associated with a given requirement. As the level of assurance increases, so does the scope, depth, and rigor associated with the methods and analyses conducted ([Appendix F](#)).

⁵⁴ Software Engineering Institute, Carnegie Mellon University.

1245 contention that a top-level claim or set of claims is satisfied, including systematic argumentation
1246 and underlying evidence and explicit assumptions that support the claims [ISO 15026-2]. The
1247 claims may build from subclaims. For a given life cycle stage, an outcome may sufficiently satisfy
1248 a subclaim or set of subclaims, such as a subclaim that stakeholder requirements are sufficiently
1249 comprehensive to support an overall claim that the realized system is adequately secure.

1250 Assurance cases are used to demonstrate that a system exhibits some complex emergent
1251 property, such as safety, security, resilience, reliability, or survivability. An effective security
1252 assurance case contains foundational security claims derived from security objectives, credible
1253 and relevant evidence that substantiates the claims, and valid arguments that relate the various
1254 evidence to the supported security claims. The result provides a compelling statement that
1255 adequate security has been achieved and driven by stakeholder needs and expectations.

1256 Assurance cases typically include supporting information, such as assumptions, constraints, and
1257 inferences that affect the reasoning process. As part of assurance case development, subject-
1258 matter expert analyses determine all security claims are substantiated by the evidence and the
1259 arguments relating the evidence to the claims. Assurance cases must be maintained in response
1260 to variances throughout the engineering effort.

1261 An assurance case's specific form and the level of rigor and formality in acquiring the evidence
1262 required is a trade space consideration. It involves the target (desired) level of assurance, the
1263 nature of the consequences for which assurance is sought, and the size and complexity of the
1264 dimensions that factor into determining trustworthiness. The assurance case is an *engineering*
1265 *construct* and must be managed accordingly to ensure that the expended effort is justified by the
1266 need for the evidence in determining trustworthiness. The assurance claims are the key
1267 trustworthiness factor and are developed from the security objectives and associated measures
1268 of success independent of the system realization and its supporting evidence. Trustworthiness
1269 and assurance are discussed further in [Appendix F](#).

1270

SYSTEMS SECURITY ENGINEERING FRAMEWORK – WHY IT MATTERS

Establishing the problem, solution, and trustworthiness contexts as key components of a systems security engineering framework helps ensure that the *security* of a system is based on achieving a sufficiently complete understanding of the problem as defined by a set of stakeholder security objectives, security concerns, protection needs, and security requirements. This understanding is essential to develop effective security solutions – that is, a system that is sufficiently trustworthy and adequately secure to protect stakeholder's assets in terms of loss and the associated consequences.

1271

1272

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1275 **APPENDIX A**1276 **GLOSSARY**

1277 COMMON TERMS AND DEFINITIONS

1278 Appendix A provides definitions for the engineering and security terminology used within
1279 Special Publication 800-160, Volume 1.

abstraction [ISO 24765]	View of an object that focuses on the information relevant to a particular purpose and ignores the remainder of the information.
acquirer [ISO 15288]	Stakeholder that acquires or procures a product or service from a supplier.
acquisition [ISO 15288]	Process of obtaining a system, product, or service.
activity [ISO 15288]	Set of cohesive tasks of a process.
adequate security (systems)	Meets minimum tolerable levels of security, as determined by analysis, experience, or a combination of both; and is as secure as reasonably practicable (i.e., incremental improvement in security would require an intolerable or disproportionate deterioration of meeting other system objectives such as those for system performance, or would violate system constraints).
adverse consequence [ISO 15026-1]	An undesirable consequence associated with a loss.
adversity	The conditions that can cause a loss of assets (e.g., threats, attacks, vulnerabilities, hazards, disruptions, and exposures).
agreement [ISO 15288]	Mutual acknowledgement of terms and conditions under which a working relationship is conducted (e.g., memorandum of agreement or contract).
anomaly [ISO 24765]	Condition that deviates from expectations, based on requirements specifications, design documents, user documents, or standards, or from someone's perceptions or experiences.
anti-tamper [DODI 5200]	Systems engineering activities intended to prevent or delay exploitation of critical program information in U.S. defense systems in domestic and export configurations to impede countermeasure development, unintended technology transfer, or alteration of a system due to reverse engineering. See <i>tampering</i> .

architecture [ISO 42010]	Fundamental concepts or properties related to a system in its environment embodied in its elements, relationships, and in the principles of its design and evolution. Refer to <i>security architecture</i> .
architecture (system) [ISO 42010]	Fundamental concepts or properties of a system in its environment embodied in its elements, relationships, and in the principles of its design and evolution.
architecture description [ISO 42010]	A work product used to express an architecture.
architecture framework [ISO 42010]	Conventions, principles, and practices for the description of architectures established within a specific domain of application and/or community of stakeholders.
architecture view [ISO 42010]	A work product expressing the architecture of a system from the perspective of specific system concerns.
architecture viewpoint [ISO 42010]	A work product establishing the conventions for the construction, interpretation, and use of architecture views to frame specific system concerns.
artifact [ISO 19014]	Work products that are produced and used during a project to capture and convey information (e.g., models, source code).
aspect	The parts, features, and characteristics used to describe, consider, interpret, or assess something.
asset [ISO 24765]	Anything that has value to a person or organization. <i>Note 1:</i> Assets have interrelated characteristics that include value, criticality, and the degree to which they are relied upon to achieve organizational mission/business objectives. From these characteristics, appropriate protections are to be engineered into solutions employed by the organization. <i>Note 2:</i> An asset may be tangible (e.g., physical item such as hardware, software, firmware, computing platform, network device, or other technology components) or intangible (e.g., information, data, trademark, copyright, patent, intellectual property, image, or reputation).
assurance [ISO 15026-1]	Grounds for justified confidence that a claim has been or will be achieved. <i>Note 1:</i> Assurance is typically obtained relative to a set of specific claims. The scope and focus of such claims may vary (e.g., security claims, safety claims) and the claims themselves may be interrelated. <i>Note 2:</i> Assurance is obtained through techniques and methods that generate credible evidence to substantiate claims.

assurance case [ISO 15026-1]	A reasoned, auditable artifact created that supports the contention that its top-level claim (or set of claims), is satisfied, including systematic argumentation and its underlying evidence and explicit assumptions that support the claim(s).
assurance evidence	The information upon which decisions regarding assurance, trustworthiness, and risk of the solution are substantiated. <i>Note:</i> Assurance evidence is specific to an agreed-to set of claims. The security perspective focuses on assurance evidence for security-relevant claims whereas other engineering disciplines may have their own focus (e.g., safety).
availability [ISO 7498-2]	Property of being accessible and usable on demand by an authorized entity.
baseline [IEEE 828]	Formally approved version of a configuration item, regardless of media, formally designated and fixed at a specific time during the configuration item's life cycle. <i>Note:</i> The engineering process generates many artifacts that are maintained as a baseline over the course of the engineering effort and after its completion. The configuration control processes of the engineering effort manage baselined artifacts. Examples include stakeholder requirements baseline, system requirements baseline, architecture/design baseline, and configuration baseline.
behavior [ISO 14258] adapted]	The way an entity functions as an action, reaction, or interaction. How a system element, system, or system of systems acts, reacts, and interacts.
body of evidence	The totality of evidence used to substantiate trust, trustworthiness, and risk relative to the system.
breakdown structure [ISO 27026]	Framework for efficiently controlling some aspect of the activities for a program or project. <i>Note:</i> Examples include work breakdown structure, the decomposition of the defined scope of a project into progressively lower levels consisting of elements of work, and product breakdown structure, decomposition of a product into its components.
claim [ISO 15026-1]	A true-false statement about the limitations on the values of an unambiguously defined property called the claim's property; and limitations on the uncertainty of the property's values falling within these limitations during the claim's duration of applicability under stated conditions.

complex system [INCOSE19]	A system in which there are non-trivial relationships between cause and effect: each effect may be due to multiple causes; each cause may contribute to multiple effects; causes and effects may be related as feedback loops, both positive and negative; and cause-effect chains are cyclic and highly entangled rather than linear and separable.
component	See <i>system element</i> .
concept of operations [ANSI G043B]	<p>Verbal and graphic statement, in broad outline, of an organization's assumptions or intent in regard to an operation or series of operations of new, modified, or existing organizational systems.</p> <p><i>Note 1:</i> The concept of operations frequently is embodied in long-range strategic plans and annual operational plans. In the latter case, the concept of operations in the plan covers a series of connected operations to be conducted simultaneously or in succession to achieve an organizational performance objective.</p> <p><i>Note 2:</i> The concept of operations provides the basis for bounding the operating space, system capabilities, interfaces, and operating environment.</p>
concept of secure function	<p>A strategy for achievement of secure system function that embodies proactive and reactive protection capability of the system.</p> <p><i>Note 1:</i> This strategy strives to prevent, minimize, or detect the events and conditions that can lead to the loss of an asset and the resultant adverse impact; prevent, minimize, or detect the loss of an asset or adverse asset impact; continuously deliver system capability at some acceptable level despite the impact of threats or uncertainty; and recover from an adverse asset impact to restore full system capability or to recover to some acceptable level of system capability.</p> <p><i>Note 2:</i> The concept of secure function is adapted from historical and other secure system concepts such as <i>Philosophy of Protection</i>, <i>Theory of Design and Operation</i>, and <i>Theory of Compliance</i>.</p>
concern [ISO 42020]	Matter of interest or importance to a stakeholder.
concern (system) [ISO 42010]	Interest in a system relevant to one or more of its stakeholders.
configuration item [ISO 15288]	Item or aggregation of hardware, software, or both, that is designated for configuration management and treated as a single entity in the configuration management process.
consequence [ISO 15026-1]	Effect (change or non-change), usually associated with an event or condition or with the system and usually allowed, facilitated, caused, prevented, changed, or contributed to by the event, condition, or system.

constraints [ISO 29148]	Limitation on the system, its design, or its implementation or on the process used to develop or modify a system. Limitation that restricts the design solution, implementation, or execution of the system. <i>Note:</i> A constraint is a factor that is imposed on the solution by force or compulsion and may limit or modify the design.
control	Purposeful action on or within a process to meet specified objectives. The mechanism that achieves the action.
criticality	Degree of impact that a requirement, module, error, fault, failure, or other item has on the development or operation of a system.
customer [ISO 9000]	Organization or person that receives a product.
cyber-physical system [ISO 21840] adapted]	A system integrating computation with physical processes whose behavior is defined by both the computational (digital and other forms) and the physical parts of the system.
data [ISO 15939]	Representation of facts, concepts, or instructions in a manner suitable for communication, interpretation, or processing by humans or by automatic means. Collection of values assigned to base measures, derived measures and/or indicators.
derived requirement [ISO 29148]	A requirement deduced or inferred from the collection and organization of requirements into a particular system configuration and solution. <i>Note 1:</i> The next higher-level requirement is referred to as a “parent” requirement while the derived requirement from this parent is called a “child” requirement. <i>Note 2:</i> A derived requirement is typically identified during the elicitation of stakeholder requirements, requirements analysis, trade studies or validation.
design [ISO 24765] [ISO 15288]	Process to define the architecture, system elements, interfaces, and other characteristics of a system or system element. Result of the process to be consistent with the selected architecture, system elements, interfaces, and other characteristics of a system or system element. <i>Note 1:</i> Information, including specification of system elements and their relationships, which is sufficiently complete to support a compliant implementation of the architecture. <i>Note 2:</i> Design provides the detailed implementation-level physical structure, behavior, temporal relationships, and other attributes of system elements.

design characteristics [ISO 24765]	Design attributes or distinguishing features that pertain to a measurable description of a product or service.
design margin [NASA07]	The margin allocated during design based on assessments of uncertainty and unknowns. This margin is often consumed as the design matures.
domain [ISO 24765] adapted]	<p>A set of elements, data, resources, and functions that share a commonality in combinations of: (1) roles supported, (2) rules governing their use, and (3) protection needs.</p> <p><i>Note:</i> Security domains may reflect one or any combination of the following: capability, functional, or service distinctions; data flow and control flow associated with capability, functional, or service distinctions; data and information sensitivity; data and information security; or administrative, management, operational, or jurisdictional authority. Security domains that are defined in the context of one or more of the above items, reflect a protection-focused partitioning of the system that translates to relationships driven by trust concerns.</p>
emergence	<p>The behaviors and outcomes that result from how individual system elements compose to form the system as a whole.</p> <p><i>Note:</i> The behavior and outcomes produced by the system are not those of the individual system elements that comprise the system. Rather, the emergent system behavior and outcomes, or properties, result from the composition of multiple system elements.</p>
enabling system [ISO 15288]	System that supports a system of interest during its life cycle stages but does not necessarily contribute directly to its function during operation.
engineered system [INCOSE19]	A system designed or adapted to interact with an anticipated operational environment to achieve one or more intended purposes while complying with applicable constraints.
engineering team	The individuals on the systems engineering team with security responsibilities, systems security engineers that are part of the systems engineering team, or a combination thereof.
environment [ISO 42010]	Context determining the setting and circumstances of all influences upon a system.
error	The difference between desired and actual performance or behavior of a system or system element.
event [ISO 73]	Occurrence or change of a particular set of circumstances.

evidence	Grounds for belief or disbelief; data on which to base proof or to establish truth or falsehood. <i>Note 1:</i> Evidence can be objective or subjective. Evidence is obtained through measurement, the results of analyses, experience, and the observation of behavior over time. <i>Note 2:</i> The security perspective places focus on credible evidence used to obtain assurance, substantiate trustworthiness, and assess risk.
facility [ISO 15288]	Physical means or equipment for facilitating the performance of an action, e.g., buildings, instruments, tools.
flaw	Imperfection or defect.
incident [ISO 15288]	Anomalous or unexpected event, set of events, condition, or situation at any time during the life cycle of a project, product, service, or system.
information [ISO 10746]	Knowledge that is exchangeable amongst users, about things, facts, concepts, and so on, in a universe of discourse. <i>Note:</i> Although information will necessarily have a representation form to make it communicable, it is the interpretation of this representation (the meaning) that is relevant in the first place. The representation form is arguably considered <i>data</i> .
information item [ISO 24748-6]	Separately identifiable body of information that is produced, stored, and delivered for human use.
information system [EGOV]	A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. Refer to <i>system</i> .
interface [ISO 15288]	Wherever two or more logical, physical, or both, system elements or software system elements meet and act on or communicate with each other.
interoperating system [ISO 15288]	System that exchanges information with the system of interest and uses the information that has been exchanged.
integrity [ISO 13008]	Quality of being complete and unaltered.
life cycle [ISO 15288]	Evolution of a system, product, service, project, or other human-made entity from conception through retirement.
life cycle model [ISO 15288]	Framework of processes and activities concerned with the life cycle that may be organized into stages, which also acts as a common reference for communication and understanding.

life cycle security concepts	The processes, methods, and procedures associated with the system throughout its life cycle and provides distinct contexts for the interpretation of system security. Life cycle security concepts apply during program management, development, engineering, acquisition, manufacturing, fabrication, production, operations, sustainment, training, and retirement.
likelihood [ISO 73]	Chance of something happening.
margin [MITRE21]	A spare amount or measure or degree allowed or given for contingencies or special situations. The allowances carried to account for uncertainties and risks. See also <i>design margin</i> and <i>operational margin</i> .
mechanism	<p>A process or system that is used to produce a particular result.</p> <p>The fundamental processes involved in or responsible for an action, reaction, or other natural phenomenon.</p> <p>A natural or established process by which something takes place or is brought about.</p> <p>Refer to <i>security mechanism</i>.</p> <p><i>Note 1:</i> Generally, a means to an end.</p> <p><i>Note 2:</i> A mechanism can be technology- or nontechnology-based (e.g., apparatus, device, instrument, procedure, process, system, operation, method, technique, means, or medium).</p>
module [ISO 24765]	<p>Program unit that is discrete and identifiable with respect to compiling, combining with other units, and loading.</p> <p>Discrete and identifiable element with a well-defined interface and well-defined purpose or role whose effect is described as relations among inputs, outputs, and retained state.</p>
monitoring [ISO 73]	Continual checking, supervising, critically observing or determining the status in order to identify change from the performance level required or expected.
operational concept [ANSI G043B]	<p>Verbal and graphic statement of an organization's assumptions or intent in regard to an operation or series of operations of a specific system or a related set of specific new, existing, or modified systems.</p> <p><i>Note:</i> The operational concept is designed to give an overall picture of the operations using one or more specific systems, or set of related systems, in the organization's operational environment from the users' and operators' perspectives. See also concept of operations.</p>

operational environment	Context determining the setting and circumstance of all influences upon a delivered system. <i>Note:</i> Operational environments include physical (e.g., land, air, maritime, space) and cyberspace contexts.
operational margin [NASA11] [INCOSE19]	The margin that is designed in explicitly to provide space between the worst normal operating condition and the point at which failure occurs (derives from physical design margin).
operator [ISO 15288]	Individual or organization that performs the operations of a system. <i>Note 1:</i> The role of operator and the role of user can be vested, simultaneously or sequentially, in the same individual or organization. <i>Note 2:</i> An individual operator combined with knowledge, skills, and procedures can be considered as an element of the system. <i>Note 3:</i> An operator may perform operations on a system that is operated, or of a system that is operated, depending on whether or not operating instructions are placed within the system boundary.
organization [ISO 9000] [ISO 15288]	Group of people and facilities with an arrangement of responsibilities, authorities, and relationships. <i>Note:</i> An identified part of an organization (even as small as a single individual) or an identified group of organizations can be regarded as an organization if it has responsibilities, authorities, and relationships. A body of persons organized for some specific purpose, such as a club, union, corporation, or society, is an organization.
outcome [ISO 18307]	Result of the performance (or non-performance) of a function or process(es).
party [ISO 15288]	Organization entering into an agreement.
penetration testing [ISO 19989]	Testing used in vulnerability analysis for vulnerability assessment, trying to reveal vulnerabilities of the system based on the information about the system gathered during the relevant evaluation activities.
problem [ISO 15288]	Difficulty, uncertainty, or otherwise realized and undesirable event, set of events, condition, or situation that requires investigation and corrective action.
process [ISO 9000]	Set of interrelated or interacting activities that use inputs to deliver an intended result.
process purpose [ISO 15288]	High-level objective of performing the process and the likely outcomes of effective implementation of the process. <i>Note:</i> The purpose of implementing the process is to provide benefits to the stakeholders.

process outcome [ISO 12207]	Observable result of the successful achievement of the process purpose.
product [ISO 9000]	Result of a process. <i>Note:</i> There are four agreed generic product categories: hardware (e.g., engine mechanical part); software (e.g., computer program); services (e.g., transport); and processed materials (e.g., lubricant). Hardware and processed materials are generally tangible products, while software or services are generally intangible.
project [ISO 15288]	Endeavor with defined start and finish criteria undertaken to create a product or service in accordance with specified resources and requirements. <i>Note:</i> A project is sometimes viewed as a unique process comprising co-coordinated and controlled activities and composed of activities from the Technical Management and Technical Processes defined in this document.
protection needs	Informal statement or expression of the stakeholder security requirements focused on protecting information, systems, and services associated with mission/business functions throughout the system life cycle. <i>Note:</i> Requirements elicitation and security analyses transform the protection needs into a formalized statement of stakeholder security requirements that are managed as part of the validated stakeholder requirements baseline.
qualification [ISO 12207]	Process of demonstrating whether an entity is capable of fulfilling specified requirements.
quality assurance [ISO 9000]	Part of quality management focused on providing confidence that quality requirements will be fulfilled.
quality characteristic [ISO 9000]	Inherent characteristic of a product, process, or system related to a requirement. <i>Note:</i> Critical quality characteristics commonly include those related to health, safety, security, assurance, reliability, availability, and supportability.
quality management [ISO 9000]	Coordinated activities to direct and control an organization with regard to quality.
requirement [ISO 29148] [IEEE 610.12, adapted]	Statement that translates or expresses a need and its associated constraints and conditions. A condition or capability that must be met or possessed by a system or system element to satisfy a contract, standard, specification, or other formally imposed documents.

requirements engineering [ISO 29148]	<p>An interdisciplinary function that mediates between the domains of the acquirer and supplier to establish and maintain the requirements to be met by the system, software or service of interest.</p> <p><i>Note:</i> Requirements engineering is concerned with discovering, eliciting, developing, analyzing, verifying, validating, managing, communicating, and documenting requirements.</p>
resource [ISO 15288]	<p>Asset used or consumed during the execution of a process.</p> <p><i>Note 1:</i> Includes diverse entities such as funding, personnel, facilities, capital equipment, tools, and utilities such as power, water, fuel, and communication infrastructures.</p> <p><i>Note 2:</i> Resources include those that are reusable, renewable or consumable.</p>
retirement [ISO 15288]	<p>Withdrawal of active support by the operation and maintenance organization, partial or total replacement by a new system, or installation of an upgraded system.</p>
risk [ISO 73]	<p>Effect of uncertainty on objectives.</p> <p><i>Note 1:</i> An effect is a deviation from the expected, positive or negative. A positive effect is also known as an opportunity.</p> <p><i>Note 2:</i> Objectives can have different aspects (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and process).</p> <p><i>Note 3:</i> Risk is often characterized by reference to potential events and consequences, or a combination of these.</p> <p><i>Note 4:</i> Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood of occurrence.</p> <p><i>Note 5:</i> Uncertainty is the state, even partial, of deficiency of information related to understanding or knowledge of an event, its consequence, or likelihood.</p>
risk analysis [ISO 73]	<p>Process to comprehend the nature of risk and to determine the level of risk.</p>
risk assessment [ISO 73]	<p>Overall process of risk identification, risk analysis, and risk evaluation.</p>
risk criteria [ISO 73]	<p>Terms of reference against which the significance of a risk is evaluated.</p>
risk evaluation [ISO 73]	<p>Process of comparing the results of risk analysis with risk criteria to determine whether the risk and/or its magnitude is acceptable or tolerable.</p>
risk identification [ISO 73]	<p>Process of finding, recognizing, and describing risks.</p>
risk management [ISO 73]	<p>Coordinated activities to direct and control an organization with regard to risk.</p>

risk tolerance [ISO 73]	The organization or stakeholder’s readiness to bear the risk after risk treatment in order to achieve its objectives. <i>Note:</i> Risk tolerance can be influenced by legal or regulatory requirements.
risk treatment [ISO 73]	Process to modify risk.
safety [ISO 12207]	Expectation that a system does not, under defined conditions, lead to a state in which human life, health, property, or the environment is endangered.
security	Freedom from those conditions that can cause loss of assets with unacceptable consequences.
security architecture	A set of physical and logical security-relevant representations (i.e., views) of system architecture that conveys information about how the system is partitioned into security domains and makes use of security-relevant elements to enforce security policies within and between security domains based on how data and information must be protected. <i>Note:</i> The security architecture reflects security domains, the placement of security-relevant elements within the security domains, the interconnections and trust relationships between the security-relevant elements, and the behavior and interactions between the security-relevant elements. The security architecture, similar to the system architecture, may be expressed at various levels of abstraction and with different scopes.
security domain [ISO 19989]	Set of assets and resources subject to a common security policy. <i>Note:</i> A security domain is defined by rules (policy) for users, processes, systems, and services that apply to activity within the domain and activity with similar entities in other domains.
security function	The capability provided by the system or a system element. The capability may be expressed generally as a concept or specified precisely in requirements.
security mechanism	A device or method for achieving a security-relevant purpose.

security policy	<p>A set of rules that governs all aspects of security-relevant system and system element behavior.</p> <p><i>Note 1:</i> System elements include technology, machine, and human, elements.</p> <p><i>Note 2:</i> Rules can be stated at high levels of abstraction (e.g., an organizational policy that defines the acceptable behavior of employees in performing their mission/business functions) or at low levels of abstraction (e.g., an operating system policy that defines the acceptable behavior of executing processes and use of resources by those processes).</p>
security relevance	<p>The functions or constraints that are relied upon to, directly or indirectly, to meet protection needs.</p> <p><i>Note:</i> the term <i>security relevance</i> has been used to differentiate the role of system functions that singularly or in combination, exhibit behavior, produce an outcome, or provide a capability to enforce authorized and intended system behavior or outcomes.</p>
security requirement	<p>A requirement that has security relevance.</p>
security risk [ISO 73 adapted]	<p>The effect of uncertainty on objectives pertaining to asset loss and the associated consequences.</p> <p><i>Note:</i> [ISO 73] defines risk as the effect of uncertainty on objectives. Furthermore, risk can be either positive or negative.</p>
security service	<p>A security capability or function provided by an entity.</p>
security specification	<p>The requirements for the security-relevant portion of the system.</p> <p><i>Note:</i> The security specification may be provided as a separate document or may be captured with a broader specification.</p>
self-protection	<p>The protection provided by an entity to ensure its own correct behavior and function despite adversity.</p> <p><i>Note:</i> While ideally, an entity would be able to provide all the self-protection necessary, in practice entities are limited in the extent they can provide for their own protection without depending on one or more other entities.</p>
service [ISO 15288]	<p>Performance of activities, work, or duties.</p> <p><i>Note 1:</i> A service is self-contained, coherent, discrete, and can be composed of other services.</p> <p><i>Note 2:</i> A service is generally an intangible product.</p>
situational awareness [ISO 17757 adapted]	<p>Perception of elements in the system and/or environment and a comprehension of their meaning, which could include a projection of the future status of perceived elements and the uncertainty associated with that status.</p>

specification [IEEE 610.12]	<p>A document that specifies, in a complete, precise, verifiable manner, the requirements, design, behavior, or other characteristics of a system or component and often the procedures for determining whether these provisions have been satisfied.</p> <p>Refer to <i>security specification</i>.</p>
stage [ISO 15288]	<p>Period within the life cycle of an entity that relates to the state of its description or realization.</p> <p><i>Note 1:</i> As used in this document, stages relate to major progress and achievement milestones of the entity through its life cycle.</p> <p><i>Note 2:</i> Stages often overlap.</p>
stakeholder [ISO 15288]	<p>Individual or organization having a right, share, claim, or interest in a system or in its possession of characteristics that meet their needs and expectations.</p>
stakeholder (system) [ISO 42010]	<p>Individual, team, organization, or classes thereof, having an interest in a system.</p>
strength of function	<p>Criterion expressing the minimum efforts assumed necessary to defeat the specified security behavior of an implemented security function by directly attacking its underlying security mechanisms.</p> <p><i>Note 1:</i> Strength of function has as a prerequisite that assumes that the underlying security mechanisms are correctly implemented. The concept of strength of functions may be equally applied to services or other capability-based abstraction provided by security mechanisms.</p> <p><i>Note 2:</i> The term robustness combines the concepts of assurance of correct implementation with strength of function to provide finer granularity in determining the trustworthiness of a system.</p>
susceptibility	<p>The inability to avoid adversity.</p>
supplier [ISO 15288]	<p>Organization or an individual that enters into an agreement with the acquirer for the supply of a product or service.</p> <p><i>Note 1:</i> Other terms commonly used for supplier are contractor, producer, seller, or vendor.</p> <p><i>Note 2:</i> The acquirer and the supplier sometimes are part of the same organization.</p>

system [INCOSE19] [ISO 15288]	<p>An arrangement of parts or elements that together exhibit behavior or meaning that the individual constituents do not. Systems can be <i>physical</i> or <i>conceptual</i>, or a combination of both.</p> <p><i>Note 1:</i> A system is sometimes considered as a product or as the services it provides.</p> <p><i>Note 2:</i> In practice, the interpretation of its meaning is frequently clarified by the use of an associative noun (e.g., aircraft system). Alternatively, the word “system” is substituted simply by a context-dependent synonym (e.g., aircraft), though this potentially obscures a system principles perspective).</p> <p><i>Note 3:</i> A complete system includes all associated equipment, facilities, material, computer programs, services, firmware, technical documentation, and personnel required for operations and support to the degree necessary for self-sufficient use in its intended environment.</p>
system element [ISO 15288]	<p>Member of a set of elements that constitute a system.</p> <p><i>Note:</i> A system element is a discrete part of a system that can be implemented to fulfill specified requirements.</p>
system of interest [ISO 15288]	<p>System whose life cycle is under consideration.</p>
system of systems [INCOSE14] [ISO 21839]	<p>System of interest whose system elements are themselves systems; typically, these entail large-scale interdisciplinary problems with multiple, heterogeneous, distributed systems.</p> <p>Set of systems or system elements that interact to provide a unique capability that none of the constituent systems can accomplish on its own.</p>
system context	<p>The specific system elements, boundaries, interconnections, interactions, and environment of operation that define a system.</p>
system life cycle [IEEE 610.12]	<p>The period of time that begins when a system is conceived and ends when the system is no longer available for use.</p> <p>Refer to <i>life cycle stages</i>.</p>

system security requirement	<p>System requirement that has security relevance. System security requirements define the protection capabilities provided by the system, the performance and behavioral characteristics exhibited by the system, and the evidence used to determine that the system security requirements have been satisfied.</p> <p><i>Note 1:</i> Due to the complexity of system security, system security requirements have several types and purposes including: (1) structural security requirements that express the passive aspects of the protection capability provided by the system architecture, and (2) functional security requirements that express the active aspects of the protection capability provided by the engineered features and devices (e.g., security mechanisms, inhibits, controls, safeguards, overrides, and countermeasures).</p> <p><i>Note 2:</i> Each system security requirement is expressed in a manner that makes verification possible via analysis, observation, test, inspection, measurement, or other defined and achievable means.</p>
systems engineering [INCOSE19] [ISO 24765]	<p>A transdisciplinary and integrative approach to enable the successful realization, use, and retirement of engineered systems, using systems principles and concepts, and scientific, technological, and management methods.</p> <p>Interdisciplinary approach governing the total technical and managerial effort required to transform a set of stakeholder needs, expectations, and constraints into a solution and to support that solution throughout its life.</p>
systems security engineer	<p>Individual that practices the discipline of systems security engineering, regardless of their formal title. Additionally, the term <i>systems security engineer</i> refers to multiple individuals operating on the same team or cooperating teams.</p>
systems security engineering	<p>A transdisciplinary and integrative approach to enable the successful secure realization, use, and retirement of engineered systems, using systems, security, and other principles and concepts, as well as scientific, technological, and management methods. Systems security engineering is a subdiscipline of systems engineering.</p>
tampering [CNSSI 4009]	<p>An intentional but unauthorized act resulting in the modification of a system, components of systems, its intended behavior, or data.</p>
task [ISO 15288]	<p>Required, recommended, or permissible action, intended to contribute to the achievement of one or more outcomes of a process.</p>

threat	<p>Potential cause of unacceptable asset loss and the undesirable consequences or impact of such a loss.</p> <p><i>Note:</i> The specific causes of asset loss, and for which the consequences of asset loss are assessed, can arise from a variety of conditions and events related to adversity, typically referred to as disruptions, hazards, or threats. Regardless of the specific term used, the basis of asset loss constitutes all forms of intentional, unintentional, accidental, incidental, misuse, abuse, error, weakness, defect, fault, and/or failure events and associated conditions.</p>
traceability [ISO 29110-1]	<p>Discernible association among two or more logical entities, such as requirements, system elements, verifications, or tasks.</p>
traceability analysis	<p>The analysis of the relationships between two or more products of the development process conducted to determine that objectives have been met or that the effort represented by the products is completed.</p> <p><i>Note:</i> A requirements traceability analysis demonstrates that all system security requirements have been traced to and are justified by at least one stakeholder security requirement, and that each stakeholder security requirement is satisfied by at least one system security requirement.</p>
traceability matrix [IEEE 610.12]	<p>A matrix that records the relationship between two or more products of the development process (e.g., a matrix that records the relationship between the requirements and the design of a given software component).</p> <p><i>Note 1:</i> A traceability matrix can record the relationship between a set of requirements and one or more products of the development process and can be used to demonstrate completeness and coverage of an activity or analysis based upon the requirements contained in the matrix.</p> <p><i>Note 2:</i> A traceability matrix may be conveyed as a set of matrices representing requirements at different levels of decomposition. Such a traceability matrix enables the tracing of requirements stated in their most abstract form (e.g., statement of stakeholder requirements) through decomposition steps that result in the implementation that satisfies the requirements.</p>
trade-off [ISO 15288]	<p>Decision-making actions that select from various requirements and alternative solutions on the basis of net benefit to the stakeholders.</p>
trade-off analysis	<p>Determining the effect of decreasing one or more key factors and simultaneously increasing one or more other key factors in a decision, design, or project.</p>

trust [MITRE21]	<p>A belief that an entity meets certain expectations and therefore can be relied upon.</p> <p><i>Note:</i> The term belief implies that trust may be granted to an entity whether the entity is trustworthy or not.</p>
trust relationship	<p>An agreed upon relationship between two or more system elements that is governed by criteria for secure interaction, behavior, and outcomes relative to the protection of assets.</p> <p><i>Note:</i> This refers to trust relationships between system elements implemented by hardware, firmware, and software.</p>
trustworthiness [Neumann04]	<p>Worthy of being trusted to fulfill whatever critical requirements may be needed for a particular component, subsystem, system, network, application, mission, enterprise, or other entity.</p> <p><i>Note:</i> From a security perspective, a trustworthy system is a system that meets specific security requirements in addition to meeting other critical requirements.</p>
trustworthy	<p>The degree to which the behavior of a component is demonstrably compliant with its stated requirements.</p>
user [ISO 25010]	<p>Individual or group that interacts with a system or benefits from a system during its utilization.</p> <p><i>Note:</i> The role of user and the role of operator are sometimes vested, simultaneously or sequentially, in the same individual or organization.</p>
validation [ISO 9000]	<p>Confirmation, through the provision of objective evidence, that the requirements for a specific intended use or application have been fulfilled.</p> <p><i>Note:</i> A system is able to accomplish its intended use, goals and objectives (i.e., meet stakeholder requirements) in the intended operational environment. The right system was built.</p>
verification [ISO 9000]	<p>Confirmation, through the provision of objective evidence, that specified requirements have been fulfilled.</p> <p><i>Note:</i> Verification is a set of activities that compares a system or system element against the required characteristics. This includes, but is not limited to, specified requirements, design description, and the system itself. The system was built right.</p>
verification and validation [IEEE 610.12]	<p>The process of determining whether the requirements for a system or component are complete and correct, the products of each development phase fulfill the requirements or conditions imposed by the previous phase, and the final system or component complies with specified requirements.</p>
view [ISO 24774]	<p>Representation of a whole system from the perspective of a related set of concerns.</p> <p><i>Note:</i> A view can cover the entire system being examined or only a part of that system.</p>

viewpoint[\[ISO 24774\]](#)

Specification of the conventions for constructing and using a view.

vulnerability

A weakness that can be exploited or triggered to produce an adverse effect.

The inability to withstand adversity.

Note: Vulnerability can exist in anywhere throughout the life cycle of a system, such as in the CONOPS, procedures, processes, requirements, design, implementation, utilization, and sustainment of the system.

weakness[\[ISO 21434\]](#)

Defect or characteristic that may lead to undesirable behavior.

Note: Examples include missing requirement or specification; architectural or design flaw; implementation weakness including hardware or software defect; use of an outdated or deprecated function including outdated cryptographic algorithms.

1280

1281 **APPENDIX B**1282 **ACRONYMS**

1283 COMMON ABBREVIATIONS

ACM	Association for Computing Machinery
AIAA	American Institute of Aeronautics and Astronautics
ANSI	American National Standards Institute
ASARP	As Secure As Reasonably Practicable
CNSS	Committee on National Security Systems
DoD	Department of Defense
DOD!	Department of Defense Instruction
DSB	Defense Science Board
EIA	Electronic Industries Alliance
EO	Executive Order
FISMA	Federal Information Security Modernization Act
FOIA	Freedom of Information Act
GSNCS	Goal Structuring Notation Community Standard
IEC	International Electrotechnical Commission
IEEE	Institute of Electrical and Electronics Engineers
INCOSE	International Council on Systems Engineering
ISO	International Organization for Standardization
IT	Information Technology
ITL	Information Technology Laboratory
NASA	National Aeronautics and Space Administration
NICE	National Initiative for Cybersecurity Education
NIST	National Institute of Standards and Technology
NDIA	National Defense Industrial Association
OT	Operational Technology
SEBoK	Systems Engineering Body of Knowledge
SecDOP	Security Design Order of Precedence
SoS	System of Systems
SP	Special Publication
SSE	Systems Security Engineering

1284

SWaP

Size, Weight, and Power

TCSEC

Trusted Computer System Evaluation Criteria

1285 APPENDIX C

1286 SECURITY POLICY AND REQUIREMENTS

1287 FOUNDATIONAL CONCEPTS FOR THE EXPRESSION OF TRUSTWORTHY SECURE SYSTEM CAPABILITY

1288 This appendix discusses security requirements and security policy considerations⁵⁵ in support of
1289 [Appendix D](#), [Appendix E](#), and [Appendix H](#). Covered topics include the rules and scope of control
1290 for security policy ([Section C.1](#)), stakeholder and system security requirements ([Section C.2](#)), and
1291 the relationship among security requirements, policy, and mechanisms ([Section C.3](#)).

1292 C.1 SECURITY POLICY

1293 A *security policy* is a set of rules (Section C.1.1) that governs behavior and outcomes within a
1294 defined scope of control (Section C.1.2). The policy generally includes a set of policies that reflect
1295 the needs and expectations established by an authority with a specific scope and purpose (Section
1296 C.1.2). The policy rules have a hierarchy, from security policy top-level objectives that are refined
1297 and allocated to organizational security policies, which in turn are refined and allocated to system
1298 security policies.

1299 C.1.1 Rules

1300 Security policy rules are stated in terms of authorized relationships that involve subjects (i.e.,
1301 active entities) and objects (i.e., passive entities). The rules govern the operations that a subject
1302 can perform or invoke on other subjects (i.e., subject-to-subject operations) and the operations
1303 that a subject can perform or invoke on objects (i.e., subject-to-object operations). The rules must
1304 be accurate, consistent, compatible, and complete with respect to stakeholder security objectives
1305 within the defined scope of control. Inaccurate, inconsistent, incompatible, or incomplete rule
1306 sets will allow undesired behavior and outcomes.

1307 C.1.2 Scope of Control

1308 Security policies reflect and are derived from laws, directives, regulations, life cycle concepts,⁵⁶
1309 requirements, or stakeholder objectives. Each includes a *scope of control* that establishes the
1310 bounds within which the policy applies. A typical scope of applicability includes:

- 1311 • **Security Policy (Protection) Objectives:** A set of objectives that captures a preferred state or
1312 what is to be achieved. These objectives include assets to be protected, statements of intent
1313 to protect the assets within the specific scope of stakeholder responsibility, and protection
1314 scope. Security policy objectives are the basis for deriving all other security policy forms.
- 1315 • **Organizational Security Policy:** A set of rules⁵⁷ that regulates how an organization achieves
1316 its objectives. The rules provide individuals with a reasonable ability to determine whether
1317 their actions either violate or comply with the security policy. Organizational security policy
1318 defines the individual's behavior in performing their missions and business functions and is
1319 used for the developing processes and procedures.

⁵⁵ This appendix discusses policy in a manner that suggests policy precedes engineering. However, policy may need to be modified to align with the capabilities of the delivered as-is system.

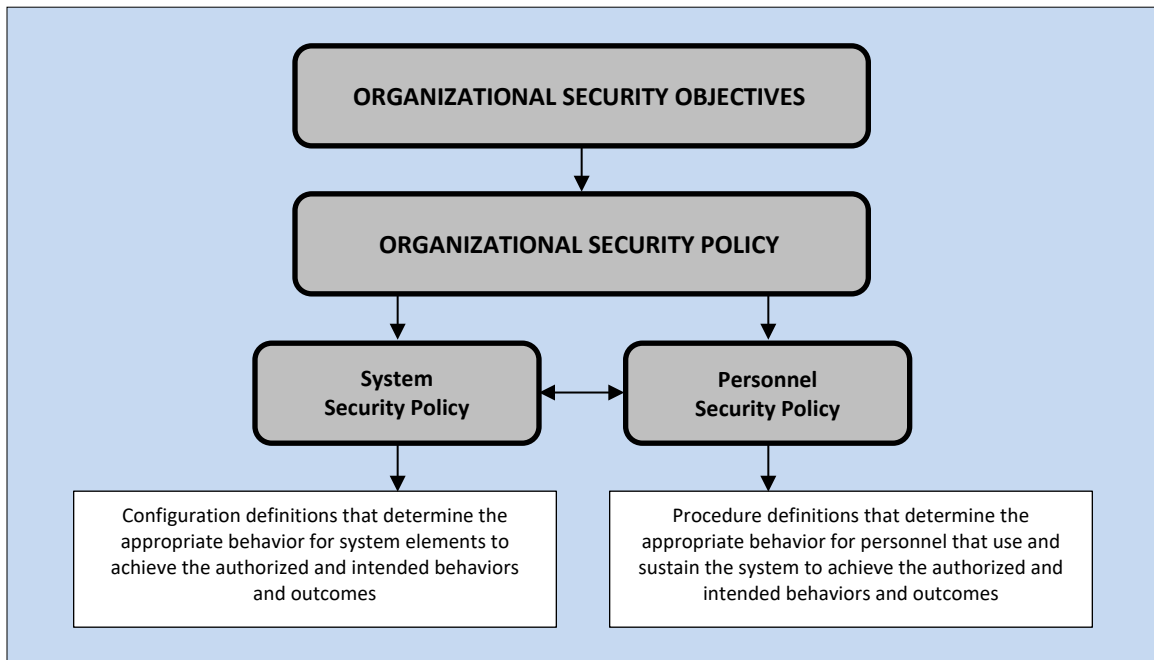
⁵⁶ Life cycle concepts include operation, sustainment, evolution, maintenance, training, startup, and shutdown.

⁵⁷ The rules may be captured in laws and practices.

- 1320
- 1321
- 1322
- **System Security Policy:** A policy that specifies the system security capability. It is the set of restrictions and properties that specifies how a system enforces or contributes to enforcing organizational security policy.
- 1323
- **Personnel Security Policy:** A policy that defines the expectations of personnel.⁵⁸ These include behaviors of the personnel using or sustaining the system.
- 1324

1325 Security policy goes through an iterative refinement process that decomposes an abstract
 1326 statement of security policy into more specific statements of security policy. The refinement
 1327 occurs in parallel with requirements allocation and decomposition. Figure C-1 illustrates security
 1328 policy allocation across the organization.

1329



1330

1331

FIGURE C-1: ALLOCATION OF SECURITY POLICY RESPONSIBILITIES

1332 C.2 SECURITY REQUIREMENTS

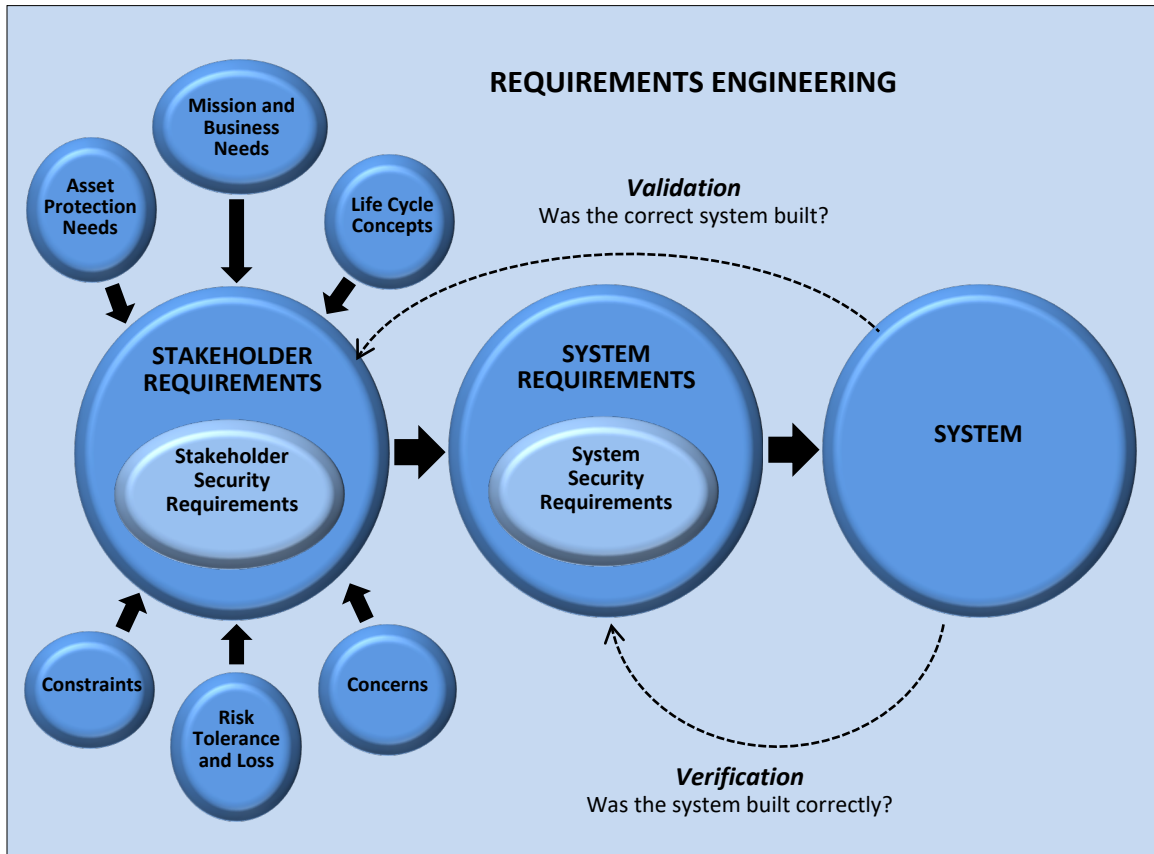
1333 A *requirement* is a statement that translates or expresses a specific need and its associated
 1334 constraints and conditions [ISO 29148].⁵⁹ *Security requirements* translate or express protection
 1335 needs (Section 3.7), associated constraints, and associated conditions. The constraints also reflect
 1336 concerns about the system functions, system architecture, and design to ensure that they are
 1337 specified in a manner that avoids and reduces susceptibilities, defects, flaws, and weaknesses
 1338 (Section 3.8) and is consistent with the needs of active security functions.

1339 Requirements can be categorized as: (1) *stakeholder requirements* that address the need to be
 1340 satisfied in a design-independent manner, and (2) *system requirements* that express the specific

⁵⁸ These expectations often cover personnel actions that may expose them to negative external influences (e.g., certain social media use).

⁵⁹ General requirements and definition processes are described in sources such as [ISO 29148] and [INCOSSE20].

1341 solution that will be delivered (design-dependent manner). Figure C-2 illustrates the two types of
 1342 requirements and their relationship to the verification and validation of the system.



1343
 1344

FIGURE C-2: STAKEHOLDER AND SYSTEM REQUIREMENTS

1345 Security requirements and security-relevant constraints and conditions on other requirements
 1346 are informed by various items, such as those pictured in Figure C-3.

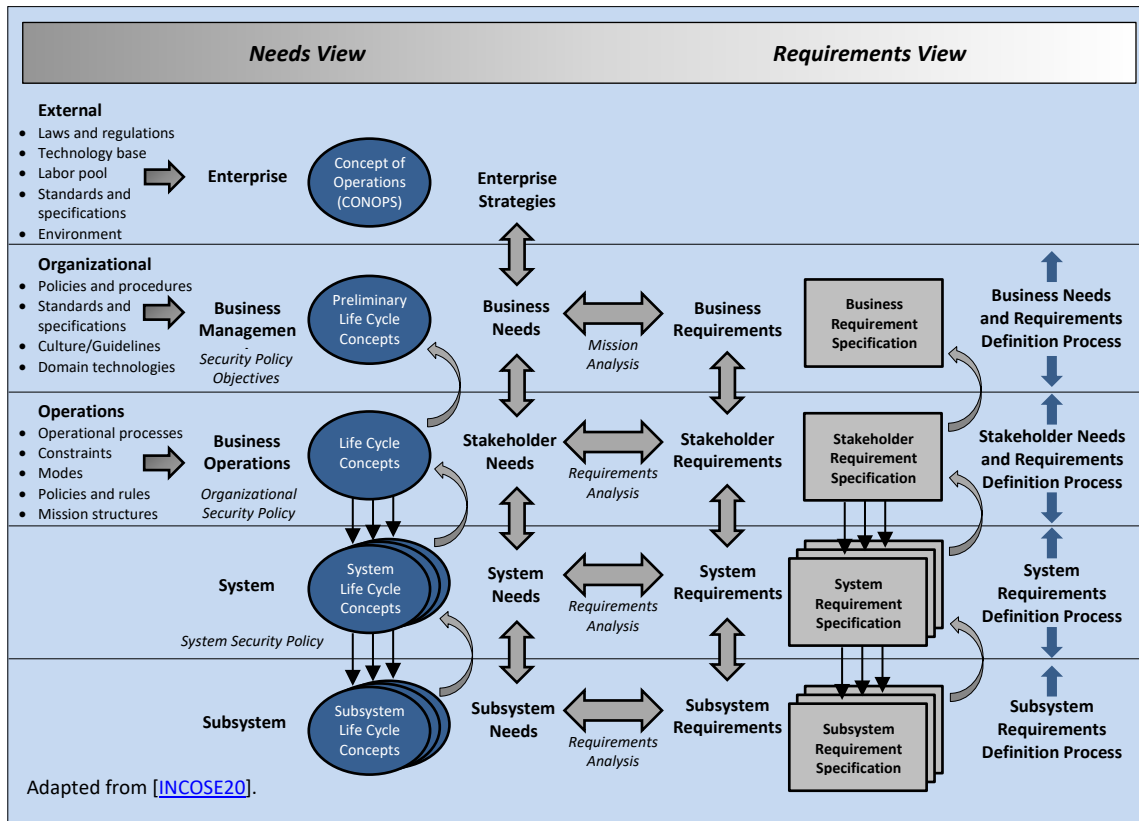
1347 **C.2.1 Stakeholder Security Requirements**

1348 *Stakeholder security requirements* are those stakeholder requirements that are security relevant.
 1349 Stakeholder security requirements specify:

- 1350 • The protection needed for the mission or business, data, information, processes, functions,
 1351 humans, and system assets
- 1352 • The roles, responsibilities, and security-relevant actions of individuals who perform and
 1353 support the mission or business processes
- 1354 • The interactions between the security-relevant solution elements
- 1355 • The assurance that is to be obtained in the security solution

1356 Systems security considerations within activities and tasks such as those described in Appendices
 1357 H, I, J, and K provide the security perspective to ensure that stakeholder security requirements

1358 are included in the stakeholder requirements and that the stakeholder security requirements are
 1359 consistent with all other stakeholder requirements.



1360
 1361

FIGURE C-3: ENTITIES THAT AFFECT SECURITY REQUIREMENT DEVELOPMENT

1362 **C.2.2 System Security Requirements**

1363 System requirements specify the technical view of a system or solution that meets the specified
 1364 stakeholder needs. The system requirements are a transformation of the validated stakeholder
 1365 requirements. System requirements specify what the system or solution must do to satisfy the
 1366 stakeholder requirements. *System security requirements* are those system requirements that are
 1367 security relevant. These requirements define:

- 1368 • The protection capabilities provided by the security solution
- 1369 • The performance and behavioral characteristics exhibited by the security solution
- 1370 • Assurance processes, procedures, and techniques
- 1371 • Constraints on the system and the processes, methods, and tools used to realize the system
- 1372 • The evidence required to determine the system security requirements have been satisfied⁶⁰

1373

⁶⁰ Each system security requirement, like any system requirement, is expressed in a manner that makes verification possible via inspection, analysis, demonstration, testing, or other defined and achievable means [ISO 29148].

1374 Due to the complexity of system security, system security requirements have several types and
1375 purposes including: (1) *structural security requirements* that express the passive aspects of the
1376 protection capability provided primarily by the system architecture, and (2) *functional security*
1377 *requirements* that express the active aspects of the protection capability provided by engineered
1378 features and devices (e.g., security mechanisms, controls, safeguards, inhibits, overrides, and
1379 countermeasures). Decomposition of the system security requirements is accomplished as part
1380 of the system requirements decomposition and is consistent with the different levels of
1381 hierarchical abstraction and forms of the system requirements.
1382

SYSTEM STATES, POLICY, AND REQUIREMENTS

Systems operate in secure, insecure, and indeterminant states ([Section 3.2](#)). System security policy and system requirements account for these states and the state transitions, including those reflecting the design principles of [Protective Failure](#) and [Protective Recovery](#). For example, requirements capture needs to: (1) detect insecure system states, (2) detect a transition that will result in a insecure state, (3) transition to a secure halt state, (4) recover to a reconstituted, reconfigured, or alternative secure operational mode, and (5) if necessary, continue operating in insecure or indeterminant states when other needs override protection needs.

1383
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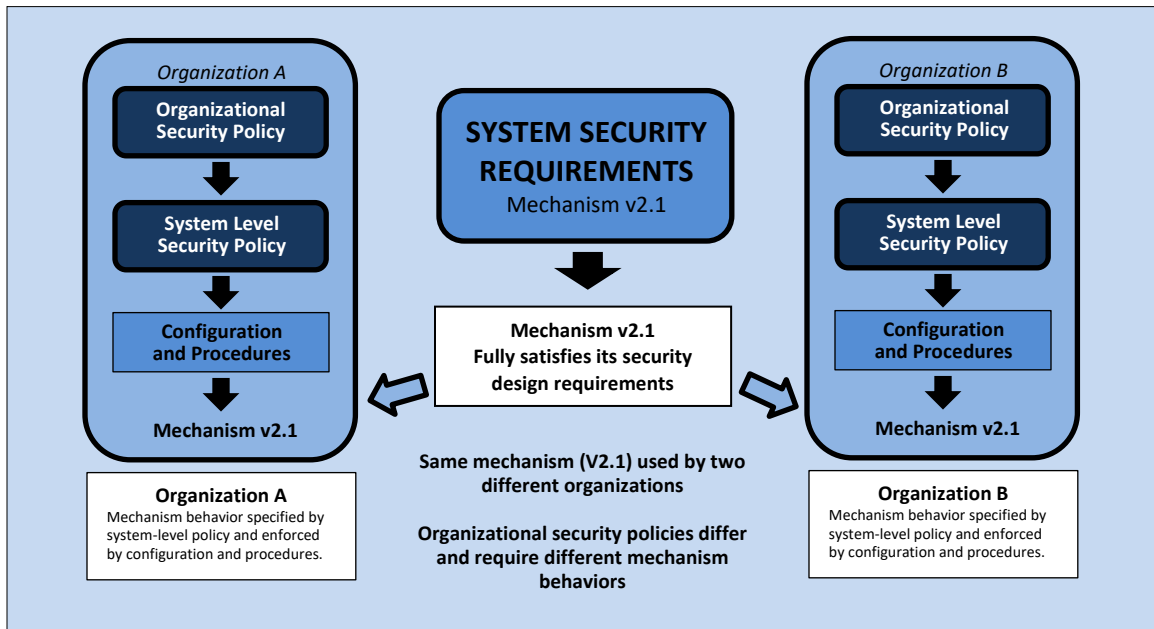
1385 C.3 DISTINGUISHING REQUIREMENTS, POLICY, AND MECHANISMS

1386 The terms *requirements*, *policy*, and *mechanisms* are often used in an abstract manner that allows
1387 them to be considered as synonyms. However, when these terms are used in the context of
1388 engineering trustworthy secure systems, they are distinct in their meaning and importance to
1389 specifying, realizing, utilizing, and sustaining systems.

1390 The security policy states the behavior that is necessary to achieve a secure condition, whereas a
1391 security mechanism is a means to achieve the necessary behavior. The distinction between
1392 security policy and security mechanism extends to differentiating security requirements from
1393 security policy. Security requirements specify the capability, behavior, and quality attributes
1394 exhibited and possessed by security mechanisms as well as constraints on each. Security policy
1395 specifies how the security mechanisms must behave in an operational context and the constraints
1396 on those behaviors. From the system standpoint, a human is a system element and may serve as
1397 a security mechanism. Therefore, the human is expected to behave as stated by relevant security
1398 policy and security requirements.

1399 Requirements, policies, and mechanisms have an important dependency relationship. System
1400 security requirements specify the capabilities and behaviors that a security mechanism can
1401 provide. A security policy specifies the aspects that a mechanism must enforce to achieve
1402 organizational objectives. This means that a secure system cannot be achieved if the security
1403 requirements do not fully specify the minimal capability necessary to enforce the security policy.
1404 It also means that the satisfaction of requirements alone does not result in a secure system.
1405 Verification and validation activities must be done separately and coordinated to ensure the
1406 individual and combined correctness and effectiveness of the requirements and policy.

1407 Figure C-4 illustrates the significance of the consistency relationship that must be maintained
 1408 across interacting security requirements, security policy, and security mechanisms.



1409
 1410

FIGURE C-4: RELATIONSHIP BETWEEN MECHANISMS AND SECURITY POLICY ENFORCEMENT

1411 Any security mechanism that fully satisfies its system security requirements may be deemed
 1412 capable of enforcing the security policy that is defined for two different organizations. Each
 1413 organization will use the same mechanism and configure it to behave in a manner that enforces
 1414 the rules of their organizational security policy. However, if the organizations were to switch
 1415 mechanisms and keep the same configuration of the mechanism, they would achieve uncertain
 1416 results (unless their security policy objectives required the exact same configuration of the
 1417 mechanism). From this, the following conclusions may be drawn:

- 1418 • Requirements express both the security protections to be provided by security mechanisms
 1419 and the security-informed constraints to be enforced by security mechanisms.
- 1420 • Security policy determines the behavior and outcomes that are deemed “secure.”
- 1421 • For a mechanism to be deemed secure, the mechanism’s capability requirements must be
 1422 consistent with security policy enforcement rules; the mechanism must satisfy the security
 1423 requirements; and the mechanism must be configured to behave in a manner defined by the
 1424 organizational security policy.

1425 **APPENDIX D**1426 **TRUSTWORTHY SECURE DESIGN**

1427 FOUNDATIONAL CONCEPTS FOR THE TRUSTWORTHY SECURE DESIGN OF SYSTEMS

1428 This appendix discusses the approach and considerations for applying technical⁶¹ elements of a
1429 trustworthy secure system design. This includes the system's authorized and intended behaviors
1430 and outcomes ([Section D.2](#)), the security design order of precedence ([Section D.3](#)), and the
1431 functional design and trade space considerations ([Section D.4](#)).

1432 Trustworthiness must have a principled and effective system design. The principles ([Appendix E](#))
1433 provide a sound basis for reasoning about a system and enable the demonstration of system
1434 trustworthiness through *assurance* based on relevant and credible evidence. Applying principles
1435 and concepts should be planned for, appropriately scoped, and revisited throughout the system
1436 life cycle and engineering effort. Trustworthy secure design concepts described in this appendix
1437 provide a balanced and integrated approach that optimally protects against asset loss.

1438 Other enablers for trustworthy secure design include elements such as standards, specifications,
1439 design patterns, security policy models, functional behaviors and interactions, security protocols,
1440 defined strength of mechanisms, cryptographic algorithms, known adversities, and assumptions
1441 of uncertainty including with adversity. [Appendix F](#) provides a more in-depth discussion of the
1442 concepts of trustworthiness and assurance.
1443

TRUSTWORTHY SECURE DESIGN

Trustworthy secure design is a means to optimally provide stakeholders with the confidence that their conflicting capability needs, concerns, priorities, and constraints are satisfied.

1444

1445 **D.1 DESIGN APPROACH FOR TRUSTWORTHY SYSTEMS**

1446 The design approach for engineering trustworthy secure systems is intended to establish and
1447 maintain the ability to deliver system capabilities at an acceptable level of performance⁶² while
1448 minimizing the occurrence and extent of loss. This approach provides a system structure for
1449 optimal employment of the tactical engineered features and devices.⁶³ The system design must
1450 provide the intended behaviors and outcomes, avoid the unintended behaviors and outcomes,

⁶¹ Note that human factor elements of trust are not discussed. A system may be trustworthy, but a user may not trust it. Similarly, a user may trust an untrustworthy system.

⁶² An acceptable level of performance lies between the minimum threshold of acceptability and the objective of maximum performance. This level may vary across operational or system states and modes (e.g., patrolling in clear weather versus severe weather conditions), may vary across contingency conditions (e.g., normal, degraded), and may be subject to operational priorities (e.g., search and rescue, manhunt).

⁶³ The term *tactics* refers to specific means to accomplish an action. Tactics focus on *how* to accomplish the action (e.g., using engineered features and devices to react to a threat). This contrasts with the term *strategy*, which takes a broader view and focuses on *what* to accomplish (e.g., a design approach for trustworthy secure systems) [[Young14](#)].

1451 prevent loss, and limit loss when it occurs. A trustworthy secure design includes a situational
 1452 awareness capability and a margin⁶⁴ to account for the unknowns and uncertainty inherent in the
 1453 system and its operational environment, as well as related adversity. The situational awareness
 1454 capability should also enable accountability for the actions of all users and entities (i.e., audit)
 1455 while detecting pending and actual failure (e.g., by crossing the threshold of the margins that have
 1456 been established). The design principle of [Anomaly Detection](#) embodies this capability.

1457 The design approach includes the following elements:⁶⁵

- 1458 • Define the intended behaviors and outcomes for the system⁶⁶
- 1459 • Identify the system states and conditions that reflect the intended behaviors and outcomes
- 1460 • Identify the system states and conditions that potentially lead to loss in the system
- 1461 • Engineer to prevent loss to the extent practicable (preferred) and limit the loss that does
 1462 occur (where, when, and to the extent necessary and practicable)
- 1463 • Iterate the above elements to address how the functions that serve to prevent or limit loss
 1464 may fail due to intentional or unintentional reasons

1465 Figure D-1 illustrates the steps in the design approach in the context of the *Systems Security*
 1466 *Engineering Framework* described in [Chapter Four](#).

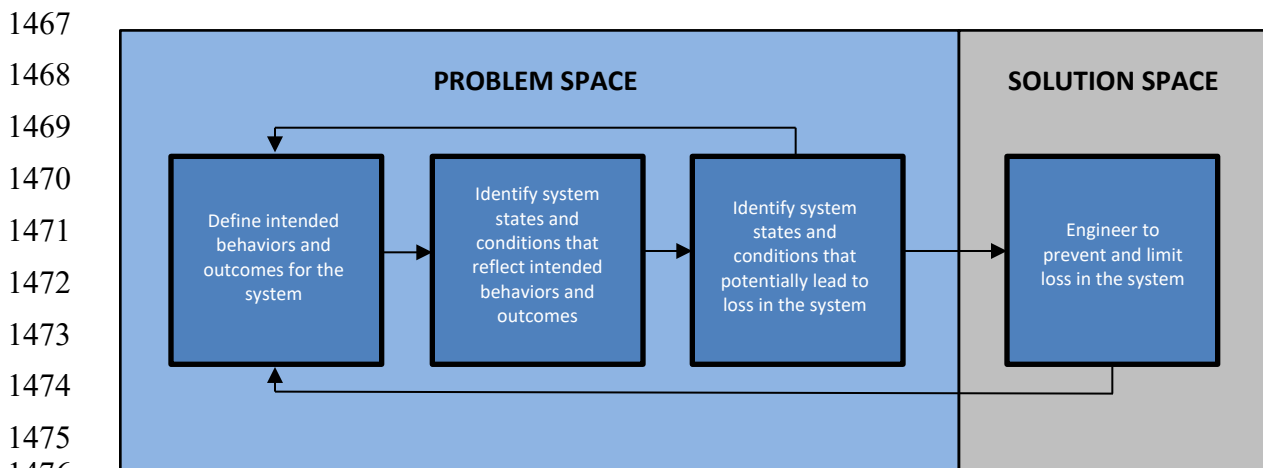


FIGURE D-1: DESIGN APPROACH IN A SYSTEMS SECURITY ENGINEERING FRAMEWORK

1478 D.2 DESIGN FOR BEHAVIORS AND OUTCOMES

1479 A system should deliver the required intended capability at a specified level of performance when
 1480 authorized. However, a system may also deliver an unauthorized or unintended capability. The

⁶⁴ The term *margin* refers to a spare amount, measure, or degree allowed or given for contingencies or special situations. The allowances are carried to account for uncertainties and risks. Two types of margins are used in systems engineering: *design margin* and *operational margin*. See the design principle of [Loss Margins](#).

⁶⁵ These steps are useful in applying a *system control* concept for any loss-relevant emergent property (e.g., safety, resilience).

⁶⁶ This flow iterates through systems engineering as the system is decomposed. Subsequent iterations would apply within the elements that comprise the system of interest (i.e., the subsystems, assemblies, and components).

1481 design goal is to provide only authorized and intended capability, accomplished by achieving only
1482 authorized and intended behaviors and outcomes.

1483 One cause of unintended behaviors and outcomes lies with the concept of *emergence*. Emergence
1484 refers to the behaviors and outcomes that result from how individual system elements compose
1485 to form the system. That is, the behaviors and outcomes produced by the system are not those
1486 of the individual system elements that form the system. Rather, the emergent system behaviors
1487 and outcomes, or system properties, result from the composition of multiple system elements.
1488 This composition is covered in the design principle of [Structured Decomposition and Composition](#)
1489 and illustrated in [Figure 2](#).

1490 Some emergent system properties sought are desired and productive; other emergent properties
1491 are not desired or productive. Such properties can produce unknown, unforeseen, or adverse
1492 effects. Engineering trustworthy secure systems seeks to deliver only the desired and productive
1493 emergent properties. Trustworthiness judgments are based on the expectation that the system
1494 can satisfy the stated capability needs. To achieve this, the design must address emergence at all
1495 levels of system abstraction in terms of how the system is decomposed into its constituent
1496 elements and how those system elements compose to produce the system. This is covered in the
1497 design principle of [Compositional Trustworthiness](#).

SECURITY AS AN EMERGENT SYSTEM PROPERTY

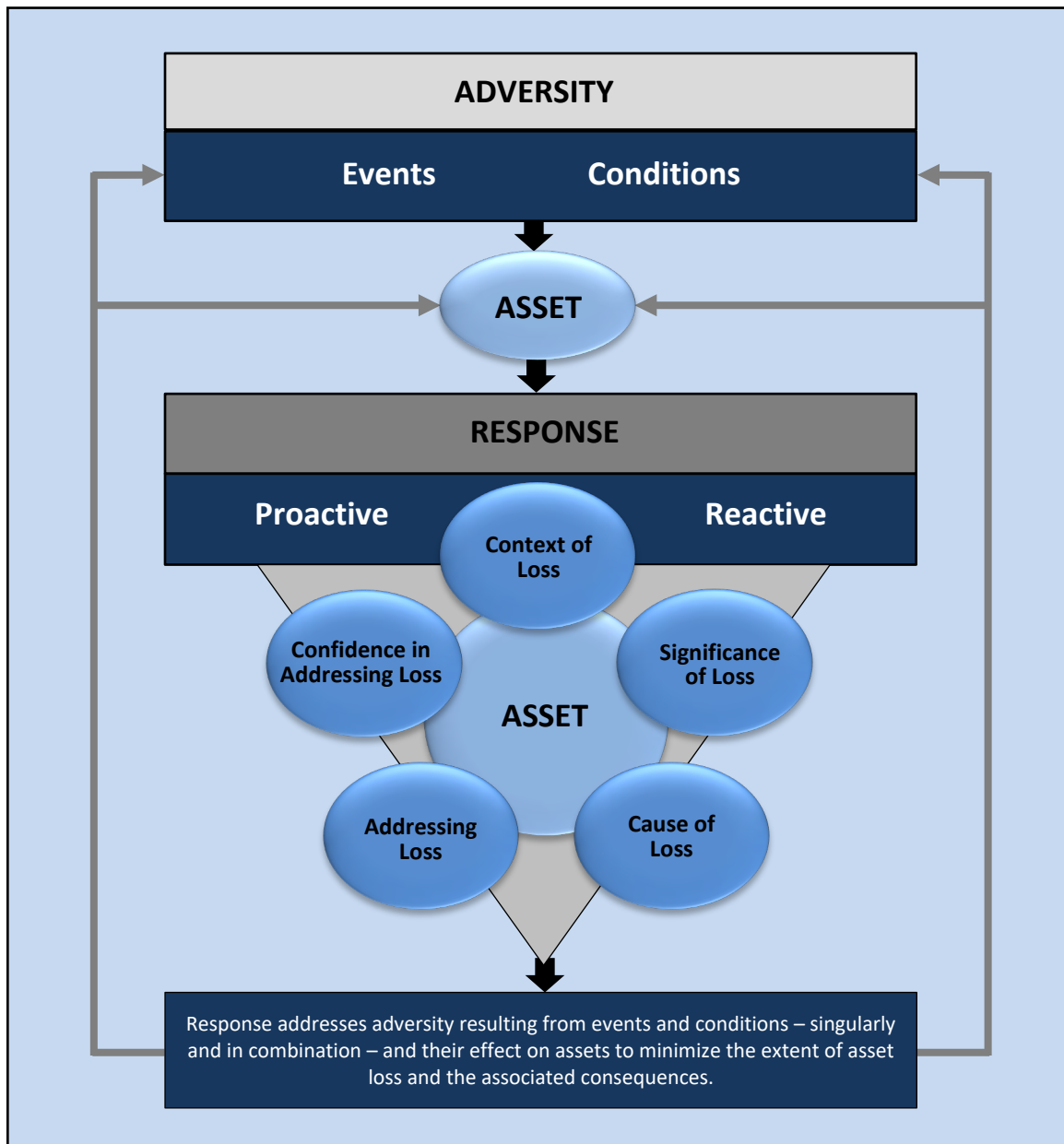
The objective of security as an emergent system property is to achieve *only* the authorized and intended system behaviors and outcomes. This requires a fundamental understanding of how individual system elements are composed into the system as a whole. Systems are designed from that basis of understanding to limit the emergent behaviors and outcomes that are not specified (including desired unspecified and undesired unspecified behaviors and outcomes).

1509
1510 Both *proactive* and *reactive* aspects are considered in an integrated, comprehensive engineering
1511 approach. These mutually reinforcing aspects provide the protection needed to achieve only the
1512 authorized and intended behaviors and outcomes. The proactive aspect results in system features
1513 and system actions taken to prevent and limit loss before the loss occurs, while the reactive aspect
1514 results in system actions to limit loss and its effects once a loss has occurred.

1515 The proactive aspect recognizes the conditions where loss may occur and addresses the scenarios
1516 before loss occurs (i.e., what can happen). If the loss does occur, the results are limited due to
1517 system features and actions taken in advance. The proactive aspect is independent of any specific
1518 knowledge of attacks and attacker objectives, instead focusing on what is possible in the system's
1519 life cycle. The reactive aspect recognizes the limits of certainty about what can happen, and that
1520 new, unanticipated, and otherwise unforeseen adverse consequences will occur despite the
1521 proactive planning and instituting of means and methods to control loss and the extent of its
1522 consequences. The reactive aspect promotes informed operational decision-making after the
1523 system is in use and a loss condition occurs, proactively giving operations the ability to address
1524 the loss condition and handle the loss. The reactive aspect complements the proactive aspect by
1525 providing an informed basis and means for an external entity (e.g., a human operator or system)

1526 to act when failures occur. Essentially, the reactive aspect is a proactive engineering activity about
 1527 providing a *reactive capability*.

1528 An effective design will optimize protection against loss to the extent practical, while recognizing
 1529 that losses will occur irrespective of the protections put in place. Optimization decisions across
 1530 proactive and reactive approaches must consider assets, stakeholders, concerns, and objectives.
 1531 Achieving a proper mix requires establishing security objectives and conducting requirements
 1532 elicitation and analysis to unambiguously and clearly ascertain the scope of security in terms of
 1533 addressing failure and the associated consequences in its proactive and reactive aspects. Figure
 1534 D-2 illustrates a balanced design strategy.
 1535



1573 **FIGURE D-2: BALANCED DESIGN STRATEGY FOR ACHIEVING TRUSTWORTHY SECURE SYSTEMS**

1574 **D.3 SECURITY DESIGN ORDER OF PRECEDENCE**

1575 The security design order of precedence (SecDOP)⁶⁷ is a design approach with the objective of
1576 minimizing the design basis for loss potential. SecDOP emphasizes the use of architectural
1577 features to provide the structure for implementing engineered features and devices. Using a
1578 principled and assured engineering approach, the SecDOP eliminates susceptibility, hazard, and
1579 vulnerability to the extent practicable, thereby eliminating the associated risk. For those cases in
1580 which susceptibility, hazard, or vulnerability cannot be eliminated, the SecDOP reduces the loss
1581 potential (e.g., occurrence, impact) to the lowest acceptable level within the constraints of cost,
1582 schedule, and performance. The SecDOP approach applies design options in order of decreasing
1583 effectiveness, thus enabling a maximized return on investment.

1584 The SecDOP options are:

1585 **1. Eliminate the potential for loss through design selection.**

1586 Susceptibility, hazard, and vulnerability are eliminated by selecting a design or material
1587 alternative that completely removes susceptibility, hazard, and vulnerability and thus
1588 prevents loss.

1589 *Example:* The design selected for a *system function of interest* minimizes the number of
1590 interfaces to other systems (i.e., external interfaces) and the number of internal interfaces.
1591 The minimization of interfaces (both external and internal) is determined considering the
1592 interface needs of *all system functions* and results in an across-the-board optimization that
1593 does not overly constrain the design for the *system function of interest*. That is, the design
1594 results in less susceptibility, hazard, and vulnerability than a design that incorporates
1595 additional and unnecessary internal and external interfaces.

1596 *Note:* The design selection to control loss is accomplished to accommodate the need for
1597 mechanisms that provide mediated access and trusted communication as these engineered
1598 features and devices are necessary for a secure system.

1599 **2. Reduce the potential for loss through design alteration.**

1600 If adopting an alternative design or material to eliminate susceptibility, hazard, and
1601 vulnerability is not feasible, consider design changes or material selection that would reduce
1602 the frequency, potential, severity, and/or extent of loss caused by the susceptibility, hazard,
1603 or vulnerability.

1604 *Example:* The selected design for the *system function of interest* has susceptibility, hazard,
1605 and vulnerability due to the system-level design trades made to satisfy the requirements for
1606 *all system functions*, emergence, and the limits of certainty. In response to these conditions,
1607 the design might consider functional domains, defense-in-depth layering, redundancy, and
1608 other approaches to further reduce susceptibility, hazard, and vulnerability.

1609 *Note:* The design alteration to control loss is accomplished to accommodate the need for
1610 mechanisms that provide mediated access and trusted communication, as these engineered
1611 features and devices are necessary for a secure system.

⁶⁷ The *security design order of precedence* is inspired by the *System Safety Design Order of Precedence*, an optimized design approach for system safety described in [\[MILSTD-882E\]](#).

1612 **3. Incorporate engineered features or devices to control the potential for loss.**

1613 If preventing, limiting, or reducing the potential for loss through design alteration and
1614 material selection is not feasible or adequate, employ engineered features and devices to
1615 control loss associated with susceptibility, hazard, and vulnerability. In general, engineered
1616 features actively disrupt the loss scenario sequence and interactions, and devices reduce the
1617 potential, severity, and extent of loss.

1618 Two general types of engineered features and devices employed to address the potential for
1619 loss associated with the *system function of interest* are:

- 1620 - *Mandatory security features and devices:* Mandatory security features and devices are
1621 those that apply foundational security principles for the interfaces. For example, each
1622 interface must have mediated access to control access to and use of the capability and
1623 data provided by the interface.
- 1624 - *Function-specific features and devices:* Function-specific security features and devices
1625 protect against a loss associated with the design's ability to meet functional requirements
1626 and performance parameters. Engineered features such as redundant data and control
1627 flows and redundant system elements can supplement the design selection to achieve
1628 the required protection. The system may also have engineered features that enable
1629 external entities to intervene into the system to address the potential, severity, or extent
1630 of loss.

1631 **4. Provide visibility and feedback to external entities.**

1632 If design alteration, material selection, and engineered features and devices are not feasible
1633 or do not adequately lower the frequency, potential, severity, or extent of loss caused by the
1634 susceptibility, hazard, or vulnerability, employ engineered detection and feedback systems
1635 and warning devices to alert external entities to the presence of a susceptible, hazardous, or
1636 vulnerable condition; the occurrence of an event that will lead to a loss; or an actual loss
1637 event. External entities include operational personnel, monitoring systems, or other systems
1638 capable of responding.

1639 *Example:* Anomaly detection features can be used to provide situational awareness data and
1640 warnings to system users.

1641 *Note:* The visibility provided is not of value if the external entities are not able to respond
1642 appropriately. For example, personnel should have proper training and standard operating
1643 procedures for loss.

1644 **5. Incorporate signage, procedures, training, and proper equipment.**

1645 Incorporate procedures, training, signage, and proper equipment where design alternatives,
1646 design changes, and engineered features and devices are not feasible and warning devices
1647 cannot adequately lessen the potential, severity, or extent of loss caused by the hazard,
1648 susceptibility, or vulnerability. Procedures and training include proper warnings and cautions
1649 and may prescribe the use of equipment. For critical losses, the use of signage, procedures,
1650 training, and equipment as the only means to reduce the potential, severity, or extent of loss
1651 should be avoided.

1652 *Example:* Procedures and training address proper use of the *system function of interest*, as
1653 well as the use of mediated access functions, redundant capabilities, and warning systems,
1654 including all relevant cautions and warnings.

1655

ON USING SECURITY CONTROLS

[[Snyder15](#)] postulates that “poor systems security engineering is very difficult to mitigate by overlaying security controls, whereas security controls overlaid on a sound, secure design can be quite effective.”

The Security Design Order of Precedence as part of systems security engineering practice, frames a proper integration of technical controls ([SecDOP #3](#)) and operational controls ([SecDOP #5](#)).

1656
1657

1658 D.4 FUNCTIONAL DESIGN CONSIDERATIONS

1659 This section describes the functional design considerations for trustworthy secure systems. These
1660 considerations include: (1) assured functions that provide control enforcement, control decision,
1661 and control infrastructure, (2) design criteria for mechanisms, (3) security function failure analysis,
1662 (4) situational awareness, and (5) trade space considerations.

1663 D.4.1 Roles for Security-Relevant Control

1664 All functions have the potential to influence behaviors and outcomes beyond themselves and
1665 their host system elements and are relevant to security.⁶⁸ However, some functions are specific
1666 to the security capabilities of the system, such as supporting enterprise audit capabilities. A key
1667 set that contributes to these capabilities is the *protection control* function.

1668 Protection control functions enforce or contribute to the *control* of or otherwise directly influence
1669 system or system element behaviors and outcomes. These functions may be characterized and
1670 analyzed by using the following designations:

- 1671 • **Protection Control Decision Functions:** These functions make authorization decisions or take
1672 other actions for protection control enforcement functions. For example, a function that
1673 decides to grant or deny access to a resource based on a request (e.g., from a protection
1674 control enforcement function).
- 1675 • **Protection Control Enforcement Functions:** These functions enforce a constraint to ensure
1676 that the system or system element exhibits only authorized and intended behaviors or
1677 outcomes. For example, a protection control enforcement function enforces a decision to
1678 grant or deny access to a resource.
- 1679 • **Protection Control Infrastructure Functions:** These functions support and help protection
1680 control enforcement and control decision functions fulfill their purposes. The functions also
1681 provide data or services or perform operations upon which protection control enforcement
1682 and decision functions depend. For example, a protection control infrastructure function
1683 includes secure storage, secure communication, and anomaly detection mechanisms.

⁶⁸ Historically, the term *security relevance* has been used in secure system design and evaluation to differentiate the role of system functions that either singularly or in combination, exhibit a behavior, produce an outcome, or provide a capability to enforce authorized and intended system behaviors or outcomes. However, from the security perspective ([Section 3.8](#)) and the possibility of loss due to weaknesses and defects in any system function, all functions have loss-related concerns and, thus, protection concerns.

1684 Other functions, including control functions for other purposes besides protection, can potentially
 1685 adversely affect the correct operation of the protection control functions. For the purposes of
 1686 secure design and evaluation, the functions are designated *other system functions*. Ideally, these
 1687 functions should be non-interfering. This non-interference objective may be achieved through
 1688 assurance with constraints on the requirements, architecture, design, and use of these functions.

1689 System functions can be mapped to one or more protection control decisions, protection control
 1690 enforcement, protection control infrastructure, or other for the purpose of secure design and
 1691 evaluation. The distinction guides and informs a principled design to limit interference among
 1692 functions with confidence. Such confidence can be achieved by employing [Trustworthy System](#)
 1693 [Control](#), applying the design criteria described in Section D.4.2, and optimally placing a function
 1694 in the system architecture to limit the side effects and interactions that may interfere with the
 1695 protection control functions.

1696 System analyses can determine the extent to which functions may interfere with other functions,
 1697 including identifying any uncertainty that impacts confidence and needed actions for assurance.
 1698 For example, to satisfy a size or form-factor constraint, a system function may occupy the same
 1699 privilege domain as control enforcement, control decision, or control infrastructure functions,
 1700 thereby elevating the privilege of that system function. If the size or form-factor constraint does
 1701 not exist, it would be prudent to allocate that system function elsewhere to avoid giving the
 1702 function elevated privilege. This would increase the assurance that the enforcement, decision,
 1703 and infrastructure functions are isolated from the other parts of the system and would not be
 1704 adversely impacted by their behavior or provide an avenue for attack.

1705 **D.4.2 Essential Design Criteria for Mechanisms**

1706 To effectively achieve the objectives of trustworthy secure design, mechanisms (i.e., engineered
 1707 features and devices) must satisfy four essential design criteria. They must be non-bypassable,
 1708 evaluatable, always invoked, and tamper-proof [[Uchenick05](#)]. Generally, a design for any control
 1709 function that provides protection should adhere to these criteria.⁶⁹ Table D-1 briefly describes the
 1710 essential design criteria.

1711 **TABLE D-1: ESSENTIAL DESIGN CRITERIA FOR MECHANISMS**

ESSENTIAL DESIGN CRITERIA	DESCRIPTION
NON-BYPASSABLE	The mechanism must not be circumventable.
EVALUATABLE	The mechanism must be sufficiently small and simple enough to be assessed to produce adequate confidence in the protection provided, the constraint (or control objective) enforced, and the correct implementation of the mechanism. The assessment includes the analysis and testing needed.
ALWAYS INVOLKED	The protection provided by a mechanism or feature that is not always invoked is not continuous and therefore, a loss may occur while the mechanism or feature is suspended or turned off.

⁶⁹ The argument that any control function should be non-bypassable, evaluatable, always invoked, and tamper-proof follows from an in-depth examination of Systems Theoretic Process Analysis (STPA) as described in [[Leveson11](#)], specifically the discussions on why controls may fail and how to address failure.

ESSENTIAL DESIGN CRITERIA	DESCRIPTION
TAMPER-PROOF	The mechanism or feature and the data that the mechanism or feature depends on cannot be modified in an unauthorized manner.

1712

1713 The design criteria described above are based on the *generalized reference monitor concept*. The
 1714 reference monitor concept⁷⁰ is an abstract model of the necessary and sufficient properties that
 1715 must be achieved by any mechanism that performs an access mediation control function [[Levin07](#)]
 1716 [[Anderson72](#)]. The reference monitor concept is a foundational access control concept for assured
 1717 system design. It is defined as a trustworthy abstract machine that mediates all accesses to objects
 1718 by subjects [[TCSEC85](#)]. As a concept for an abstract machine, the reference monitor does not
 1719 address any specific implementation. A reference validation mechanism, which includes a
 1720 combination of hardware and software, realizes the reference monitor concept to provide the
 1721 access mediation foundation for a trustworthy secure system.

1722 The generalized reference monitor concept and the four essential design criteria can be used
 1723 effectively as the design basis for individual system elements, collections of elements, networks,
 1724 and systems where intentional and unintentional adversity can prevent the realization of a loss
 1725 control objective. The reference monitor concept also drives the need for rigor in engineering
 1726 activities commensurate with the trust to be placed in the system or its constituent system
 1727 elements.⁷¹ The concept describes an *abstract model* of the necessary properties that must be
 1728 realized by any mechanism that claims to achieve a constraint or set of constraints and the basis
 1729 for determining the extent to which the properties are satisfied. A mechanism that achieves
 1730 successful constraint has two parts: (1) a means to decide whether to constrain or not constrain;
 1731 and (2) the enforcement of the decision. Enforcement of the decision must sufficiently:

- 1732 • Enforce constraints to achieve only the authorized and intended system behaviors and
 1733 outcomes
- 1734 • Provide self-protection against targeted attacks on the mechanism enforcing the decision
 1735 (including applying the essential design criteria)
- 1736 • Be absent of self-induced emergent, erroneous, unsafe, and non-assured control actions

1737 The protection characteristics for mechanisms must account for but not be dependent on having
 1738 detailed knowledge of the capability, means, and methods of an adversary.

1739 **D.4.3 Security Function Failure Analysis**

1740 The design principle of *Protective Failure* states that a failure of a particular system element
 1741 should neither result in an unacceptable loss nor invoke another loss scenario. The failure of a
 1742 security function is of special concern, given the need for security functions to always be invoked
 1743 and operating correctly. Consequently, failure analyses must be performed during system design

⁷⁰ The *reference monitor concept* is described in the [Trustworthy System Control](#) principle in [Appendix E](#).

⁷¹ Conceptually, the reference monitor concept can be extended to any control function that is to enforce a system constraint [[MITRE21](#)].

1744 to determine the impacts of function failure on the system capabilities, including the protection
 1745 capability relative to the resulting consequences of such failure and the needed assurance of the
 1746 protection capability.

1747 Failure analyses consider the assets that may be impacted by security function failure and the
 1748 associated loss consequences. Failure analyses also consider the function allocation to system
 1749 elements and the way the system function and element combination interacts with other system
 1750 function and element combinations, independent of specific events and conditions that might
 1751 lead to the failure. The principles for trustworthy secure design in [Appendix E](#) serve to guide and
 1752 inform the analyses.

1753 The outcomes of the security function failure analyses also drive assurance levels and objectives,
 1754 as well as the fidelity and rigor of architecture, design, and implementation methods employed
 1755 to achieve those objectives. Assurance considerations are discussed in [Appendix F](#).

1756

THE SCIENCE BEHIND THE SECURITY

“Each of these [design] requirements [for mechanisms] is significant, for without them, the mechanism cannot be considered secure. The [need to be tamper-proof] is obvious, since if the reference validation mechanism can be tampered with, its validity is destroyed, as is any hope of achieving security through it. The [third] requirement of always invoking the reference validation mechanism simply states that if the reference validation is (or must be) suspended for some group of programs, then those programs must be considered part of the security apparatus and be [tamper-proof and evaluatable]. The [evaluatable] requirement is equally important. It states that because the reference validation mechanism is the security mechanism in the system, it must be possible to ascertain that it works correctly in all cases and is always invoked. If this cannot be achieved, then there is no way to know that the reference validation correctly takes place in all cases, and therefore there is no basis for certifying a system as secure.”

-- James P. Anderson
 The Anderson Report [[Anderson72](#)]

1757
 1758

1759 D.4.4 Situational Awareness

1760 Situational awareness is a foundational security *means* objective. That is, to achieve other security
 1761 objectives, situational awareness is necessary and must be accounted for in design. For example:

- 1762 • Mediating access requires situational awareness, including when rules for granting access
 1763 involve conditions about the system and other recent access
- 1764 • Ensuring intended behaviors and outcomes and preventing or limiting unintended behaviors
 1765 and outcomes requires situational awareness
- 1766 • Preventing and limiting loss is informed by comprehensive information about system states
 1767 and conditions ([Anomaly Detection](#)).

1768 Situational awareness requires the ability to accurately detect, capture, record, and analyze the
 1769 needed characteristics and details of the system’s behaviors and actions at a frequency and with
 1770 the granularity necessary to act and/or inform external entities for subsequent action to be

1771 taken.⁷² False positives and false negatives (e.g., “blind spots” [\[Saleh14\]](#)) are to be avoided to the
1772 extent practicable.

1773 Given the potential consequences due to compromises of situational awareness capabilities and
1774 wrongful attribution, the mechanisms used must meet the essential design criteria ([Section D.4.2](#))
1775 with the appropriate rigor. The system audit logs and other system records often need stringent
1776 protection, such as using [Distributed Privilege](#) for access and storing the logs and records in a
1777 separate subsystem ([Domain Separation](#)).

1778 **D.4.5 Trade Space Considerations**

1779 System design involves trade space decisions. These decisions may be informed by criticality or
1780 priority of an asset, costs, and benefits of an approach. Decision-making about protecting assets
1781 include determining the criticality (e.g., assessing the positive effect in achieving objectives and
1782 the negative effect for any loss associated with the asset) and priority (i.e., relative ranking of
1783 equally critical assets) of each asset. The criticality and priority based on *valuation* are used in
1784 investment decisions on the type, rigor, and expected effectiveness of protection.

1785 The *costs* associated with a trustworthy secure design approach include the cost to acquire,
1786 develop, integrate, operate, and sustain the security features; the cost of the security features
1787 and functions in terms of their system performance impact; the cost of security services used by
1788 the system; the cost of developing and managing life cycle documentation and training; and the
1789 cost of obtaining and maintaining the target level of assurance.

1790 The cost of analysis to substantiate the trustworthiness claims of certain design choices is also an
1791 important trade space factor. Given two equally effective design options, the more attractive of
1792 the two options may be the one that has a lower relative cost to obtain the assurance needed to
1793 demonstrate satisfaction of trustworthiness claims. In all cases, the cost of system security must
1794 be assessed at the system level and consider trustworthiness objectives and the cost that is driven
1795 by the assurance activities necessary to achieve the trustworthiness objectives. Trustworthiness
1796 design principles such as [Commensurate Rigor](#) and [Commensurate Trustworthiness](#) inform the
1797 trade space analysis.

1798 The benefits derived from a trustworthy secure design approach are determined by its
1799 effectiveness in providing the required protection capability, the trustworthiness that can be
1800 placed on it, and the loss potential associated with it, given the value, criticality, exposure, and
1801 importance of the assets protected. An *optimal balance* between cost and benefit may be realized
1802 through the use of a less costly combination of engineering activities and system features and
1803 functions rather than the use of a single cost-prohibitive activity or security feature or function.
1804 Moreover, an adverse performance impact may preclude some security options.

1805
1806
1807

⁷² Common organizational actions include: (1) responses to security-relevant anomalies, such as remedial training for users or replacing the right system component responsible for undesired system behaviors; and (2) audits of system activities, including assessing for suspicious patterns of access that indicate insider threats and to satisfy accountability regulations such as those required of financial institutions.

1808

CONSERVATION OF RISK

“The law of conservation of energy states that energy can neither be created nor destroyed, only change in form. This law has many important implications in engineering, including implying the impossibility of creating a perpetual motion machine ... There is a parallel pseudo-principle that is often offered in a half-joking maxim – risk can neither be created nor destroyed, only moved around. It is not universally true [but] it is worthwhile considering the pseudo-principle because often, a change to a design often does end up ‘squeezing the risk balloon,’ only to discover that the risk appears elsewhere, perhaps in an unexpected place in the system, which could cause the defended system to be less secure than the engineering intended.”

-- **O. Sami Saydjari**
Engineering Trustworthy Systems [[Saydjari18](#)]

1809

1810 **APPENDIX E**1811 **PRINCIPLES FOR TRUSTWORTHY SECURE DESIGN**1812 FOUNDATIONS FOR ENGINEERING TRUSTWORTHY SECURE SYSTEMS⁷³

1813 This section describes the foundational principles that serve as the foundation for engineering
1814 trustworthy secure systems. The principles for trustworthy secure design provide a basis for
1815 reasoning about a system. As reasoning tools, the inherent suitability of the principles in a
1816 particular situation will depend on the judgment of the practitioner. Engineering judgment must
1817 be exercised when applying the principles for trustworthy secure systems.⁷⁴ The principles should
1818 not be applied as “rules” to be complied with, nor should they be prioritized, sequenced, or
1819 ordered for prescriptive application, or used individually or in groups as a basis for making
1820 judgments of conformance. Principles are subject to various priorities and constraints that may
1821 restrict or preclude their application. These principles may conflict with other principles and that
1822 conflict must be understood. In practice, the principles can be satisfied or implemented in various
1823 and often equally effective ways. Throughout the system life cycle, the use of specific principles
1824 may change in response to changes and variances in requirements, architecture and design, and
1825 risk acceptability. Therefore, their application should be planned for, appropriately scoped, and
1826 revisited throughout the system life cycle and engineering effort.

1827

KEY SECURITY OBJECTIVE

An important objective for security is the reduction in uncertainty regarding the occurrence and effects of adverse events. Reducing the uncertainty of adverse events is achieved by eliminating hazards, susceptibility, and vulnerability to the extent possible. Where elimination cannot occur, their effects are controlled to the extent possible. Applying the design principles for trustworthy secure systems is a means to achieve the elimination and control of the hazards, susceptibility, and vulnerability that lead to adverse events [MITRE21].

1828
1829

1830 The principles for trustworthy secure design are representative of the practices of the safety,
1831 security, reliability, survivability, and resilience communities as well as the specialty engineering
1832 disciplines associated with those communities. Collectively, the goals of these practices represent
1833 the “end objectives” that the system must satisfy for trustworthy control of adverse effects. The
1834 principles are grounded in research, development, and application experience starting with the
1835 early incorporation of mechanisms into trusted operating systems to today’s components,
1836 environments, and systems and are expected to remain universally applicable for new emerging
1837 and maturing approaches. The concepts and theorems from the disciplines of computer science,
1838 computer engineering, systems engineering, control systems, fault/failure tolerance, software

⁷³ NIST acknowledges the significant contributions of the Naval Postgraduate School Center for Information Systems Security Studies and Research and The MITRE Corporation in providing content for this appendix. The content was informed by the research reports of the principal investigators from those organizations [Levin07] [MITRE21].

⁷⁴ Engineering judgment considerations for the application of the principles for trustworthy secure systems is described in [MITRE21].

1839 engineering, and mathematics – as employed across the communities and specialties – constitute
 1840 the means to achieve the end objectives.⁷⁵ The principles for trustworthy secure design are listed
 1841 in Table E-1.

1842

TABLE E-1: PRINCIPLES FOR TRUSTWORTHY SECURE DESIGN

PRINCIPLES FOR TRUSTWORTHY SECURE DESIGN	
Anomaly Detection	Least Privilege
Clear Abstractions	Least Sharing
Commensurate Protection	Loss Margins
Commensurate Response	Mediated Access
Commensurate Rigor	Minimize Detectability
Commensurate Trustworthiness	Minimal Trusted Elements
Compositional Trustworthiness	Protective Failure
Continuous Protection	Protective Recovery
Defense In Depth	Redundancy
Distributed Privilege	Protective Defaults
Diversity (Dynamicity)	Reduced Complexity
Domain Separation	Self-Reliant Trustworthiness
Hierarchical Protection	Structured Composition and Decomposition
Least Functionality	Substantiated Trustworthiness
Least Persistence	Trustworthy System Control

1843

1844 **E.1 CLEAR ABSTRACTIONS**

1845 **PRINCIPLE:** *The abstractions used to characterize the system are simple, well-defined, accurate,*
 1846 *precise, necessary, and sufficient.*

1847 *Note:* Abstractions can help manage the complexity of the system [ISO 24765]. Clarity in the
 1848 abstract representations of the system facilitates an accurate understanding of the system and
 1849 how the system functions to deliver the required capability. Clear abstractions also reduce the
 1850 potential for misunderstanding or misinterpretation of what is represented by the abstraction.
 1851 Applying the principle of clear abstractions means that a system has simple, well-defined
 1852 interfaces and functions that provide a consistent and intuitive view of the data and how it is
 1853 managed. The elegance (e.g., accuracy, precision, simplicity, necessity, sufficiency) of the system
 1854 interfaces – combined with a precise definition of the functional behavior of the interfaces –
 1855 promotes ease of analysis, inspection, and testing, as well as the correct and secure use of the
 1856 system. Examples that reflect the application of this principle include avoidance of redundant,
 1857 unused interfaces; information hiding;⁷⁶ and avoidance of semantic overloading of interfaces or

⁷⁵ For example, trustworthiness requires mechanisms be evaluable (Section D.4.2). Consequently, many principles deal with reducing and managing complexity and creating systems that can be more easily evaluated. See [Sheard18] for discussions on how systems may be too complex to be analyzed for adequate assurance.

⁷⁶ The term *information hiding*, also called representation-independent programming, is a design discipline to ensure that the internal representation of information in one system component is not visible to another system component invoking or calling the first component, such that the published abstraction is not influenced by how the data may be managed internally.

1858 their parameters (e.g., not using one function to provide different functionality, depending on
1859 how it is used).

1860 It is important to ensure that the proper rigor is applied in the development of system abstractions
1861 during design. Clarity in the abstract representation of the system requires the use of well-defined
1862 syntax and semantics with elaboration as needed to ensure the representations are well-defined,
1863 precise, necessary, and sufficient. Clear abstractions promote confidence in analysis, verification,
1864 and the correct use of the system. Abstractions can be achieved using models, including Systems
1865 Modeling Languages.

1866 **REFERENCES:** [[ISO 24765](#)]; [[Schroeder77](#)]; [[Neumann04](#)]; [[Levin07](#)].

1867 **E.2 COMMENSURATE RIGOR**

1868 **PRINCIPLE:** *The rigor associated with the conduct of an engineering activity provides the*
1869 *confidence required to address the most significant adverse effect that can occur.*

1870 *Note:* Rigor determines the scope, depth, and detail of an engineering activity. Rigor is a means
1871 to provide confidence in the results of a completed engineering activity. Generally, an increase in
1872 rigor translates into an increase in confidence in the results of the activity. Further, increased
1873 confidence reduces the uncertainty that can also reduce risk or provide a better understanding of
1874 what to address to achieve risk reduction. The relationship between rigor and the criticality of
1875 data and information used to make decisions is recognized by systems analysis practice [[ISO](#)
1876 [15288](#)].

1877 The principle of commensurate rigor helps to ensure that the concept of rigor is included as an
1878 equal factor in the trade space of capability, adverse effect, cost, and schedule in the planning
1879 and conduct of engineering activities, method and tool selection, and personnel selection. An
1880 increase in rigor may translate into an increase in the cost of personnel, methods, and tools
1881 required to complete rigorous engineering activities or an increase in schedule to accomplish the
1882 activities with the expected rigor. Any increased cost that may occur can be justified by acquiring
1883 confidence about system performance to limit loss while also addressing the system's ability to
1884 deliver the capability. Therefore, the rigor associated with an engineering activity should be
1885 commensurate to the significance of the most adverse effect associated with the activity.

1886 **REFERENCES:** [[ISO 15288](#)]; [[Neumann04](#)].

1887 **E.3 COMMENSURATE TRUSTWORTHINESS**

1888 **PRINCIPLE:** *A system element is trustworthy to a level commensurate with the most significant*
1889 *adverse effect that results from a failure of that element.*

1890 *Note:* A trusted element continuously exhibits properties of trust during the time that it is
1891 depended upon by other system elements. The degree of trustworthiness needed for a trusted
1892 element is determined by those entities that depend on the element. Some basis is required to
1893 support decisions about trust and trustworthiness. The basis includes expressing the trust that is
1894 to be placed in a system element, expressing the trustworthiness that is exhibited by the element,
1895 and comparing the trustworthiness of different system elements. This principle is particularly
1896 relevant when considering systems and elements with complex chains of trust dependencies.

1897 **REFERENCES:** [[Schroeder77](#)]; [[Neumann04](#)].

1898 E.4 COMPOSITIONAL TRUSTWORTHINESS

1899 **PRINCIPLE:** *The system design is trustworthy for each aggregate composition of interacting system*
1900 *elements.*

1901 *Note:* The trustworthiness of an aggregate of composed system elements cannot be assumed
1902 based on the trustworthiness assertions of each individual element in the aggregate. Further, the
1903 trustworthiness of an aggregate of composed trustworthy system elements cannot be assumed
1904 to be equal to the trustworthiness of the least trustworthy element in the aggregate. By definition,
1905 a system is a combination of interacting system elements. Each system function results from the
1906 emergent behavior of a composed set of system elements. Similarly, the trustworthiness of a
1907 composed set of system elements is an emergent property of the composition. Therefore, the
1908 trustworthiness of the composed set of system elements (i.e., aggregate) for a given system
1909 function must be determined by treating the aggregate as a single discrete element. The
1910 compositional trustworthiness principle addresses how an argument can be made for system-
1911 level trustworthiness given how the constituent elements of the system compose to form the
1912 system and do so by adhering to the composition principles.

1913 **REFERENCES:** [[ISO 15288](#)]; [[Neumann00](#)]; [[Neumann04](#)]; [[Leveson11](#)].

1914 E.5 HIERARCHICAL PROTECTION

1915 **PRINCIPLE:** *A system element need not be protected from more trustworthy elements.*

1916 *Note:* Hierarchical protection is a simplifying assumption for trade decisions to help determine
1917 where emphasis is placed in providing protection and the extent of the protection effectiveness.
1918 The simplifying assumption introduces susceptibilities to system elements that are dependent on
1919 more trustworthy elements. The assumption relies on validated trust assertions about the more
1920 trustworthy element and acceptable uncertainty associated with behavior outside of the scope of
1921 the validated trust assertions. For example, systems may include a human element, which is often
1922 the more trustworthy element. The assertions of the trusted human are violated for the malicious
1923 insider threat. The extent to which any element is considered trustworthy has limits, and beyond
1924 those limits, the element should not be assumed to remain trustworthy. In the degenerate case
1925 of the most trustworthy system element, it must protect itself from all other elements. For
1926 example, if an operating system kernel is deemed the most trustworthy component in a system,
1927 then it must protect itself from the less trustworthy applications it supports. However, the
1928 applications do not need to protect themselves from the operating system kernel.

1929 **REFERENCES:** [[Neumann04](#)]; [[Smith12](#)]

1930 E.6 MINIMAL TRUSTED ELEMENTS

1931 **PRINCIPLE:** *A system has as few trusted system elements as practicable.*

1932 *Note:* Minimizing trusted system elements is a cost-benefit trade space consideration employed
1933 for the functional allocation of trust within the system. The need for trust is tied to the function
1934 provided by a system element, and that need is independent of any distribution of trust across
1935 multiple elements in the architecture. The trade decision is, therefore, how best to allocate trust
1936 to system elements given the functions they provide and how the elements are best distributed
1937 throughout the architecture where distribution is a justified need. Minimizing trusted system
1938 elements is one consideration in making that decision.

1939 Trusted elements are generally costlier to construct due to increased rigor in engineering
1940 processes and activities. They also require more analysis to qualify their trustworthiness.
1941 Minimizing the number of trusted system elements reduces the cost of analysis (i.e., decreases
1942 the size, scope, and complexity of the analysis). When the minimization of trusted system
1943 elements considers the principle of [Commensurate Protection](#), the cost-effectiveness of the
1944 analysis is also ensured (i.e., cost of the analysis is justified by the extent of trust required).

1945 Historically, the analysis of interactions between trusted system elements and untrusted system
1946 elements is one of the most important aspects of the trust-based verification of system security
1947 performance. If these interactions are unnecessarily complex, the security of the system will also
1948 be more difficult to ascertain than one whose internal trust relationships are simple and elegantly
1949 constructed. In general, fewer trusted components will result in fewer internal trust relationships
1950 and a simpler system.

1951 **REFERENCES:** [[Schroeder77](#)]; [[Neumann04](#)]; [[Smith12](#)]; [[Saltzer09](#)].

1952 **E.7 REDUCED COMPLEXITY**

1953 **PRINCIPLE:** *The system design is as simple as practicable.*

1954 *Note:* Many engineered systems are complex. Complexity can be found in the system structure,
1955 interfaces, dependencies, data and control flows, and the system's interaction with its external
1956 environment. Some degree of complexity in the system design is inherent, unavoidable, and must
1957 be accepted. The objective is to ensure that the design reflects the extent to which complexity
1958 can be reasonably minimized (i.e., avoid unnecessary complexity). Simplicity in the system design
1959 reduces complexity, allows for increased confidence in the ability to understand the design, and
1960 is less prone to error. A simpler design is less prone to erroneous interpretation during system
1961 analysis, system implementation, and system verification [[Moller08](#)]. Reduced complexity
1962 contributes to confidence in the technical understanding of the design, enabling more informed
1963 trade decisions. It also facilitates the identification of vulnerabilities and the verification of the
1964 correctness and completeness of system security functions.

1965 Complexity is impacted by how the system is decomposed into constituent elements, aggregates
1966 of elements (e.g., subsystems, assemblies), and the composition of those elements to comprise
1967 the system. Identifying and assessing loss scenarios, susceptibilities, and vulnerabilities is made
1968 more difficult by complexity. Thus, reducing complexity helps to facilitate the identification and
1969 assessment of loss scenarios, hazards, susceptibility, and vulnerability to all forms of adversity.
1970 Finally, any conclusion about the correctness, completeness, and existence of vulnerabilities in
1971 systems or system elements can be reached with a higher degree of assurance in contrast to
1972 conclusions reached in situations where the system design is inherently more complex. The
1973 principle of reduced complexity may also be referred to as the principle of simplification or least
1974 common mechanism.

1975 **REFERENCES:** [[Saltzer75](#)]; [[Neumann04](#)]; [[Jackson13](#)]; [[Saleh14](#)]; [[Moller08](#)].

1976 **E.8 SELF-RELIANT TRUSTWORTHINESS**

1977 **PRINCIPLE:** *The trustworthiness of a system element is achieved with minimal dependence on*
1978 *other elements.*

1979 *Note:* In the ideal case, the trustworthiness of a system element occurs when the claim of
1980 trustworthiness is not dependent on protection from another system element. If an element is

1981 dependent on other elements to satisfy its trustworthiness claims, then that element's
 1982 trustworthiness is susceptible to any loss or degradation of the protection capability provided by
 1983 the other element. The considerations for the extent to which a system element exhibits self-
 1984 reliant trustworthiness include:

- 1985 • The trustworthiness objective for the capability
- 1986 • The trustworthiness of the system element in providing the capability
- 1987 • The extent to which the capability provided by a system element is dependent on another
 1988 element
- 1989 • The extent to which the trustworthiness associated with a capability is dependent on another
 1990 system element

1991 An argument for self-reliant trustworthiness can be applied at the discrete system element level,
 1992 at the level of an aggregate of elements, at the system level, or at the system of systems level. In
 1993 all cases, the distinction between the capability provided and the trustworthiness responsibility
 1994 for that capability must be preserved (e.g., self-reliant trustworthiness cannot be claimed if the
 1995 protection assertions for trust are allocated to and therefore dependent on some other entity).
 1996 Similarly, when a system capability is distributed across multiple system elements, self-reliant
 1997 trustworthiness requires that the trust expectations for the capability are properly allocated
 1998 across the elements that comprise the distributed capability.

1999 The judgment that a system element is self-reliantly trustworthy is based on the element's ability
 2000 to satisfy a specific set of requirements and associated assumptions. An element that is self-
 2001 reliantly trustworthy for one set of requirements and assumptions is not necessarily self-reliantly
 2002 trustworthy for other sets of requirements and assumptions. Any change in the requirement, the
 2003 satisfaction of the requirement, or in the assumptions associated with the requirement requires
 2004 reassessment to determine that the element remains self-reliantly trustworthy.

2005 **REFERENCES:** [[Neumann04](#)].

2006

*"System components [elements] are self-protective. System componentry is augmented, upgraded,
 and replaced over time by methods and personnel that cannot be unequivocally trusted."*

-- An Objective of the Security in the Future of Systems Engineering [[FUSE21](#)]

2007

2008

2009 **E.9 STRUCTURED DECOMPOSITION AND COMPOSITION**

2010 **PRINCIPLE:** *System complexity is managed through the structured decomposition of the system*
 2011 *and the structured composition of the constituent elements to deliver the required capability.*

2012 *Note:* The structured decomposition of the system and the subsequent composition of the system
 2013 elements are guided and informed by the concepts of modularity, layering, and partially ordered
 2014 dependencies. Modularity is the system design technique to "divide and conquer" – that is, sub-
 2015 divide the system into smaller, well-defined cohesive components and assemblies that are
 2016 referred to as modules. Modularity serves to isolate functions and data structures into well-
 2017 defined logical units. Modular decomposition can include the allocation of policies to systems in

2018 a network, the allocation of system policies to layers, the separation of system applications into
 2019 processes with distinct address spaces, and the separation of processes into subjects with distinct
 2020 privileges based on hardware-supported privilege domains. Modular design may also extend to
 2021 consider trust, trustworthiness, privilege, and policy.

2022 Layering is the grouping of modules into a relational structure with well-defined interfaces,
 2023 function, data, and control flow so that the dependencies graph among layers is linearly or
 2024 partially ordered such that higher layers are dependent only on lower layers [Neumann04].
 2025 Partially ordered dependencies among modules (e.g., if module A depends on module B, then
 2026 module B cannot depend on module A) and system layering contribute significantly to system
 2027 design simplicity and coherence. While a partial ordering of all functions and processes may not
 2028 be possible, the inherent problems of circularity can be more easily managed if the circular
 2029 dependencies are constrained to occur within layers and minimized within each layer. Partially
 2030 ordered dependencies also facilitate system testing and analysis and enable a strong form of loose
 2031 coupling (i.e., minimizing interdependencies among modules).

2032 Modularity and layering are effective in managing the complexity of the composed system. They
 2033 provide the means to decompose the system into discrete and aggregate elements to better
 2034 comprehend the system in terms of its structure, flows, relationships, and how the system
 2035 delivers the required capability. The structured composition of the constituent elements must
 2036 also adhere to the principle of *Compositional Trustworthiness* to provide a basis to support claims
 2037 about how the system is composed based on the application of modularity, layering, and partially
 2038 ordered dependencies to achieve authorized and intended behaviors and outcomes.

2039 **REFERENCES:** [Saltzer75]; [Schroeder77]; [Neumann04]; [Simovici08]; [Adcock20].

2040 E.10 SUBSTANTIATED TRUSTWORTHINESS

2041 **PRINCIPLE:** *System trustworthiness judgments are based on evidence that demonstrates the*
 2042 *criteria for trustworthiness have been satisfied.*

2043 *Note:* Trustworthiness should not be assumed but substantiated through evidence that clearly
 2044 enables determination of the extent to which an entity is worth being trusted. This helps to ensure
 2045 that an entity is never trusted beyond the extent to which it is worthy of trust. The approach to
 2046 substantiated trustworthiness requires commensurate rigor with cautious mistrust (i.e., system
 2047 elements are assumed to be guilty until proven innocent).⁷⁷ Substantiated trustworthiness is
 2048 characterized by a design mentality in which all components involved in the design context (i.e.,
 2049 a system element and the elements with which it interacts) are treated with a mutually suspicious
 2050 mindset [Schroeder77][Neumann04]. Such mutual suspicion reflects cautious distrust – the
 2051 feeling or thought that something undesired, unwanted, or unexpected is possible or can happen.
 2052 The design for every system element should reflect a lack of trust in interacting elements or itself.
 2053 This suspicion assumes element non-performance and addresses the following two cases:

- 2054 • **Interacting element suspicion (mutual suspicion):** The system element-of-interest design is
 2055 based on the non-performance of the elements it interacts with and how their non-
 2056 performance can influence the element-of-interest’s behavior and outcomes. Designing to
 2057 mutual suspicion is reinforced by applying the principle of *Least Privilege* to all entities (so an

⁷⁷ Adapted from a statement made by John Rushby, SRI International, about the need for software to be treated as “guilty until proven innocent” at a Layered Assurance Workshop (LAW).

2058 element executes with only the privileges needed, mitigating harm that may be created) while
2059 applying the principle of [Least Persistence](#) so that each element is minimally exposed.

- 2060 • **Self-suspicion:** The design for the system element-of-interest must consider its own non-
2061 performance independent of any external influence. Designing to self-suspicion may involve
2062 self-monitoring and built-in actions, including built-in testing at the initiation of the element.

2063 This approach forces the system designer to assume things will not go right and to rigorously seek
2064 evidence that demonstrates the effectiveness of the design when things go wrong. Considerations
2065 for system element non-performance include:

- 2066 • An expectation that design elements will behave and produce outcomes that are inconsistent
2067 with their design intent
- 2068 • The constraints, assumptions, and preconditions that are associated with achieving threshold
2069 performance
- 2070 • Intentional and unintentional events and conditions, typically referred to by terms like fault,
2071 error, failure, and compromise

2072 **REFERENCES:** [[Neumann04](#)]; [[Levin07](#)]; [[Schroeder72](#)].

2073 E.11 TRUSTWORTHY SYSTEM CONTROL

2074 **PRINCIPLE:** *The design for system control functions conforms to the properties of the generalized*
2075 *reference monitor.*

2076 *Note:* The trustworthy system control principle reflects the generalization of the reference
2077 monitor concept to provide a uniform design assurance basis for trustworthy system control
2078 mechanisms or constraint-enforcing mechanisms that compose to provide system control
2079 functions. The reference monitor concept ([Section D.4.2](#)) is a foundational access control concept
2080 for secure system design. It is defined as a trustworthy abstract machine that mediates all
2081 accesses to objects by subjects [[TCSEC85](#)]. As a concept for an abstract machine, the reference
2082 monitor does not address any specific implementation. A reference validation mechanism, a
2083 combination of hardware and software, realizes the reference monitor concept to provide the
2084 access mediation foundation for a secure system [[Anderson72](#)].

2085 The reference monitor concept has three criterion that provide design assurance of its realization
2086 as a reference validation mechanism:

- 2087 • The reference validation mechanism must be tamper-proof, ensuring that its integrity and
2088 validity is not destroyed.
- 2089 • The reference validation mechanism must always be invoked, and if it cannot be, then the
2090 group of programs for which it provides validation services must be considered part of the
2091 reference validation mechanism and be subject to the first and third requirements.
- 2092 • The reference validation mechanism must be subject to rigorous analysis and tests, the
2093 completeness of which can be assured (with the purpose of ascertaining that the reference
2094 validation mechanism works correctly in all cases).

2095 For trustworthy system control, a fourth criterion of non-bypassability is added ([Section D.4.2](#)).

2096 Successful achievement of these criteria will prevent the interference of outside entities on a
2097 protection mechanism or controller. More specifically:

2098 • A protection mechanism or feature should not be circumventable (i.e., the mechanism should
2099 be non-bypassable).

2100 • A protection mechanism or feature should be evaluatable (i.e., sufficiently small and simple
2101 enough to be assessed to produce adequate confidence in the protection provided, the
2102 constraint or control objective enforced, and the correct implementation of the mechanism
2103 [see [Reduced Complexity](#)]).

2104 • A protection mechanism or feature is always invoked, providing continuous protection.

2105 • A protection mechanism or feature must be tamper-proof (i.e., neither the protection
2106 functions nor the data that the functions depend on can be modified without authorization).

2107 Trustworthy system control also uses *protective control*. Protective control encompasses control,
2108 safety, and security concepts to establish a system capability that sufficiently:

2109 • Enforces constraints to achieve only the authorized and intended system behaviors and
2110 outcomes

2111 • Provides self-protection against targeted attack on the system

2112 • Is absent of self-induced emergent, erroneous, unsafe, and non-secure control actions

2113 The notion of protective control underlies the loss control objectives and transforms the approach
2114 for design to not be dependent on having detailed knowledge of the capability, means, and
2115 methods of an adversary. This design approach can be employed in attack-dependent or attack-
2116 independent manners based on the limits of certainty for what is known with confidence about
2117 the adversary.

2118 Trustworthy system control serves well as the design basis for individual system elements,
2119 collections of elements, networks, and systems where intentional and unintentional adversity can
2120 prevent the achievement of the loss control objectives. The principle also drives the need for rigor
2121 in engineering activities commensurate to the trust placed in the system elements.

2122 **REFERENCES:** [[Levin07](#)]; [[Anderson72](#)]; [[TCSEC85](#)]; [[Uchenick05](#)].

2123 **E.12 ANOMALY DETECTION**

2124 **PRINCIPLE:** *Any salient anomaly in the system or in its environment is detected in a timely manner*
2125 *that enables effective response action.*

2126 *Note:* The purpose of anomaly detection is to identify the need to take corrective action to address
2127 a loss condition that has occurred or that will occur if conditions that affect the system behavior
2128 are allowed to persist. Anomaly detection is critical to achieving the loss control objectives to
2129 prevent and limit loss and its adverse effects. The detection of such anomalies requires monitoring
2130 system behaviors and outcomes to confirm that they have not deviated from the design intent. It
2131 also requires monitoring conditions in the environment to identify or forecast those conditions
2132 that can cause an anomaly in the system if corrective action is not taken. The “timely manner”
2133 aspect of anomaly detection reflects the urgency to detect emerging loss conditions as early as
2134 possible. Early detection increases response action options, such as graduated response options,
2135 and ensures that response actions have sufficient time to have an effect. When the determination
2136 of response involves humans in the loop, early detection enables a more reasoned judgment of
2137 proper response.

2138 Anomaly detection can be implemented at varying levels of abstraction (e.g., system, sub-system,
2139 assembly, function, mechanism) and may occur in periodic, aperiodic, or event-driven manners.
2140 The basis for anomaly detection within the system is the expectation that the system behaviors,
2141 outcomes, and interactions produced are expected to remain consistent, adhere to some norm,
2142 or are deterministic across all system states and modes. The types of anomalies include those
2143 associated with the results of system behavior; state consistency; continuity of function; integrity,
2144 correctness, and trustworthiness of system elements; system configuration; and the abuse or
2145 misuse of the system.

2146 The basis for anomaly detection in the environment differs from that in the system because the
2147 environment is not within the control of the system. The environment presents a wide range of
2148 adversity to the system, and the system is designed to achieve its design intent within defined
2149 bounds of environmental conditions. Those bounds can be treated as the “norm” for anomaly
2150 detection, whereby environmental conditions that are trending beyond the norm or that reflect
2151 conditions outside of the norm may result in an adverse effect on the system, thus requiring a
2152 planned response to prepare for an impending difficulty or crisis.

2153 Anomaly detection requires capturing data to support all intended response actions for a
2154 detected anomaly, including attribution-related data. Consequently, the rigor in data describing
2155 the anomaly must be commensurate with the consequences of the loss scenarios associated with
2156 the anomaly and of wrong responses in addressing the detected anomaly. The responses taken
2157 will often rely on attribution to uniquely identifiable entities that may be responsible for
2158 undesired actions, behaviors, or outcomes. For non-human entities, corrective actions may
2159 include component replacements, repairs, or other corrections. For human entities, these may
2160 include training, remediation, or disciplinary actions. Wrongful attribution may have undesired
2161 consequences, such as the cost of unnecessarily repairing the wrong system element while an
2162 undesired condition persists or the wrongful termination of an individual. Attribution rigor is
2163 driven by the needed proof that an entity is responsible for an anomaly. Three aspects of anomaly
2164 detection are necessary to provide criteria for an appropriate response action or set of actions:

- 2165 • **Basis for Correctness:** A system model provides a basis against which actual behavior and
2166 outcomes can be compared to confidently enable conclusions that an anomaly exists or to
2167 determine or forecast that an anomaly is about to occur. System models includes normal,
2168 contingency, degraded, and other system states/modes of operation and account for the
2169 adversity to which the system is subjected.
- 2170 • **Data Collection:** Systems capture self-awareness data in the form of health, status, test, and
2171 other data indicative of actual behavior and outcomes, including traceability to support
2172 attribution. Terms for data collection include instrumentation, monitoring, logging, auditing,
2173 self-tests, and built-in tests.
- 2174 • **Data Interpretation:** The interpretation of data allows for conclusions of unacceptable or
2175 suspicious events that have happened (e.g., halt or failure condition), that are progressing
2176 (e.g., approaching a threshold of failure condition), or that can be expected to happen (i.e., in
2177 the absence of change, the failure condition will occur), including tracing to responsible
2178 entities to inform appropriate responses to events.

2179 Caution must be taken with the use of design features that may hinder anomaly detection. Poorly
2180 designed lines of defense for defense in depth have been found to conceal emerging dangerous
2181 system states and conditions, especially from human observers [[Saleh14](#)]. The system design must

2182 minimize the difference between estimated system states and conditions and actual system
2183 states and conditions.

2184 Two approaches to anomaly detection are:

2185 • **Self-Anomaly Detection:** An entity has no dependency on another entity to detect an
2186 anomaly within the scope of its intended design. Self-anomaly detection usually involves an
2187 axiomatic or environmentally enforced assumption about its integrity. Typically, trusted
2188 elements have the capability for self-anomaly detection. This means that at the highest level
2189 of trustworthiness, an entity must be able to assess its internal state and functionality to a
2190 meaningful extent at various stages of execution. The detected anomalies must correlate to
2191 the trustworthiness assumptions placed on the entity.

2192 • **Dependent Anomaly Detection:** An entity-of-interest is dependent on another entity for
2193 some or all anomalies that are detected. When an entity-of-interest relies on another entity
2194 for any portion of the assessment, that entity must be at least as trustworthy as the entity-
2195 of-interest.

2196 **REFERENCES:** [[Schroeder77](#)]; [[Smith12](#)]; [[Saleh14](#)].

2197

“System and component behaviors are monitored for anomalous operation. Adversaries innovate new attack methods to evade known-pattern detection screening. System and component behavior outside of normal expectations is a method-agnostic telltale.”

-- An Objective of the Security in the Future of Systems Engineering [[FUSE21](#)]

2198

2199

2200 E.13 COMMENSURATE PROTECTION

2201 **PRINCIPLE:** *The strength and type of protection provided to a system element is commensurate*
2202 *with the most significant adverse effect that results from a failure of that element.*

2203 *Note:* The strength and effectiveness of the protection for a system element must be proportional
2204 to the need. As the need increases, the protection of that element should also increase to the
2205 same degree. Need is derived from the most significant adverse effect associated with the system
2206 element or the trust that is placed in the element. The protection can come in the form of the
2207 system element’s own self-protection, from protections provided by the system architecture, or
2208 from protection provided by other elements. The needed strength of protection is independent
2209 of these design choices (or others, such as distributed versus centralized design), a concept
2210 sometimes referred to as *secure distributed composition* [[Neumann04](#)]. Furthermore, confidence
2211 in the effectiveness of the protections provided to a system element should also increase
2212 commensurate to the need. This is addressed by the principle of [Commensurate Rigor](#).

2213 **REFERENCES:** [[Neumann04](#)]; [[Levin07](#)].

2214 E.14 COMMENSURATE RESPONSE

2215 **PRINCIPLE:** *The system design matches the aggressiveness of an engineered response action’s*
2216 *effect to the needed immediacy to control the effects of each loss scenario.*

2217 *Note:* The selected response to a detected anomaly should consider three factors to determine
2218 the effect that the response has on the loss and the system:

- 2219 • The expected effectiveness and aggressiveness of the engineered response to directly address
2220 the anomaly and to prevent or limit the loss
- 2221 • The direct-, residual-, or side effect of the response on the system
- 2222 • The opportunities that remain to take other response action should the selected response fail
2223 to achieve the intended result

2224 Responses can be achieved by a combination of *fully manual*, *semi-automated*, *fully automated*,
2225 or *autonomous* means. However, the response action is distinct from the determination that a
2226 response is necessary and from the notification or signaling that invokes the response action.

2227 Commensurate responses require consideration of the *response-effect-consequence* relationship
2228 associated with a specific loss. Ideally, for any given need for a response, a single action taken will
2229 be effective to resolve the loss concern and will have no associated adverse effect. Practically,
2230 due to complexity and the limits of certainty, the response action may not have the desired effect,
2231 may compound the problem, or may cause another problem. The balance required is one that
2232 determines if, when, and how a response action should be taken to be initially more aggressive
2233 or initially less aggressive. The severity of the problem and the time available for an effective
2234 response dictates a strategy for a continuum of responses, characterized by two extremes:

- 2235 • **Graduated Response:** A graduated response is initially the least aggressive or impactful action
2236 possible to prevent the loss from continuing or escalating and does so with consideration of
2237 the possible side effects associated with the response action. The graduated response allows
2238 for taking increasingly more aggressive action should the loss situation persist or escalate.
- 2239 • **Ungraduated Response:** An ungraduated response is the most aggressive and most impactful
2240 action to prevent the loss from continuing or escalating and does so without consideration of
2241 the potential side effects associated with the response action. The ungraduated response
2242 recognizes the severity of the loss as justifying the most aggressive action, even if that option
2243 provides no alternatives should it fail to have the intended or desired effect or if it causes
2244 other losses to occur.

2245 Without early observability of potential loss, the option for a graduated response may not exist.
2246 Commensurate response is aided by early detection, which in turn increases the options for a
2247 graduated response.

2248 **REFERENCES:** [[Saleh14](#)].

2249 **E.15 CONTINUOUS PROTECTION**

2250 **PRINCIPLE:** *The protection provided for a system element must be effective and uninterrupted*
2251 *during the time that the protection is required.*

2252 *Note:* The protection capability must be uninterrupted across all relevant system states, modes,
2253 and transitions for there to be assurance that the system can be effective in delivering the
2254 required capability while controlling loss. Continuous protection requires adherence to the
2255 following principles:

2256 • **Trustworthy System Control:** Every controlled action is constrained by the mechanism, and
 2257 the mechanism can protect itself from tampering. Sufficient assurance of the correctness and
 2258 completeness of the mechanism can be ascertained from analysis and testing.

2259 • **Protective Failure and Protective Recovery:** A protective state is preserved during error, fault,
 2260 failure, and successful attack, as well as during the recovery of assets or of recovery to normal,
 2261 degraded, or alternative operational modes.

2262 Continuous protection applies to all configurations, states, and modes of the system, as well as
 2263 the transitions between those configurations, states, and modes. The system design must ensure
 2264 that protections are coordinated and composed in a non-conflicting and mutually supportive
 2265 manner across the non-behavioral aspects of the system structure and the behavioral aspects of
 2266 system function and data flow.

2267 While the design for continuous protection applies for the entire time that the protection is
 2268 required, sometimes, by design, protection capability is intentionally disabled (e.g., Battleshort⁷⁸
 2269 intentional override). The intentional disabling/override of protection is an exception case and,
 2270 therefore, does not violate this principle. That is, the principle of [Continuous Protection](#) applies
 2271 only for the entirety of time that the protection is required and not knowingly and intentionally
 2272 disabled.⁷⁹

2273 **REFERENCES:** [[Levin07](#)].

2274 **E.16 DEFENSE IN DEPTH**

2275 **PRINCIPLE:** *Loss is prevented or minimized by employing multiple coordinated mechanisms.*

2276 *Note:* The coordinated deployment of multiple protective mechanisms for a system helps to avoid
 2277 single points of failure. The principle of defense in depth has three pillars:

- 2278 • Multiple lines of defenses or barriers should be placed along loss scenario sequences.
- 2279 • Loss control should not rely on a single defensive element.
- 2280 • The successive barriers should be diverse in nature and include technical, operational, and
 2281 organizational barriers.

2282 Defense in depth requires the use of coordinated mechanisms (active) within an architectural
 2283 structure (passive) that achieves the *depth* characteristic.⁸⁰ Ideally, the initial lines of defense
 2284 prevent loss, while subsequent lines of defense block loss scenario escalation and/or contain loss
 2285 and potential consequences when needed. A defense-in-depth strategy examines loss scenarios
 2286 for those points of opportunity to prevent or contain loss. It also leverages the opportunities to
 2287 use active or passive mechanisms or constraints to meet loss control objectives.

⁷⁸ Battleshort is a switch used to bypass normal interlocks in mission-critical equipment (e.g., equipment that must not be shut down or the mission function will fail) during battle conditions [[DOD 2007](#)].

⁷⁹ However, the inclusion of a capability for intentionally disabling/overriding protection requires additional control features and devices and associated analysis for the enforcement of constraints to prevent the inadvertent actuation of the override capability.

⁸⁰ While the discussion in this section is limited to the machine, defense in depth may involve the combination of technical, operational, and organizational elements. See [[IATF02](#)] for additional discussion on defense in depth.

2288 The coordination of defense-in-depth mechanisms (i.e., combinations of structural, data, and
2289 control flow coordination) in conjunction with other design principles (e.g., [Anomaly Detection](#),
2290 [Commensurate Response](#)) reflects a design strategy to satisfy the specified loss control objectives.

2291 While defense in depth distributes the protection capability to many components, a defense-in-
2292 depth strategy may also consider a distributed composition to a line of defense. A protection
2293 capability provided by a single system component is a potential single point of failure or
2294 bottleneck to system performance. It may also raise other concerns. A distributed composition of
2295 a defense layer may provide additional options within the coordination of layers.

2296 Defense in depth is, in part, a form of the principle of [Protective Failure](#). It helps satisfy the
2297 objective that a failure of a system element should not result in an unacceptable loss. However,
2298 it does not satisfy the objective that a failure of a system element should not invoke another loss
2299 scenario.

2300 **REFERENCES:** [[Neumann04](#)]; [[Levin07](#)]; [[Jackson13](#)]; [[Saleh14](#)].

2301 **E.17 DISTRIBUTED PRIVILEGE**

2302 **PRINCIPLE:** *Multiple authorized entities act in a coordinated manner before an operation on the*
2303 *system is allowed to occur.*

2304 *Note:* Distributed privilege⁸¹ is a means to prevent a single authorized entity from performing an
2305 erroneous action, whether or not that action is performed with intent. Distributed privilege
2306 requires that an erroneous action can only be performed if multiple entities agree to do so, for
2307 either legitimate (e.g., override of the protection in extreme cases) or illegitimate purposes (e.g.,
2308 collusion to intentionally take improper action). In the case of an attack on an operation,
2309 distributed privilege forces the adversary to target all the entities to whom privilege is distributed.

2310 Distributed privilege separates, divides, or in some other manner distributes the privileges
2311 required to perform an operation among multiple entities. The distribution of privilege includes a
2312 set of rules, conditions, and constraints that describe how multiple entities must interact through
2313 positive actions before a requested operation can proceed and be completed. The rules,
2314 conditions, and constraints may reflect combinations of the following, all of which require that
2315 multiple conditions be met for the operation to proceed:

- 2316 • **Simultaneous Actions:** Multiple different authorized entities execute a command within a
2317 specified time window.
- 2318 • **Sequenced Actions:** Multiple different entities interact within a linear sequence of actions
2319 where each successive action is enabled only by the successful completion of a prior action.
- 2320 • **Parallel Actions:** Multiple entities execute sequences concurrently, and success is achieved
2321 either by a consensus of the results of each concurrent action or by voting among the
2322 participants.

2323 **REFERENCES:** [[Saltzer75](#)]; [[Levin07](#)].

⁸¹ [[Saltzer75](#)] originally named this the *separation of privilege*. It is also equivalent to separation of duty.

2324 E.18 DIVERSITY (DYNAMICITY)

2325 **PRINCIPLE:** *The system design delivers the required capability through structural, behavioral, or*
2326 *data or control flow variation.*

2327 *Note:* A system design that incorporates diversity helps to avoid common mode failures and
2328 introduces unpredictability to adversaries, thus complicating the planning and execution of
2329 where, when, and how to target their attacks. While the system behaviors that result from a
2330 design may be unpredictable from the viewpoint of the adversary, the design itself must be
2331 predictable and verifiable in achieving only the intended outcomes. The options for diversity
2332 include variety in the system structural and architectural design elements, the system functional
2333 and behavioral elements, the interfaces and interconnections between interfaces, the data and
2334 control flow, and the technology and component selection. Diversity can reside in:

- 2335 • *Fixed or static characteristics of the system* (e.g., multiple instances of a system element,
2336 multiple communication channels)
- 2337 • *Variable or dynamic characteristics of the system* (e.g., reconfiguration, relocation, refresh of
2338 system elements; random routing of data over different communication channels from source
2339 to destination; the ability to change aspects of the system behavior, structure, data, or
2340 configuration in a random but nonetheless verifiable manner)

2341 A design approach that includes diversity in structure, configuration, communications, protocols,
2342 and similar or dissimilar system elements (e.g., N-version, heterogeneity) increases uncertainty
2343 due to the increased complexity of the design and the behaviors and outcomes that stem from
2344 emergent effects, side effects, and feature interaction. This drives the need for confidence that
2345 the design approach will deliver only the authorized and intended functional behavior, produce
2346 only the authorized and intended outcomes, and do so in a manner that allows for control over
2347 side effects, emergence, and feature interaction.

2348 Diversity options include intentionally designed regular or irregular changes in the system (e.g.,
2349 implementing the concept of dynamicity). A design incorporating dynamicity can: (1) complicate
2350 the attack planning of an adversary, (2) reduce the potential for non-adversarial adversary to have
2351 an effect on the system, (3) provide the margin to deliver a required capability while reducing
2352 actual losses, and (4) protect against the effects of an attack. Dynamic change may refer to either
2353 shifting the target or shifting the behaviors of a target in performing its activities (e.g., frequency
2354 hopping complicates attempts to intercept or jam signals within wireless communications).

2355 The uncertainty and diminished predictability associated with the employment of diversity and
2356 dynamicity in design can be problematic where it impedes or prevents having confidence that the
2357 system will function and produce outcomes only as authorized and intended. It is important to
2358 differentiate where the uncertainty lies: (1) uncertainty in how the system achieves an end
2359 objective (i.e., the means to an end) or (2) uncertainty that an objective will be achieved (i.e.,
2360 achieving the end). A design that employs diversity and dynamicity must be based on acquiring
2361 confidence that the system will produce only the desired results despite uncertainty in knowing
2362 exactly how the desired results are achieved. This constitutes a design trade that is specific to
2363 diversity- and dynamicity-based designs. Diversity may have a cost (e.g., hardware, software,
2364 maintenance, training, assurance) greater than the value or effectiveness that it provides.

2365 **REFERENCES:** [[Schroeder77](#)]; [[Jackson13](#)]; [[Moller08](#)].

2366 **E.19 DOMAIN SEPARATION**

2367 **PRINCIPLE:** *Domains with distinctly different protection needs are physically or logically separated.*

2368 *Note:* The separation of domains enables enhanced control and, therefore, protection of system
2369 function and the flow of data. Control relative to separated domains limits the extent to which an
2370 entity or domain is influenced by or is able to influence some other entity or domain, thereby
2371 enhancing the protection of a domain. This is achieved through the control of information flow
2372 and data between domains as well as control over the use of a system capability between
2373 domains.

2374 The differing protection needs that are used to define domains may be thought of in terms of
2375 protecting the domain from influence by external entities (i.e., susceptibility) and protecting
2376 external entities from erroneous behavior that occurs within the domain (i.e., containment). This
2377 distinction may include separating critical functions from less critical functions, such as separating
2378 the flight control functions of a transport aircraft from the environmental control functions that
2379 maintain a safe environment for the cargo and passengers being transported.

2380 Historically, domain separation has been used to enforce the separation of roles or privileges (i.e.,
2381 least privilege). For example, a system may separate an “administrative” or “supervisor” domain
2382 from “user” domains. The administrative domain is accessible only by system administrators with
2383 proper privileges, and distinctly administrative functions may only be executed by administrators
2384 from the administrative domain. Similarly, data intended to only be accessed by administrators
2385 and administrative functions (e.g., system configurations) is stored and accessed only within that
2386 domain, ensuring needed protection of the data.

2387 Domain separation requires a domain to be contained within its own protected subsystem so that
2388 elements of the domain are only directly accessible by procedures or functions of the protected
2389 subsystem. The concept of isolation enables the implementation of domain separation. Isolation
2390 limits the extent to which one domain can influence or can be influenced by other entities. The
2391 challenge is that the system elements within domains must at times interact with other elements
2392 and the environment to deliver a capability. Every interface that results from design decisions can
2393 diminish domain separation while achieving requirements for a system capability. External
2394 requests for resources or functions within protected subsystems are arbitrated at these
2395 interfaces. Firewall, data diodes, and cross-domain solutions (CDS) are examples of mechanisms
2396 that enable varying degrees of control over the interactions between separated domains.

2397 Encryption is another mechanism often used to provide domain separation. For example,
2398 communication between distinct subsystems within a domain may be encrypted with a key that
2399 is known only to the subsystems within the domain. Where a common storage module or
2400 subsystem is used for multiple domains, encryption may be used to limit information access to
2401 the domain that owns the key to decrypt.

2402 **REFERENCES:** [\[Smith12\]](#); [\[Levin07\]](#).

2403 **E.20 LEAST FUNCTIONALITY**

2404 **PRINCIPLE:** *Each system element has the capability to accomplish its required functions but no*
2405 *more.*

2406 *Note:* Susceptibility and vulnerability increase unnecessarily when a system element provides
2407 more functionality than is needed to achieve its intended purpose. Least functionality reduces the

2408 potential for susceptibility and vulnerability and reduces the scope of analysis of the system
2409 element's trustworthiness and loss potential. The strictest interpretation of least functionality is
2410 to prohibit any system element functions that are not required. Where that is not possible or
2411 practical, the unnecessary functions of the system element should be disabled, disarmed, or put
2412 into a "safe" mode that prevents the functions from being used. In all other cases, mediated
2413 access can be used to prevent access to and use of the unneeded functions. An example of when
2414 it may not be possible or practical to avoid unnecessary functions is the use of commercial off-
2415 the-shelf (COTS) components. COTS components typically contain functions beyond those
2416 required to fulfill its intended purpose. In such cases, the components should be configured to
2417 enable only the functions that are required to fulfill its purpose and prohibit or restrict functions
2418 that are not required to fulfill its purpose.

2419 **REFERENCES:** [[Neumann04](#)]; [[Levin07](#)].

2420 **E.21 LEAST PERSISTENCE**

2421 **PRINCIPLE:** *System elements and other resources are available, accessible, and able to fulfill their*
2422 *design intent only for the time for which they are needed.*

2423 *Note:* Least persistence reduces susceptibility. It limits the extent to which functions, resources,
2424 data, and information remain present, accessible, and usable when not required, thereby
2425 reducing the opportunity for their inadvertent or unauthorized use, modification, or activation.
2426 The broadest interpretation of least persistence is to not install, instantiate, or apply power to
2427 system elements and resources until needed and to completely remove system elements or
2428 power from elements and resources when they are no longer required. Where that condition is
2429 not possible or practical, those system elements and resources should be fully disabled, disarmed,
2430 or put into safe mode to prevent their ability to function or to be used. At a minimum, [Mediated](#)
2431 [Access](#) should include constraints on the time and duration of their use.

2432 Three conditions must be satisfied for an active system element or resource to be usable, with
2433 two of these conditions applying to non-active elements or resources:

- 2434 • **Presence (active and non-active):** The system element or resource must be installed, loaded,
2435 residing in memory (software), and configured.
- 2436 • **Accessible (active and non-active):** The system element or resource must be invoked,
2437 interacted with, or operated on.
- 2438 • **Able to Function (active):** The system element or resource must be able to execute (i.e.,
2439 powered on, enabled, or armed) to deliver a service or perform a function.

2440 Least persistence is reflected in concepts such as sanitizing, erasing, and clearing memory and/or
2441 storage locations; disabling, removing, and disconnecting network ports, system interfaces, and
2442 the services provided by system interfaces; powering off and unplugging hardware when not
2443 needed; and instantiating software just before needed and de-instantiating after it is no longer
2444 needed. Least persistence has added benefits that include simplifying the processes of:

- 2445 • Cleansing the system element to remove corrupted aspects or side effects
- 2446 • Re-establishing the system element to a known state (i.e., a refresh)
- 2447 • Minimizing the time in which system elements are exposed to the environment, to attack,
2448 and to erroneous behavior

2449 Where system elements or resources are removed and then restored as needed, there must be a
2450 trusted representation of the system element and a trusted ability to instantiate that system
2451 element within the time constraints for its use.

2452 **REFERENCES:** [[SP 800-160v2](#)].

2453 **E.22 LEAST PRIVILEGE**

2454 **PRINCIPLE:** *Each system element is allocated privileges that are necessary to accomplish its*
2455 *specified functions but no more.*

2456 *Note:* System elements can be implemented by entities such as hardware, firmware, software,
2457 and personnel. By design, the system must be able to limit the scope of a system element's
2458 actions. This has two desirable effects: (1) the impact of a failure, corruption, or misuse of the
2459 element is minimized, and (2) the analysis of the system element is simplified. A design driven by
2460 least privilege considerations results in a sufficiently fine granularity of privilege decomposition
2461 and the ability for the fine-grained allocation of privileges to human and machine elements. The
2462 application of the principle of least privilege means allocating the minimum (separate) privileges
2463 necessary to a system element according to the extent to which that element has a need to
2464 perform some function. This could include a need know, modify, delete, use, configure, authorize,
2465 start/enable, or stop/disable [[Schroeder77](#)]. In addition to its manifestations at the system
2466 interface, least privilege can also be used as a guide for the internal structure of the system itself,
2467 such as how to employ [Domain Separation](#). One aspect of internal least privilege is to construct
2468 modules so that only the system elements encapsulated by the module are directly accessed or
2469 operated upon by the functions within the module. Elements external to a module that may be
2470 affected by the module's operation are indirectly accessed through interaction with the module
2471 that contains those elements.

2472 **REFERENCES:** [[Neumann04](#)]; [[Levin07](#)]; [[Saltzer75](#)]; [[Scroeder77](#)].

2473 **E.23 LEAST SHARING**⁸²

2474 **PRINCIPLE:** *System resources are shared among system elements only when necessary and among*
2475 *as few elements as possible.*

2476 *Note:* Sharing via common mechanism and other means can increase the susceptibility of system
2477 resources (e.g., data, information, system variables, interfaces, functions, services) to
2478 unauthorized access, disclosure, use, or modification and can adversely affect the capabilities
2479 provided by the system. According to [[Saltzer75](#)], "Every shared mechanism (especially one
2480 involving shared variables) represents a potential information path between users and must be
2481 designed with great care to be sure it does not unintentionally compromise security." A design
2482 that employs least sharing helps to reduce the adverse consequences that can result from sharing
2483 system functions, state, resources, and variables among different system elements. A system
2484 element that corrupts a shared state or shared variables has the potential to corrupt other
2485 elements whose behavior is dependent on the state. Minimized sharing also helps to simplify the
2486 design and implementation [[Lampson73](#)].

⁸² The historically well-known security design principle, *least common mechanism*, is an instance of least sharing. The principle of least common mechanism is described in [[Poppek74](#)].

2487 Two criteria provide the basis for applying the principle of least sharing: (1) share only if absolutely
2488 necessary, and (2) minimize sharing if allowed. The first criterion is a trade decision that factors
2489 in the cost and benefit of sharing resources against the increased exposure that results from the
2490 sharing. The second criterion is a constraint on the extent of sharing.

2491 **REFERENCES:** [[Popek74](#)]; [[Saltzer75](#)]; [[Lampson73](#)]; [[Neumann04](#)] [[Levin07](#)].

2492 **E.24 LOSS MARGINS**

2493 **PRINCIPLE:** *The system is designed to operate in a state space sufficiently distanced below the*
2494 *threshold at which loss occurs.*

2495 *Note:* Margins refer to the difference between a conservative threshold at which the system is
2496 expected to operate while subjected to adversity and the point at which the adversity results in
2497 failure. Loss margins are created by engineered features put in place to maintain operational
2498 conditions and the associated adversity level at some distance (i.e., conservative threshold) from
2499 the estimated critical adversity threshold or loss-triggering threshold. Loss margins also allow for
2500 increased time to detect the need for a response action (see [Anomaly Detection](#)), to determine
2501 what the response action should be (see [Commensurate Response](#)), and to complete the selected
2502 response action. When there is uncertainty about the effectiveness of the response action, loss
2503 margins need to allow time to evaluate response effectiveness, determine any additional actions
2504 needed, and complete any selected actions.

2505 Uncertainty may derive from the environment of operation, the design and realization of the
2506 system, the utilization and sustainment of the system, and the adversity presenting itself to the
2507 system. Loss margins are effective in addressing uncertainty about how and when a loss-triggering
2508 event occurs. Specifically, loss margins are effective in addressing uncertainty associated with:

- 2509 • Intelligently designed and executed attacks, including attacks that persist and evolve over
2510 time
- 2511 • Unknown, unquantified, and underappreciated susceptibilities, threats, vulnerabilities,
2512 hazards, and associated risks

2513 For designs that incorporate loss margins, uncertainty about adversity makes determining the
2514 loss-triggering thresholds difficult. Loss margins for design should be determined with a balance
2515 between certainty (i.e., what has happened and can happen again) and uncertainty (i.e., what has
2516 not happened but can happen, or what has happened but can also happen in a different way).
2517 Loss scenarios that include loss escalation and an estimation of the critical threshold for loss
2518 occurrence are helpful in making design decisions that incorporate loss margins. Loss scenarios
2519 also help to determine the limits of adversity-driven decisions due to uncertainty in knowledge
2520 about the adversity (i.e., the adversity is insufficiently known or understood or is just unknown).

2521 Sensitivity analyses must inform the determination of loss margins. Other factors for computing
2522 loss margins include system complexity, the use of newer technology or older technology in new
2523 ways, and the degree of new environments being introduced. An additional factor is the ability to
2524 complete comprehensive and effective testing. Limitations on system test coverage and
2525 effectiveness for all actual, simulated, or emulated adversity necessitate larger margins to
2526 account for the remaining uncertainty. The size of the margin may be reduced with time as
2527 unknown and underappreciated loss scenarios are uncovered and corrected, or the size may need
2528 to be increased over time as a malicious adversity capability matures in sophistication.

2529 **REFERENCES:** [[Saleh14](#)]; [[Moller08](#)]; [[NASA11](#)]; [[NASA14](#)]; [[Benjamin14](#)]; [[Pagani04](#)].

2530 **E.25 MEDIATED ACCESS**

2531 **PRINCIPLE:** *All access to and operations on system elements are mediated.*

2532 *Note:* Mediated access is a foundational principle in the design of secure systems. The purpose of
2533 mediated access is to achieve the following:

- 2534 • Place limits on access to and use of the system
- 2535 • Reduce the possibility of loss escalation
- 2536 • Reduce the extent to which loss escalates and propagates

2537 Mediated access is based on the interaction between an entity and a target system element and
2538 has two aspects:

- 2539 • **Access to the System Element:** The requesting entity only has authorized access to a target
2540 system element.
- 2541 • **Use of the System Element:** The requesting entity is only allowed to perform authorized
2542 operations on the target system element.

2543 Mediated access has two parts: (1) a policy-based access mediation decision and (2) the
2544 enforcement of the access mediation decision. The access mediation decision may include
2545 conditional constraints that further restrict access (e.g., role, time of day, system state or mode,
2546 or duration of operation). If access is not sufficiently mediated, there is no possibility of limiting
2547 how system elements (including human and machine elements) interact to ensure that only
2548 authorized behaviors and intended outcomes result.

2549 Mediated access is achieved by an access mediation control mechanism. Seminal computer
2550 security work defined the *reference validation mechanism* as the generalized form of any
2551 mechanism that is an implementation of the reference monitor concept ([Section D.4.2](#)). The
2552 reference monitor provides the design assurance basis for demonstrating the trustworthiness of
2553 a mediated access control mechanism. The essential design criteria ([Section D.4.2](#)) provide a
2554 refinement to extend the generalized reference monitor concept. Mediated access may enforce
2555 the constraints described in the principles of [Distributed Privilege](#), [Least Privilege](#), and [Least](#)
2556 [Sharing](#).

2557 Efficiently mediated access refers to using a *least common mechanism* for mediating access.
2558 Mediating access is often the predominant security function within a secure system and may
2559 result in performance bottle necks if not designed and implemented correctly. The use of least
2560 common mechanism is one means to help reduce bottle necks [[Levin07](#)].

2561 **REFERENCES:** [[Saltzer75](#)]; [[Neumann04](#)]; [[Levin07](#)]; [[Neumann17](#)]; [[Anderson72](#)]; [[Saleh14](#)].

2562 **E.26 MINIMIZE DETECTABILITY**

2563 **PRINCIPLE:** *The design of the system minimizes the detectability of the system as much as*
2564 *practicable.*

2565 *Note:* A system that is not discoverable, observable, or trackable by an adversarial threat or
2566 exposed to such a threat is less prone to a targeted attack. Minimizing detectability drives
2567 engineering design decisions to eliminate or reduce exposures such as unnecessary interfaces,

2568 access points, footprints, and emanations, thereby reducing susceptibility to adversarial threat
2569 actions. Interfaces and access points have the effect of exposing the system to intentional
2570 adversity (i.e., attacks) and non-intentional adversity (i.e., faults, errors, incidents, accidents). Yet
2571 interfaces and access points are necessary to compose system elements to deliver required
2572 capabilities, and duplicating interfaces and access points is needed to avoid single points of failure.
2573 System design must balance the need for interfaces with the susceptibility that results from the
2574 interface being exposed, discovered, and observed. Every interface, whether internal or external,
2575 constitutes an exposure that must be considered.

2576 Minimizing detectability reduces the ability of an adversary to observe and discover information
2577 about the system to craft and execute attacks. This includes detecting a system's location,
2578 presence, and movement (e.g., due to emissions, signatures, or footprints). Among ways a system
2579 may be detected include heat emission, electronic magnetic (EM) emissions, sound, vibrations,
2580 reflecting radar waves or light, the response to stimulus (e.g., a response to an Internet Control
2581 Message Protocol [ICMP] echo request or "ping"), and software traces and thrown exceptions.
2582 Specific forms or means to minimize detectability include camouflage, stealth, low probability of
2583 intercept/low probability of detect (LPI/LPD) waveforms (for radios), and frequency hopping.

2584 **REFERENCES:** [[Bryant20](#)]; [[Ball03](#)]; [[SP 800-160v2](#)].

2585 **E.27 PROTECTIVE DEFAULTS**

2586 **PRINCIPLE:** *The default configuration of the system provides maximum protection effectiveness.*

2587 *Note:* The configuration of the system includes the parameters for system functions, data,
2588 interfaces, and resources that determine how the system behaves and the outcomes it produces.
2589 Protective defaults guarantee that the "as shipped" system configuration and parameters
2590 prioritize the achievement of loss control objectives over the ability to deliver a required system
2591 capability and performance without dependence on human intervention. Protective defaults
2592 require conscientious action to establish the system configuration and parameters that deliver
2593 the required capability and performance in a manner that provides [Commensurate Protection](#)
2594 against loss. Protective default configurations for systems include constituent subsystems,
2595 components, and mechanisms. The principles of Protective Failure, Protective Recovery, and
2596 Continuous Protection parallel this principle to provide the ability to detect and recover from
2597 failure.

2598 **REFERENCES:** [[Saltzer75](#)]; [[Neumann04](#)]; [[Levin07](#)].

2599 **E.28 PROTECTIVE FAILURE**

2600 **PRINCIPLE:** *A failure of a system element neither results in an unacceptable loss nor invokes*
2601 *another loss scenario.*

2602 *Note:* Protective failure, a generalization of the concepts of *fail secure* and *fail safe*, is the aspect
2603 of continuous protection that ensures that a protection capability is not interrupted during a
2604 failure and that the effect of the failure is constrained. Two aspects of protective failure must be
2605 satisfied to achieve the intended effect:

- 2606 • **Avoid Single Points of Failure:** The failure of a single system element should not lead to
2607 unacceptable loss. Unacceptable loss should only occur in the case of multiple independent
2608 malfunctions – a safety principle known as *single failure criterion*. The principle of [Defense in](#)
2609 [Depth](#) can help achieve this aspect of protective failure.

- 2610 • **Avoid Propagation of New Failure:** If unmitigated, failures in the system can result in
2611 propagating, cascading, or rippling effects on the system. These effects can be addressed if
2612 the remaining protections remain effective to prevent the originating failure from causing
2613 additional failures. The principle of [Defense in Depth](#) does not address the propagation of
2614 failure by invoking a new loss scenario and, therefore, does not help achieve this aspect of
2615 protective failure without added analysis.

2616 Protective failure applies to discrete system elements, aggregates of system elements, and the
2617 systems abstraction. Protective failure seeks to limit a failure's effect to the extent practicable
2618 and, in doing so, minimize introducing new loss possibilities. Protective failure can limit the extent
2619 to which a failure is able to advance loss scenarios associated with the failure, including cascading
2620 losses; trigger a different loss scenario; or create a new loss scenario. Efforts to avoid or limit
2621 failures may themselves degrade system performance, a form of failure. Thus, system designers
2622 may need to consider trade spaces between possible adverse effects and system performance.

2623 **REFERENCES:** [[Neumann04](#)]; [[Jackson13](#)]; [[Saleh14](#)]; [[Moller08](#)]; [[Levin07](#)].

2624 E.29 PROTECTIVE RECOVERY

2625 **PRINCIPLE:** *The recovery of a system element does not result in nor lead to unacceptable loss.*

2626 *Note:* Protective recovery is an aspect of [Continuous Protection](#) that ensures that a protection
2627 capability is not interrupted during recovery from actual or impending failure. Protective recovery
2628 is applied to discrete system elements, aggregates of system elements, and the system. To the
2629 extent practicable, any recovery from impending or actual failure to resume normal, degraded,
2630 contingency or alternative operation, or the recovery of other asset losses should not (1) advance
2631 the loss scenario that is the target of the recovery, (2) trigger other loss scenarios, or (3) create
2632 new loss scenarios. The practicable aspect of this principle recognizes that for some recovery
2633 efforts to be successful, they may degrade system performance, which is a form of loss. Protective
2634 recovery is an aspect of the response strategy for the system. Thus, graduated and ungraduated
2635 considerations of [Commensurate Response](#) apply to best suit expediency in the need for a
2636 protective recovery.

2637 **REFERENCES:** [[Schroeder77](#)]; [[Neumann04](#)]; [[NASA11](#)]; [[Levin07](#)].

2638 E.30 REDUNDANCY

2639 **PRINCIPLE:** *The system design delivers the required capability by replication of system functions
2640 or elements.*

2641 *Note:* Redundancy employs multiples of the same system elements, data and control flows, or
2642 paths to avoid single points of failure. Redundancy requires a strategy for how multiple system
2643 elements are used individually or in combination (e.g., load-balancing, fail-over, concurrently,
2644 backup, voting, agreement, consensus). Redundant solutions are susceptible to common mode
2645 failure (i.e., a single event that results in the same or equivalent elements failing in the same
2646 manner). The cause of the failure may occur with or without intent. [Diversity](#) is a means to address
2647 the concerns of common mode failure.

2648 **REFERENCES:** [[Schroeder77](#)]; [[Neumann04](#)]; [[Jackson13](#)]; [[Moller08](#)].

2649

2650

APPLICATION OF DESIGN PRINCIPLES

For commercial products to be trustworthy commensurate with their criticality, security design principles should be selected and applied appropriately throughout the products' system life cycle. Each design principle must be assessed for its relevance, applicability, and validity. Several of the design principles described in this appendix have been demonstrated by industry in past work and were used to develop criteria in national and international standards (e.g., [TCSEC85] and [ISO 15408-1]). Some commercial products have been designed, developed, and evaluated against specifications from those standards up to and including the highest levels of assurance (e.g., [TCSEC85] Classes A1 and B3 and [ISO 15408-3] Evaluation Assurance Levels 6 and 7). These products, which were evaluated in accordance with well-defined assumptions and configuration constraints, represent use cases of trustworthy components that have been verified to be highly resistant to penetration from determined adversaries and, in the case of [TCSEC85] Class A1, distinguished by substantially dealing with the problem of subversion of security mechanisms.

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2652

2653 APPENDIX F

2654 TRUSTWORTHINESS AND ASSURANCE

2655 REDUCING UNCERTAINTY AND BUILDING CONFIDENCE IN THE SYSTEM

2656 Determining that a system is trustworthy is based on the concept of *assurance*. Assurance is the
2657 grounds for *justified confidence* that a claim or set of claims has been or will be achieved [ISO
2658 15026-1]. Justified confidence is derived from objective evidence that reduces uncertainty to an
2659 acceptable level and in doing so, reduces risk (Section F.2). Evidence is acquired through applying
2660 engineering verification and validation methods.⁸³ The evidence must be relevant, accurate,
2661 credible, and of sufficient quantity to enable reasoned conclusions and consensus among subject-
2662 matter experts that the claims are satisfied. The relationship between evidence and claims can be
2663 represented in many ways. Section F.2 discusses these approaches.
2664

“The trust we place in our digital infrastructure should be proportional to how trustworthy and transparent that infrastructure is and to the consequences we will incur if that trust is misplaced.”

-- Executive Order (EO) on Improving the Nation’s Cybersecurity [EO 14028]
May 2021

2665
2666

2667 F.1 TRUST AND TRUSTWORTHINESS

2668 As discussed in Section 2.3, *trust* and *trustworthiness* are foundational concepts to engineering
2669 trustworthy secure systems, to the decisions made to grant trust, and to the extent which trust is
2670 granted based on *demonstrated* trustworthiness. Trust is a belief that an entity meets certain
2671 expectations and therefore, can be relied upon. A trustworthy entity requires sufficient evidence
2672 to support its trustworthiness claims. Trustworthiness is demonstrated based on evidence that
2673 supports a stated claim or judgment of being worthy to be trusted [Schroeder77] [Neumann04]
2674 [Levin07].

2675 Trust in an entity can occur without a basis for or knowledge of the entity’s trustworthiness. Trust
2676 may occur because: (1) there is no alternative (e.g., an individual trusts the components involved
2677 in an Internet transaction without knowing anything about the components), (2) the need for
2678 trustworthiness is not realized and occurs de facto, or (3) other reasons [Neumann17]. Since trust
2679 is not necessarily based on a judgment of trustworthiness, the decision to trust an entity should
2680 consider the consequences, effects, and impacts of trust *expectations* not being fulfilled because
2681 of non-performance, whether due to failure, deficiency, or incompetence. The criteria to grant
2682 trust is used to determine the trustworthiness of an entity. Trust granted without establishing the
2683 required trustworthiness is a significant contributor to risk.

2684 F.1.1 Roles of Requirements in Trustworthiness

2685 Trustworthiness judgments are based on criteria that express the need to trust. This need must
2686 be transformed into requirements in the same way that capability, performance, security, and

⁸³ These methods include combinations of demonstration, inspection, analysis, and testing.

2687 other needs are transformed into requirements. The trustworthiness judgments are meaningful
2688 only to the extent that the trustworthiness-relevant requirements accurately reflect the problem,
2689 accurately define the solution, and can be verified as being satisfied by the solution.

2690 The trustworthiness requirements about security derive from the protection needs, priorities,
2691 constraints, and concerns associated with the system's ability to achieve authorized and intended
2692 behaviors and outcomes, deal with adversity, and control loss. The requirements also address the
2693 measures used to assess trustworthiness and the evidentiary data required to substantiate
2694 trustworthiness conclusions and consequently granting trust. The *requirements engineering*
2695 discipline provides the methods, processes, techniques, and tools for this to occur.
2696

"A meaningful claim of trustworthiness cannot be based on an isolated demonstration that the system contains protection capability assumed to be effective or sufficient. Instead, conclusions about protection capability must have their basis on evidence that the system was properly specified, designed, and implemented with the rigor needed to deliver system-level function, in a manner deemed to be trustworthy and secure." [Neumann04]

2697
2698

2699 **F.1.2 Design Considerations**

2700 The design for a trustworthy secure system requires the application of principled engineering
2701 concepts and methods supported by evidence that provides assurance that all security-relevant
2702 claims about the system are satisfied ([Section F.2](#)).⁸⁴ Some considerations that apply to achieving
2703 trustworthiness in system design are:

2704 • **Composition**

2705 Trustworthiness judgments themselves are compositional. They must align with how the set
2706 of composed elements provides a system capability. The way that the system is composed
2707 from its system elements must include the design principles of [Compositional Trustworthiness](#)
2708 and [Structured Decomposition and Composition](#) to the extent practical.

2709 • **States, Modes, and Transitions**

2710 Ideally, the implemented system design will result in a system that continually remains in
2711 secure states and modes, with secure transitions between states and modes ([Section 3.2](#)).
2712 Realistically, the system will have insecure and indeterminant (unknown if secure or insecure)
2713 systems states and modes. The design must account for these cases and provide the capability
2714 to transition from insecure and indeterminant states and modes to secure states and modes
2715 (see [Protective Recovery](#)).

2716 • **Failure Propagation**

2717 All systems fail at some point. When a failure occurs, another failure scenario or the creation
2718 of a new failure scenario should not be triggered or invoked (see [Protective Failure](#)). Design

⁸⁴ Constraints and claims are expressed in terms of functional correctness, strength of function, concerns for asset loss and consequences, and the protection capability derived from adherence to standards or from the use of specific processes, procedures, or methods.

2719 without single points of failure (see [Redundancy](#)), including not having common mode failures
2720 (see [Diversity](#)), can help isolate system element failures while providing the required system
2721 capabilities. Additionally, the response to failure should not lead to loss or other failures (see
2722 [Protective Recovery](#)).

2723 • **Anomaly Detection**

2724 [Anomaly Detection](#) provides situational awareness that allows the system to decide and
2725 recommend corrective actions to account for actual and potential deviations from accepted
2726 norms.

2727 • **Trades**

2728 Not every system element has the trustworthiness that is sufficient for its intended purpose.
2729 A deficiency in trustworthiness can result from:

- 2730 - Technical feasibility and practicality issues
- 2731 - Cost and schedule issues of what is feasible and practical
- 2732 - The limits of certainty (i.e., what is not known, what cannot be known, and what is
2733 underappreciated [known or could be known but dismissed prematurely])

2734 The *trade space* is the rigorous application of the design principles that provide a basis for the
2735 necessary design decisions to maximize the trustworthiness of individual system elements
2736 and aggregates of elements that must be trusted. For example, in addressing the feasibility
2737 and practicality of cost and schedule issues, the design principle of minimizing the number of
2738 system elements that must be trusted (see [Minimal Trusted Elements](#)) is applied. This reduces
2739 the effort's size and scope and potentially reduces the expense to generate evidence of
2740 trustworthiness.

2741 **F.2 ASSURANCE**

2742 Assurance is the grounds for justified confidence that a claim or set of claims has been or will be
2743 achieved [[ISO 15026-1](#)]. Assurance is a complex and multi-dimensional property of the system
2744 that builds over time. Assurance must be planned, established, and maintained in alignment with
2745 the system throughout the system life cycle.

2746 Adequate security judgements should be based on the level of confidence in the ability of the
2747 system to protect itself against asset loss and the associated consequences across all forms of
2748 adversity.⁸⁵ It cannot be based solely on individual efforts, such as demonstrating compliance,
2749 functional testing, or adversarial penetration tests. Judgments include what the system cannot
2750 do, will not do, or cannot be forced to do. These judgments of non-behavior must be grounded in
2751 sufficient confidence in the system's ability to correctly deliver its intended function in the
2752 presence and absence of adversity and to do so when used in accordance with its design intent.

2753 The needed evidentiary basis for such judgments derives from well-formed and comprehensive
2754 evidence-producing activities that address the requirements, design, properties, capabilities,
2755 vulnerabilities, and effectiveness of security functions. Testing is one of several verification

⁸⁵ The term adversity refers to those conditions that can cause a loss of assets (e.g., threats, attacks, vulnerabilities, hazards, disruptions, and exposures).

2756 activities. The evidence acquired from these activities informs reasoning by qualified subject-
 2757 matter experts to interpret the evidence to substantiate the assurance claims made while
 2758 considering other emergent properties that the system may possess.

2759

VENEER SECURITY

Assurance is difficult but necessary.

"I've covered a lot of material in this book, some of it quite tricky. But I've left the hardest parts to the last. First, there's the question of assurance ..." [Anderson20].

Veneer security is security functionality provided without corresponding assurance so that the functionality only **appears** to protect resources when, in fact, it does not. Veneer security results in a false sense of security and, in fact, increases risk due to the uncertainty about the behavior and outcomes produced by the security functionality in the presence and absence of adversity. Veneer security must be avoided [Saydjari18].

Compliance is a form of "veneer security." While compliance may have an important *informing* role in judgments of trustworthiness, compliance-based judgments – like other forms of veneer security – do not suffice as the sole evidentiary basis for assurance and the associated judgments of trustworthiness.

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2762 **F.2.1 Security Assurance Claims**

2763 From a security perspective, a top-level claim addresses freedom from the conditions that cause
 2764 asset loss and the associated consequences by ensuring the system achieves only authorized and
 2765 intended system behaviors and outcomes. Supporting claims include the completeness and
 2766 accuracy of stakeholder and system requirements, a sound approach to design, the proper
 2767 implementation of the design, and the proper use and maintenance of the system.

2768 When applied to security, the top-level claim is that the *system* will adequately contribute to
 2769 freedom from the conditions that cause asset loss and the associated consequences. The top-
 2770 level security claim decomposes into claims about the design, implementation, requirements,
 2771 methods, and adversities in a structured manner that demonstrates that the design adequately
 2772 contributes to ensuring only authorized and intended system behaviors and outcomes.

2773 Security assurance claims reflect the desired attributes of a trustworthy secure system. These
 2774 claims are derived from concerns about the completeness and accuracy of stakeholder and
 2775 system requirements,⁸⁶ enforcement of the security policy, proper implementation of the design,
 2776 proper maintenance of the system, the usability of the system,⁸⁷ and the avoidance, minimization,

⁸⁶ Claims are not expressed solely as a restatement of the security functional and performance requirements. Doing so only provides assurance that the security requirements are satisfied with the implicit assumption that the requirements are correct, provide adequate coverage, and accurately reflect stakeholder needs and concerns.

⁸⁷ Most system failures have a human component. Thus, assurance must consider human frailty [Anderson20]. Operator behavior is a product of the environment (including its systems) in which it occurs [Leveson11].

2777 and mitigation of defects, errors, and vulnerabilities.⁸⁸ Other claims may exist involving the ability
 2778 to exhibit predictable behavior while operating in secure states in the presence and absence of
 2779 adversity and the ability to recover from an insecure state. Claims can be expressed in terms of
 2780 functional correctness, strength of function, and the protection capability derived from the
 2781 adherence to standards and/or from the use of specific processes, procedures, and methods.

2782

LEARNING FROM SAFETY

The NASA System Safety Handbook [NASA11] describes the relevant *claims* to be met in terms of the top-level claim that the system is adequately safe with *subclaims*, including the system is designed to be as safe as reasonably practicable, built to be as safe as reasonably practicable, and operated as safely as reasonably practicable.

2783

2784

2785 F.2.2 Approaches to Assurance

2786 There are three general approaches to assurance. These approaches can vary based on type of
 2787 evidence, how the evidence is acquired, the strength of the judgments made based on the
 2788 evidence, and the extent to which the assurance matches decision-making needs. From weakest
 2789 to strongest, the assurance approaches are *axiomatic*, *analytic*, and *synthetic*.

- 2790 • **Axiomatic Assurance** (assurance by assertion) is based on beliefs accepted on faith in an
 2791 artifact or process. The beliefs are often accepted because they are not contradicted by
 2792 experiment or demonstration. Axiomatic assurance is not suited to complex scenarios.
 - 2793 - Demonstration of conformance and compliance are types of axiomatic assurance. While
 2794 useful, they are not well-suited as the sole basis of assurance for complex scenarios.
- 2795 • **Analytic Assurance** (assurance by test and analysis) derives from testing or reasoning to
 2796 justify conclusions about properties of interest. Belief is relocated from an artifact or process
 2797 to trust in some method of analysis. The feasibility of establishing an analytic basis depends
 2798 on the amount of work involved in performing the analysis and on the soundness of any
 2799 assumptions underlying that analysis. Analytic methods are most relevant in a model that
 2800 spans *all* relevant uses and *all* interfaces to the environment. That is, the model must not
 2801 ignore too many details.
 - 2802 - Testing demonstrates the presence but not the absence of errors and vulnerabilities.
 2803 Testing and analyses will have *uncertainty* that cannot be ignored, especially when they
 2804 lack comprehensiveness. Uncertainty contributes to risk.

⁸⁸ Not all vulnerabilities can be mitigated to an acceptable level. There are three classes of vulnerabilities in systems including: (1) vulnerabilities whose existence is known and either eliminated or made to be inconsequential, (2) vulnerabilities whose existence is known but that are not sufficiently mitigated, and (3) unknown vulnerabilities that constitute an element of uncertainty. That is, the fact that the vulnerability has not been identified should not give increased confidence that the vulnerability does not exist. Determining the effect of vulnerabilities that are in the delivered system and the risk posed by those vulnerabilities and accepting uncertainty about the existence of a vulnerability that will only become known over time are important aspects that are addressed by assurance.

2805 • **Synthetic Assurance** (assurance by structured reasoning) derives from the method of
2806 composition of the “components of assurance” (i.e., the assurance derives from the manner
2807 of *synthesis* of the constituent parts). It requires that assurance be a consideration at every
2808 step of design and implementation, from the smallest components to the final subsystem
2809 realization.

2810 - The assurance case described in [ISO 15026-2] is an example of structured reasoning (see
2811 [Section 4.3](#)). Structured reasoning serves to fill the gaps associated with the axiomatic
2812 and analytic assurance approaches. Since synthetic assurance is based on the expert
2813 judgment of available evidence, it is not complete. However, synthetic assurance does
2814 further reduce uncertainty and thus reduces risk.

2815 Assurance depends on the *quality* of the evidence used in arguments demonstrating claims about
2816 the system are satisfied. Assurance evidence can be obtained directly through measurement,
2817 testing, observation, or inspection or obtained indirectly through analysis, including the analysis
2818 of data obtained from measurement, testing, observation, or inspection. Evidence must have
2819 sufficient quality in accuracy, credibility, relevance, rigor, and quantity. The accuracy, credibility,
2820 and relevance of evidence should be confirmed prior to its use. For example, some evidence can
2821 support arguments for strength of function, others for negative requirements (i.e., what will not
2822 happen), and still other evidence for qualitative properties.

2823

ASSURANCE CASE

An *assurance case* is a reasoned, auditable artifact that is created to support the contention that a top-level claim is satisfied. The assurance case includes systematic argumentation, evidence, and explicit assumptions that support the claim.

An assurance case contains the following elements [ISO 15026-2]:

- One or more claims about properties
- Arguments that logically link the evidence and any assumptions
- A body of evidence
- Justification of the choice of a top-level claim and the method of reasoning

[NASA17] found that assurance cases have numerous advantages over other means for obtaining confidence, such as in the areas of comprehension, informing needed allocation responsibilities, information organization, and robust due diligence. These advantages were larger in areas with otherwise insufficient methods to achieve high assurance. Additionally, assurance cases were determined to be more efficient for complex and novel systems, as well as systems in need of high assurance.

Many formalizations and tools for building assurance cases have been developed in recent years, including the Goal Structuring Notation (GSN) [GSNCS18] and NASA’s AdvoCATE: Assurance Case Automation Toolset [NASA19].

2824

2825 F.2.3 Assurance Needs

2826 Assurance is a need that is engineered and satisfied similar to the need to engineer the system
 2827 capability to satisfy specified capability needs. Assurance needs for trustworthy secure systems
 2828 are grounded in the concerns of loss and adverse effects due to intentional and unintentional
 2829 adversity ([Commensurate Rigor](#), [Commensurate Trustworthiness](#), [Substantiated Trustworthiness](#)).
 2830 Assurance needs include the evidence-basis for reasoning, the degree of rigor to acquire and
 2831 interpret the evidence, and the selection of the methods, tools, and processes used throughout
 2832 the system life cycle. Similar to capability and performance needs, assurance needs, expectations,
 2833 priorities, and constraints should be expressed as system requirements and achieved, tracked,
 2834 and maintained within the *systems engineering* effort.

2835

CONFIDENCE MAY BE NEGATIVE

Assurance evidence can support a conclusion that a stated claim is not achieved or that there is an insufficient basis to conclude that the claim is supported or not supported. In either case, the assurance is negative relative to the goal of substantiating the claim. That is, the system or some part of the system is not sufficiently trustworthy and should *not* be trusted relative to its specified function without further action.

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2838 Assurance needs determine the type of evidence and the rigor associated with the activities,
 2839 methods, and tools used to acquire the evidence to satisfy the following cases:

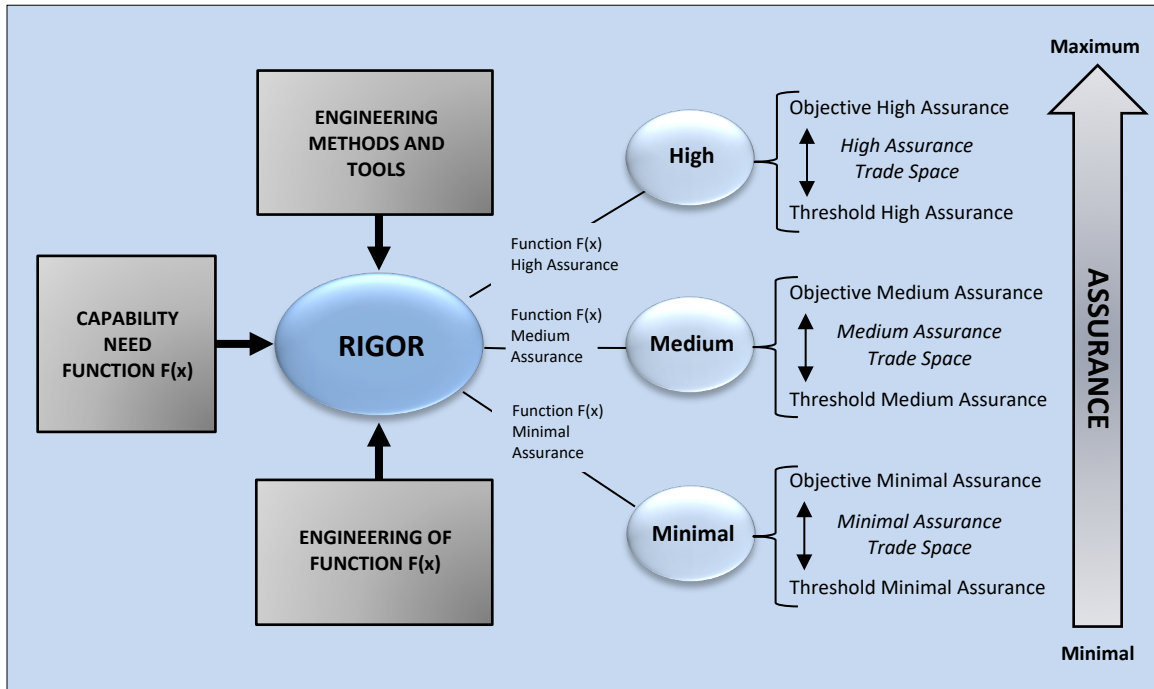
- 2840 • **What is to be accomplished in the systems engineering effort:** The realization of the design
2841 for a secure system
- 2842 • **The means to conduct the systems engineering effort:** The methods, processes, and tools
2843 employed (driven by rigor and assurance objectives) to realize the design for a secure system
- 2844 • **The results of the systems engineering effort:** The substantiated effectiveness of the realized
2845 design of the secure system

2846 Assurance needs can vary and constitute a *trade space* that must be managed similar to how
 2847 capability and performance needs can vary. The degree of rigor is the primary means of varying
 2848 assurance. As shown in Figure F-1, a direct relationship exists between the degree of rigor and
 2849 assurance and the stakeholder's assessment of the effects of asset loss. The assurance trade space
 2850 includes the following considerations:

- 2851 • Cost, schedule, and performance
- 2852 • Architecture and design decisions
- 2853 • Selection of technology and solutions
- 2854 • Selection and employment of methods and tools
- 2855 • Qualifications necessary for subject-matter experts

2856 Requirements analysis across stakeholder and system requirements determines the *threshold*
 2857 degree of rigor that is required. When a system cannot practicably meet the needed degrees of
 2858 rigor, stakeholders should have a means to determine if they will accept the associated risk.

2859



2860
 2861

FIGURE F-1: ASSURANCE AND DEGREE OF RIGOR IN REALIZING A CAPABILITY NEED

2862 The highest levels of rigor across systems often requires formal methods—techniques that model
 2863 systems as mathematical entities to enable rigorous verification of the system’s properties
 2864 through mathematical proofs. Formal methods depend on formal specifications (i.e., statements
 2865 in a language whose vocabulary, syntax, and semantics are formally defined) and a variety of
 2866 models including a formal security policy model (i.e., a mathematically rigorous specification of a
 2867 system's security policy [Appendix C]).

2868 Due to the cost and complexity associated with formal methods, such methods are typically
 2869 limited to engineering efforts where only the highest levels of assurance are needed, such as the
 2870 formal modeling, specification, and verification of security policy and the implementation that
 2871 enforces the policy (Section D.4.2). In this case, the security policy model is verified as complete
 2872 for its scope of control and as self-consistent. The verified security policy model then serves as a
 2873 foundation to verify the models of the design and implementation of the mechanisms providing
 2874 for decision-making and the enforcement of those decisions.

2875

2876

DOES DEFENSE IN DEPTH INCREASE TRUSTWORTHINESS?

“The notion of defense in depth describes security derived from the application of multiple mechanisms (e.g., to create a series of barriers against an attack by an adversary). However, there is no theoretical basis to assume that defense in depth, in and of itself, could imply a level of trustworthiness greater than that of the individual security components. Without a sound security architecture and supporting theory, the nonconstructive nature of these approaches renders them equivalent to temporary patches.” [Levin07]

Moreover, [Saleh14] notes that poorly designed *defense in depth* layering can conceal emerging dangerous system states and conditions. For more information on the proper use of the principle for trustworthy secure design, *Defense In Depth*, see [Appendix E](#).

2877

2878 **APPENDIX G**

2879 **SYSTEM LIFE CYCLE PROCESSES OVERVIEW**

2880 SECURITY IN SYSTEM LIFE CYCLE PROCESSES

2881 This appendix provides an overview of the system life cycle processes in [ISO 15288] and sets up
 2882 the in-depth coverage of those processes in subsequent appendices. It also describes relevant
 2883 relationships among the various process groups and processes (Section G.2).

2884 **G.1 PROCESS OVERVIEW**

2885 [ISO 15288] groups the activities performed during the system life cycle into four process groups:
 2886 *Technical Processes* (Appendix H), *Technical Management Processes* (Appendix I), *Organizational*
 2887 *Project-Enabling Processes* (Appendix J), and *Agreement Processes* (Appendix K). Appendices H, I,
 2888 J, and K describe the considerations and contributions to the system life cycle processes to achieve
 2889 trustworthy secure systems. Figure G-1 lists the four process groups and the processes in each
 2890 group.

2891

System Life Cycle Processes			
<i>Recursive, Iterative, Concurrent, Parallel, Sequenced Execution</i>			
Technical Processes	Technical Management Processes	Organizational Project-Enabling Processes	Agreement Processes
<ul style="list-style-type: none"> - Business or Mission Analysis - Stakeholder Needs and Requirements Definition - System Requirements Definition - System Architecture Definition - Design Definition - System Analysis - Implementation - Integration - Verification - Transition - Validation - Operation - Maintenance - Disposal 	<ul style="list-style-type: none"> - Project Planning - Project Assessment and Control - Decision Management - Risk Management - Configuration Management - Information Management - Measurement - Quality Assurance 	<ul style="list-style-type: none"> - Life Cycle Model Management - Infrastructure Management - Portfolio Management - Human Resource Management - Quality Management - Knowledge Management 	<ul style="list-style-type: none"> - Acquisition - Supply

Source: [ISO 15288].

2892

2893

FIGURE G-1: SYSTEM LIFE CYCLE PROCESSES

2894 The security-relevant considerations and contributions to the system life cycle are provided as
2895 systems security engineering *tasks*. The tasks are aligned with the engineering viewpoints of the
2896 life cycle processes and are based on the foundational security and trust principles and concepts
2897 described in [Chapter Two](#), [Appendix C](#), [Appendix D](#), [Appendix E](#), and [Appendix F](#). The tasks use
2898 and leverage the principles, concepts, terms, and practices of systems engineering to facilitate
2899 consistency in their application as part of a systems engineering effort.

2900 The system life cycles processes, activities, and tasks are to be applied as needed. They are not
2901 dependent on, oriented to, or presumed to be used or needed in any specific system development
2902 methodology. By design, the processes and their activities and tasks can be applied concurrently,
2903 iteratively, or recursively at any level in the structural hierarchy of a system with the appropriate
2904 fidelity and rigor and at any stage in the system life cycle in accordance with acquisition, systems
2905 engineering, or other process models. Using their expertise and experience, practitioners should
2906 tailor the life cycle processes, activities, and tasks to achieve optimized and efficient results.⁸⁹
2907 Considerations include:

- 2908 • How the system life cycle processes apply within the development models used by an
2909 organization
- 2910 • The ordering or sequencing of the activities and tasks in the system life cycle processes
- 2911 • How the outcomes may be achieved in ways that do not strictly adhere to the presentation
2912 of the processes in this publication
- 2913 • Additional activities and tasks needed to achieve specific outcomes
- 2914 • The size, scope, and complexity of the system
- 2915 • The need to accommodate specific technologies, methods, or techniques used to develop the
2916 system

2917 Tailoring the system life cycle processes allows the engineering team to:

- 2918 • Optimize applying the processes in response to technological, programmatic, acquisition,
2919 process, procedural, system life cycle stage, or other objectives and constraints
- 2920 • Allow for concurrently applying the processes by sub-teams focused on different parts of the
2921 same engineering effort
- 2922 • Facilitate applying the processes to conform with a variety of system development
2923 methodologies, processes, and models (e.g., agile, spiral, waterfall) that could be used on a
2924 single engineering effort
- 2925 • Accommodate the need for unanticipated or other event-driven execution of processes to
2926 resolve issues and respond to changes that occur during the engineering effort

2927 While the life cycle processes and activities are restated from [\[ISO 15288\]](#), the tasks stated in this
2928 publication are neither a restatement of nor a one-for-one mapping to the tasks in [\[ISO 15288\]](#).

⁸⁹ Tailoring can occur as part of the project planning process at the start of the systems-engineering effort or in an ad hoc manner at any time during the engineering effort when situations and circumstances so dictate. Understanding the fundamentals of systems security engineering (i.e., the science underpinning the discipline) helps to inform the tailoring process whenever it occurs during the system life cycle. The INCOSE Systems Engineering Handbook provides additional guidance on how to tailor the systems engineering processes [\[INCOSE14\]](#).

2929 This publication focuses on the security contributions to the processes. The tasks are titled to
 2930 reflect these contributions. In some cases, tasks have been added to address the range of
 2931 outcomes appropriate for achieving trustworthy secure system objectives.

2932 The descriptions of the system life cycle processes assume that sufficient time, funding, and
 2933 human and material resources are available to ensure the complete application of the processes
 2934 within the systems engineering effort. The processes represent the “standard of excellence”
 2935 within which appropriate tailoring is accomplished to achieve realistic, optimal, and cost-effective
 2936 results within the constraints imposed on the engineering team.

2937 Each of the system life cycle processes contains a set of *activities* and *tasks* that produce a set of
 2938 security-focused *outcomes*.⁹⁰ These outcomes combine to deliver a system and corresponding
 2939 body of evidence that serve as the basis to:

- 2940 • Substantiate the security and the trustworthiness of the system
- 2941 • Determine security risk across stakeholder concerns and with respect to the use of the system
 2942 in support of mission or business objectives
- 2943 • Help stakeholders decide which operational constraints are necessary to mitigate security risk
- 2944 • Provide inputs to other processes associated with delivering the system
- 2945 • Support the system throughout the stages of its life cycle⁹¹

2946 Each system life cycle process description has the following sections:

- 2947 • **Life Cycle Purpose:** Describes the goals of performing the process [[ISO 15288](#)]
- 2948 • **Security Purpose:** Establishes what the process achieves from the security standpoint
- 2949 • **Security Outcomes:** Expresses the security-relevant observable results expected from the
 2950 successful performance of the process and the data generated by the process
- 2951 • **Security Activities and Tasks:** Provides a set of security-relevant tasks that support achieving
 2952 security outcomes for the process⁹²

2953 The following naming convention is established for the system life cycle processes. Each process
 2954 is identified by a two-character designation (e.g., BA is the official designation for the [Business or](#)
 2955 [Mission Analysis](#) process). Table G-1 lists the system life cycle processes and their associated two-
 2956 character designators.

⁹⁰ Outcomes inform other processes including those external to the engineering effort such as the organizational life cycle processes of stakeholders and certification, authorization, or regulatory processes.

⁹¹ The body of evidence’s comprehensiveness, depth, fidelity, credibility, and relevance are factors in achieving the desired level of assurance. The objective is a body of evidence sufficient to convince stakeholders that their assurance needs are satisfied.

⁹² The tasks are accomplished cooperatively within and across various roles of the organization, inclusive of systems security engineering. While this publication focuses on the scope and responsibility of systems security engineering, it is not the case that all aspects of every task are fulfilled by systems security engineering.

2957

TABLE G-1: PROCESS NAMES AND DESIGNATORS

ID	PROCESS	ID	PROCESS
AQ	Acquisition	MS	Measurement
AR	System Architecture Definition	OP	Operation
BA	Business or Mission Analysis	PA	Project Assessment and Control
CM	Configuration Management	PL	Project Planning
DE	Design Definition	PM	Portfolio Management
DM	Decision Management	QA	Quality Assurance
DS	Disposal	QM	Quality Management
HR	Human Resource Management	RM	Risk Management
IF	Infrastructure Management	SA	System Analysis
IM	Information Management	SN	Stakeholder Needs and Requirements Definition
IN	Integration	SP	Supply
IP	Implementation	SR	System Requirements Definition
KM	Knowledge Management	TR	Transition
LM	Life Cycle Model Management	VA	Validation
MA	Maintenance	VE	Verification

2958

2959 The activities and tasks in each system life cycle process are uniquely identified using a two-
 2960 character designation followed by a numerical designation. For example, the first activity in the
 2961 [Stakeholder Needs and Requirements Definition](#) process is designated [SN-1](#). The first two tasks
 2962 within SN-1 are designated [SN-1.1](#) and [SN-1.2](#), respectively. The identification of the activities and
 2963 tasks within each system life cycle process provides for precise referencing and traceability among
 2964 the process elements. Task descriptions may contain a *notes* section that provides additional
 2965 information on considerations relevant to the successful execution of that task. A *references*
 2966 section provides a list of pertinent publications related to the activity and is a source of content
 2967 for additional information. Finally, a *related publications* section provides a list of documents that
 2968 are related to the topic being addressed in the activity.

2969 Note that the outcomes described in this publication are achieved by personnel, processes, and
 2970 technology. Personnel conduct activities and tasks, such as those defined in the [\[ISO 15288\]](#)
 2971 system life cycle processes, to produce outcomes that achieve the defined security objectives. No
 2972 single personnel role is responsible for producing all outcomes stated in the system life cycle
 2973 processes (i.e., the life cycle processes are not role-specific). Thus, multiple roles may contribute
 2974 to a specific outcome.

2975 Finally, this publication describes the systems engineering *considerations*, not the engineering
 2976 responsibilities, to produce the specified outcomes. Systems engineering responsibilities reside
 2977 with the organizations using this guidance, facilitating maximum flexibility for organizations to
 2978 define, combine, and allocate responsibility to support executing the life cycle processes. No role
 2979 or title is assigned any specific responsibility or possesses any specific authority. [Figure G-2](#)
 2980 provides an example of the types of personnel and roles that support the system life cycle
 2981 processes. Each personnel category has a scope of authority, control, and responsibility and a
 2982 variety of roles that collectively achieve the outcomes for the category. Collectively, the outcomes
 2983 produced across all categories achieve the defined security objectives.

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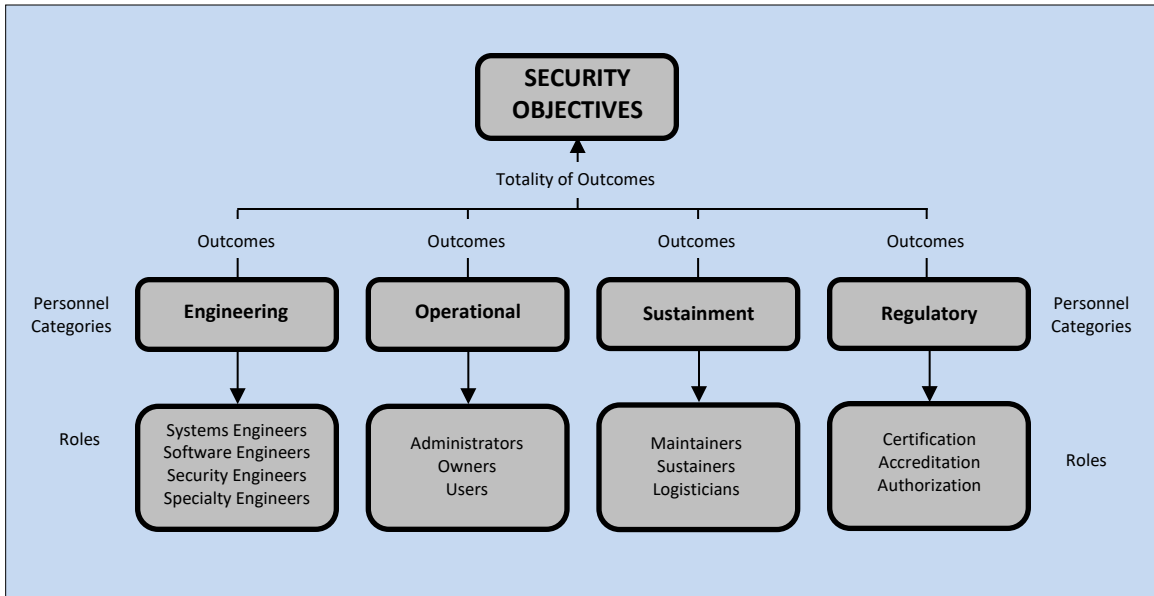


FIGURE G-2: TYPES OF PERSONNEL AND ROLES THAT SUPPORT LIFE CYCLE PROCESSES

3004 **G.2 PROCESS RELATIONSHIPS**

3005 Figure G-3 illustrates common logical relationships among process groups and processes that can
3006 be used as a framework and altered as necessary as part of tailoring.

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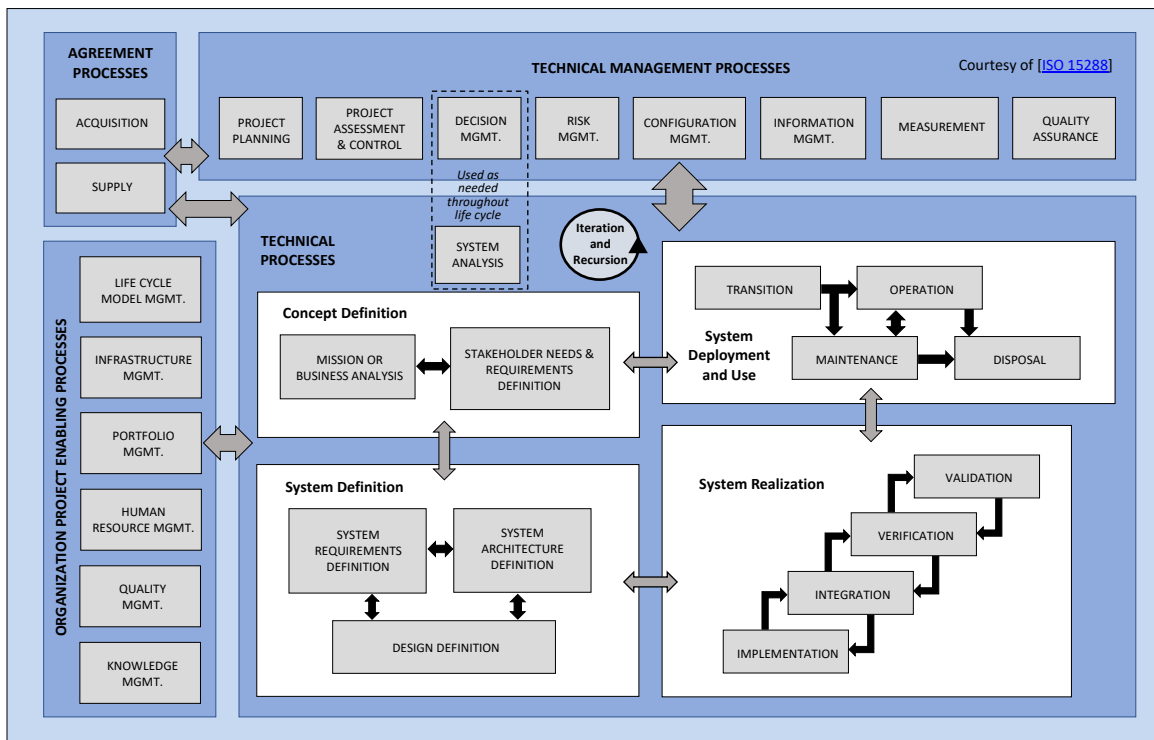


FIGURE G-3: RELATIONSHIPS AMONG PROCESSES

3030 Process relationships are further illustrated by the “use cases” in [[ISO 24748-2](#)]. Three prominent
3031 use cases include:

- 3032 • **Establish a formal agreement** (*ISO 24748-2, Section 6.7.1*)
 - 3033 - Agreements between organizations, between projects, and for work efforts within a
 - 3034 project
 - 3035 - Commonly a formal contract between an acquirer and the supplier, including a prime
 - 3036 contractor and its subcontractors
- 3037 • **Satisfy an agreement** (*ISO 24748-2, Section 6.7.1.2*)
 - 3038 - Processes to satisfy the agreement, including information a supplying organization
 - 3039 provides the acquiring organization to ensure compliance with the agreement
- 3040 • **Engineer a system of interest** (*ISO 24748-2, Section 6.7.4*)⁹³
 - 3041 - Relationships among the technical processes ([Appendix H](#))
 - 3042 - This use case often supports satisfying an agreement

3043 For more information on system life cycle processes and their relationships, refer to [[ISO 15288](#)],
3044 [[IEEE 15288-1](#)], [[ISO 24748-1](#)], [[ISO 24748-2](#)], [[ISO 21840](#)], [[INCOSE14](#)], and [[SEBoK](#)]. [[ISO 12207](#)]
3045 discusses the processes for software intensive systems. [[NASA07](#)], [[NASA16](#)], and [[NASA18](#)] may
3046 also be helpful.

⁹³The application of technical processes for engineering a system of interest will occur recursively to realize subsystems and system elements. See Annex A of [[ISO 24748-1](#)] for additional details.

3047 APPENDIX H

3048 TECHNICAL PROCESSES

3049 SECURITY-RELEVANT CONSIDERATIONS AND CONTRIBUTIONS

3050 This appendix contains the *Technical Processes* from [\[ISO 15288\]](#) including the security-relevant
3051 considerations and contributions for the purpose, outcomes, activities, and tasks. The processes
3052 include:

- 3053 • Business and Mission Analysis
- 3054 • Stakeholder Needs and Requirements Definition
- 3055 • System Requirements Definition
- 3056 • System Architecture Definition
- 3057 • Design Definition
- 3058 • System Analysis
- 3059 • Implementation
- 3060 • Integration
- 3061 • Verification
- 3062 • Transition
- 3063 • Validation
- 3064 • Operation
- 3065 • Maintenance
- 3066 • Disposal

3067 As noted in [Section G.2](#), the application of these processes at any life cycle stage is described in
3068 [\[ISO 24748-1\]](#). It has a complete set of example stages and stage outcomes for enacting technical
3069 processes within system and software life cycles.

3070 H.1 BUSINESS OR MISSION ANALYSIS

3071 The purpose of the *Business or Mission Analysis* process is to define the overall strategic problem
3072 or opportunity, characterize the solution space, and determine potential solution class(es) that
3073 can address a problem or take advantage of an opportunity.

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3075 Security Purpose

- 3076 • Define the security aspects related to the strategic problems or opportunities.
- 3077 • Identify the security objectives, concerns, and constraints that inform the potential solution
3078 classes.

3079 Security Outcomes

- 3080 • Security aspects of the strategic problem or opportunity space are defined.
- 3081 • Security aspects of the solution space are characterized.
- 3082 • The definition of the preliminary operational concepts and other concepts in the life cycle stages are informed by the security aspects of the problem or opportunity space.
- 3083
- 3084 • Alternative solution classes are analyzed considering identified security aspects.
- 3085 • Selection of the preferred alternative solution class(es) is informed by the security aspects of the solution space.
- 3086
- 3087 • Enabling systems or services needed for the security aspects of business or mission analysis are available.
- 3088
- 3089 • Traceability of the security aspects of the strategic problems and opportunities to the preferred alternative solution classes is established.
- 3090

3091 Security Activities and Tasks

3092 BA-1 PREPARE FOR BUSINESS OR MISSION ANALYSIS

3093 BA-1.1 Identify the security aspects for enabling systems or services needed to support business
3094 or mission analysis.

3095 BA-1.2 Identify and plan for enabling systems or services needed to support the security aspects
3096 of business or mission analysis.

3097 BA-1.3 Obtain or acquire access to the security aspects of enabling systems or services to be used
3098 in business or mission analysis.

3099 **References:** [[ISO 15288](#), Sec. 6.4.1.3 a)]; [[INCOSE23](#)].

3100 BA-2 DEFINE THE PROBLEM OR OPPORTUNITY SPACE

3101 BA-2.1 Analyze the problems or opportunities in the context of the security-relevant trade space
3102 factors.

3103 *Note:* The security-relevant trade space factors are analyzed within the context of all factors,
3104 including factors related to loss tolerances. The results of the analyses inform decisions on the
3105 suitability and feasibility of alternative options to be pursued.

3106 BA-2.2 Define the security aspects of the mission, business, or operational problem or
3107 opportunity to be addressed by the solution class(es).

3108 *Note:* Information is elicited from stakeholders to acquire an understanding of the mission,
3109 business, or operational problem or opportunity from a system security perspective. Security
3110 aspects include security objectives, concerns, and constraints.

3111 **References:** [[ISO 15288](#), Sec. 6.4.1.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3112 [4](#)]; [[INCOSE23](#)].

3113 BA-3 CHARACTERIZE THE SOLUTION SPACE

3114 BA-3.1 Define the security aspects of the preliminary operational concepts and other concepts
3115 in life cycle stages.

3116 *Note 1:* Security operational concepts include modes of secure operation, security-relevant
3117 operational scenarios and use cases, and secure usage within a mission area or line of business.

3118 *Note 2:* Security aspects are integrated into the life cycle concepts and used to support feasibility
3119 analysis and the evaluation of candidate alternative solution classes.

3120 **BA-3.2** Identify the security aspects of the alternative solution classes.

3121 **References:** [\[ISO 15288, Sec. 6.4.1.3 c\)\]](#); [\[ISO 42010\]](#); [\[ISO 24748-1\]](#); [\[INCOSE23\]](#).

3122 **BA-4** EVALUATE ALTERNATIVE SOLUTION CLASSES

3123 **BA-4.1** Assess each alternative solution class while considering the identified security aspects.

3124 **BA-4.2** Select the preferred alternative solution class (or classes) based on the identified security
3125 aspects, trade space factors, and other criteria defined by the organization.

3126 **BA-4.3** Provide security-relevant feedback to strategic level life cycle concepts to reflect the
3127 selected solution class(es).

3128 **References:** [\[ISO 15288, Sec. 6.4.1.3 d\)\]](#); [\[ISO 42010\]](#); [\[ISO 24748-1\]](#); [\[INCOSE23\]](#).

3129 **BA-5** MANAGE THE BUSINESS OR MISSION ANALYSIS

3130 **BA-5.1** Maintain traceability of the security aspects of business or mission analysis.

3131 *Note:* Bidirectional traceability is maintained between identified security aspects and supporting
3132 security data associated with the problems and opportunities, proposed solution class or classes,
3133 and organizational strategy.

3134 **BA-5.2** Provide the security-relevant artifacts that have been selected for baselines.

3135 **References:** [\[ISO 15288, Sec. 6.4.1.3 e\)\]](#); [\[ISO 42010\]](#); [\[ISO 24748-1\]](#).

3136 **H.2 STAKEHOLDER NEEDS AND REQUIREMENTS DEFINITION**

3137 The purpose of the *Stakeholder Needs and Requirements Definition* process is to define the
3138 stakeholder requirements for a system that can provide the capabilities needed by users and
3139 other stakeholders in a defined environment.

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3141 **Security Purpose**

- 3142 • Identify the protection needs associated with the stakeholder needs and requirements for a
3143 system that can protect the capabilities needed by users and other stakeholders in a defined
3144 environment.

3145 **Security Outcomes**

- 3146 • Security-relevant stakeholders of the system are identified.
- 3147 • Security concerns of stakeholders are identified.
- 3148 • Required characteristics and context for the secure use of capabilities for system life cycle
3149 concepts in system life cycle stages are defined.
- 3150 • Stakeholder assets and asset classes are identified.
- 3151 • Adversity presented by the environment is characterized.

- 3152 • Asset protection priorities are determined.
- 3153 • Stakeholder protection needs are defined.
- 3154 • Security-driven and security-informed constraints on a system are identified.
- 3155 • Prioritized stakeholder protection needs are transformed into stakeholder requirements.
- 3156 • Security-oriented performance measures and quality characteristics are defined.
- 3157 • Stakeholder agreement that their protection needs and expectations are adequately reflected
- 3158 in the requirements is achieved.
- 3159 • Enabling systems or services needed for the security aspects of stakeholder needs and
- 3160 requirements definition are available.
- 3161 • Traceability of stakeholder requirements to stakeholders and their protection needs is
- 3162 established.

3163 **Security Activities and Tasks**

3164 **SN-1 PREPARE FOR STAKEHOLDER NEEDS AND REQUIREMENTS DEFINITION**

3165 **SN-1.1** Identify the stakeholders and their security concerns.

3166 *Note 1:* All stakeholders have security concerns, whether implicit or explicit.

3167 *Note 2:* This includes stakeholders who represent milestone decision authority, regulatory, certification, authorization, acceptance, and similar organizations with specific security-relevant decision-making authority and responsibilities.

3170 **SN-1.2** Define the stakeholder protection needs and requirements definition strategy.

3171 *Note:* The strategy includes addressing how consensus about protection needs and requirements is to be achieved among stakeholders with opposing interests.

3173 **SN-1.3** Identify the security aspects for enabling systems or services needed to support stakeholder needs and requirements definition.

3175 **SN-1.4** Identify and plan for enabling systems or services needed to support the security aspects of stakeholder needs and requirements definition.

3177 **SN-1.5** Obtain or acquire access to the security aspects of enabling systems or services to be used in stakeholder needs and requirements definition.

3179 **References:** [[ISO 15288](#), Sec. 6.4.2.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-4](#)]; [[ISO 12207](#), Sec. 6.4.1.3.1]; [[ISO 21827](#)]; [INCOSE23].

3181 **SN-2 DEVELOP THE OPERATIONAL AND OTHER LIFE CYCLE CONCEPTS**

3182 **SN-2.1** Define a representative set of scenarios to identify required protection capabilities and security measures that correspond to anticipated operational and other life cycle concepts.

3185 *Note:* The scenarios reflect how the system is intended to behave in the intended operational environments. Scenarios also help to identify security-driven changes to life cycle concepts.

3187 **SN-2.2** Characterize the security aspects of the operational environments and the intended users.

3188

- 3189 *Note 1:* This includes distinguishing what is and is not known about adversity within the operational
3190 environments.
- 3191 *Note 2:* This includes the trust expectations for users to address insider threat concerns. If a user
3192 security aspect cannot be obtained or there is uncertainty about the trust of users, it will
3193 significantly drive design and the operational procedure to complement the design.
- 3194 **SN-2.3** Identify the interactions among entities (e.g., personnel, enabling and other interfacing
3195 systems) and the system and security-relevant factors affecting the interactions.
- 3196 *Note:* The interactions among entities and the system and the factors affecting the interactions
3197 need to be understood to inform engineering efforts. Factors influencing the interactions include
3198 the environment of the system of interest and any system of systems the system of interest
3199 belongs to, as well as the characterization of the entities with which the system interacts.
- 3200 **SN-2.4** Identify the security-relevant constraints on a system solution.
- 3201 **References:** [\[ISO 15288, Sec. 6.4.2.3 c\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
3202 [4\]](#); [\[ISO 18152\]](#); [\[ISO 25060\]](#); [\[ISO 25063\]](#); [\[ISO 29148\]](#); [\[ISO 9241\]](#); [\[ISO 21827\]](#); [\[ISO 25010\]](#);
3203 [\[INCOSE23\]](#).
- 3204 **SN-3** DEFINE STAKEHOLDER NEEDS
- 3205 **SN-3.1** Define the rules capturing authorized and intended interactions, behaviors, and
3206 outcomes.
- 3207 *Note:* The life cycle concepts and their context inform the rules.
- 3208 **SN-3.2** Identify stakeholder assets and asset classes.
- 3209 **SN-3.3** Identify loss concerns for each identified asset and each asset class.
- 3210 **SN-3.4** Prioritize assets based on the adverse consequence of asset loss.
- 3211 **SN-3.5** Determine adversities present in the environment.
- 3212 *Note:* Environments that expose the system to potential adversities can include test, operational,
3213 maintenance, and logistical environments. The adversities need to be avoided when possible and
3214 protected against otherwise.
- 3215 **SN-3.6** Identify stakeholder protection needs.
- 3216 *Note:* Protection needs include their success criteria, such as measures of effectiveness (MOEs).
- 3217 **SN-3.7** Prioritize and down-select the stakeholder protection needs.
- 3218 **SN-3.8** Record the stakeholder protection needs and rationale.
- 3219 **References:** [\[ISO 15288, Sec. 6.4.2.3 b\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
3220 [4\]](#); [\[ISO 25063\]](#); [\[ISO 21827\]](#); [\[ISO 18152\]](#); [\[ISO 25010\]](#); [\[ISO 29148\]](#).
- 3221 **SN-4** TRANSFORM STAKEHOLDER NEEDS INTO STAKEHOLDER REQUIREMENTS
- 3222 **SN-4.1** Identify the security-relevant constraints on a system solution.
- 3223 **SN-4.2** Define stakeholder requirements in a manner consistent with security aspects and
3224 protection needs.
- 3225 **References:** [\[ISO 15288, Sec. 6.4.2.3 d\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
3226 [4\]](#); [\[ISO 25030\]](#); [\[ISO 12207, Sec. 6.4.1.3.2\]](#); [\[ISO 21827\]](#); [\[ISO 15408-1\]](#); [\[ISO 15408-2\]](#); [\[ISO 15408-](#)
3227 [3\]](#); [\[ISO 27034-1\]](#); [\[ISO 29148\]](#).

- 3228 **SN-5** ANALYZE STAKEHOLDER NEEDS AND REQUIREMENTS
- 3229 **SN-5.1** Analyze the set of stakeholder requirements with respect to the protection needs.
- 3230 *Note:* The stakeholder requirements are analyzed to determine if the protection needs are
 3231 accurately and comprehensively expressed in both individual requirements and the set of
 3232 requirements. Potential analysis characteristics include that the requirements: (1) are necessary,
 3233 complete, succinct, and implementation-free, and (2) comprehensively address the protection
 3234 needs.
- 3235 **SN-5.2** Define security-relevant performance and assurance measures that enable the
 3236 assessment of technical achievement and their relative criticality.
- 3237 *Note:* Determining the relative criticality of measures (e.g., measures of effectiveness) captures
 3238 technical achievements and reflects stakeholder priorities.
- 3239 **SN-5.3** Provide feedback to applicable stakeholders from the analyzed requirements to validate
 3240 that their protection needs and expectations have been adequately captured and
 3241 expressed.
- 3242 **SN-5.4** Resolve stakeholder requirements issues related to protection needs.
- 3243 *Note:* Any change to stakeholder requirements signifies a need to reassess protection needs and
 3244 determine if any subsequent changes are required.
- 3245 **References:** [\[ISO 15288, Sec. 6.4.2.3 e\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
 3246 [4\]](#); [\[ISO 15939\]](#); [\[ISO 29148\]](#); [\[INCOSE10\]](#); [\[ISO 12207, Sec. 6.4.1.3.3\]](#); [\[ISO 21827\]](#).
- 3247 **SN-6** MANAGE THE STAKEHOLDER NEEDS AND REQUIREMENTS DEFINITION
- 3248 **SN-6.1** Obtain explicit agreement that the stakeholder requirements satisfactorily address
 3249 protection needs.
- 3250 **SN-6.2** Record asset protection data.
- 3251 **SN-6.3** Maintain traceability between stakeholder protection needs and stakeholder
 3252 requirements.
- 3253 **SN-6.4** Provide the security-relevant artifacts that have been selected for baselines.
- 3254 **References:** [\[ISO 15288, Sec. 6.4.2.3 f\]](#); [\[ISO 12207, Sec. 6.4.1.3.4, Sec. 6.4.1.3.5\]](#); [\[ISO 21827\]](#).

3255 H.3 SYSTEM REQUIREMENTS DEFINITION

3256 The purpose of the *System Requirements Definition* process is to transform the stakeholder, user-
 3257 oriented view of desired capabilities into a technical view of a solution that meets the operational
 3258 needs of the user.

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3260 Security Purpose

- 3261 • Provide an accurate and complete representation of stakeholder protection needs (as
 3262 expressed in the stakeholder requirements) in the system requirements.

3263 Security Outcomes

- 3264 • Security aspects of the system description – including system interfaces, functions, and
 3265 boundaries for a system solution – are defined.

- 3266 • Security-relevant system requirements and security-driven design constraints are defined.
- 3267 • Security performance measures are defined.
- 3268 • Security aspects of the system requirements are analyzed.
- 3269 • Enabling systems or services needed for the security aspects of the system requirements
3270 definition are available.
- 3271 • Traceability of the security aspects of system requirements and associated security-relevant
3272 constraints to stakeholder requirements is established.

3273 **Security Activities and Tasks**

3274 **SR-1 PREPARE FOR SYSTEM REQUIREMENTS DEFINITION**

3275 **SR-1.1** Define the security aspects of the intended behavior and outcomes at the functional
3276 boundary of the system.

3277 *Note:* The intended behavior and security properties to be realized at the functional boundary
3278 consider the characteristics of the capability provided or used, the characteristics of the entities
3279 that interact with the system of interest at the functional boundary, and the associated assurance
3280 needs.

3281 **SR-1.2** Define the security domains of the system and their correlation to the functional
3282 boundaries of the system.

3283 **SR-1.3** Define the security aspects of the system requirements definition strategy.

3284 **SR-1.4** Identify the security aspects for enabling systems or services needed to support system
3285 requirements definition.

3286 **SR-1.5** Identify and plan for enabling systems or services needed to support the security aspects
3287 of system requirements definition.

3288 **SR-1.6** Obtain or acquire access to the security aspects of enabling systems or services to be used
3289 in system requirements definition.

3290 **References:** [[ISO 15288](#), Sec. 6.4.3.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3291 [4](#)]; [[ISO 21827](#)]; [[ISO 29148](#)]; [[INCOS23](#)].

3292 **SR-2 DEFINE SYSTEM REQUIREMENTS**

3293 **SR-2.1** Define each security function that the system is required to perform.

3294 *Note:* Security functions are defined for all system states, modes, and conditions of system
3295 operation and use, including the associated transitions between system states and modes. Security
3296 functions include those oriented to delivery of capability and the ability of the system to execute
3297 while preserving its inherent security characteristics.

3298 **SR-2.2** Define the security aspects of each function that the system is required to perform.

3299 *Note:* This includes the need for other system functions to be non-interfering (Section [D.4.1](#)).

3300 **SR-2.3** Define necessary security-driven implementation constraints.

3301 *Note:* Security-driven constraints on the system are from adversity, uncertainty, and risk,
3302 considering performance objectives and assurance needs. These constraints are informed by
3303 stakeholder requirements, the system architecture definition, and solution limitations across the
3304 life cycle.

- 3305 **SR-2.4** Define necessary constraints on security implementation.
- 3306 *Note:* Constraints on security implementation are to satisfy expectations for non-security
3307 capability and performance.
- 3308 **SR-2.5** Define system security requirements and rationale.
- 3309 *Note:* System security requirements include security capability and functional requirements,
3310 security performance and effectiveness requirements, security assurance requirements, and
3311 implementation constraints (SR-2.3 and SR-2.4 outcomes expressed as requirements).
- 3312 **SR-2.6** Apply security metadata to the system security requirements.
- 3313 *Note:* Metadata enables identification and traceability to support analysis of completeness and
3314 consistency to determine security impact when requirements change.
- 3315 **References:** [ISO 15288, Sec. 6.4.3.3 b)]; [ISO 15026-1]; [ISO 15026-2]; [ISO 15026-3]; [ISO 15026-
3316 4]; [ISO 27036-1]; [ISO 27036-2]; [ISO 27036-3]; [ISO 29148]; [ISO 25030]; [ISO 12207, Sec.
3317 6.4.2.3.1]; [ISO 15408-1]; [ISO 15408-2]; [ISO 15408-3]; [ISO 21827]; [ISO 27034-1]; [INCOSSE23].
- 3318 **SR-3** ANALYZE SYSTEM REQUIREMENTS
- 3319 **SR-3.1** Analyze the complete set of system requirements in consideration of security concerns.
- 3320 *Note:* Requirements are analyzed to ensure that individual and combinations of requirements fully
3321 and properly capture security protection and security-constraint considerations. Rationale is
3322 captured to support analysis conclusions and provides a basis to conclude that the analysis has the
3323 proper perspective and is fully aware of assumptions made. See [Appendix C](#).
- 3324 **SR-3.2** Define security-driven performance and assurance measures that enable the assessment
3325 of technical achievement.
- 3326 *Note:* Each security-driven performance measure (e.g., measure of performance and technical
3327 performance measure) is analyzed to help ensure that system requirements are met and project
3328 cost, schedule, or performance risk associated with any non-compliance is identified.
- 3329 **SR-3.3** Provide feedback from the analyzed system requirements to applicable stakeholders for
3330 security-relevant reviews.
- 3331 **SR-3.4** Resolve system requirements security issues.
- 3332 **References:** [ISO 15288, Sec. 6.4.3.3 c)]; [ISO 15026-1]; [ISO 15026-2]; [ISO 15026-3]; [ISO 15026-
3333 4]; [ISO 15939]; [ISO 29148]; [ISO 12207, Sec. 6.4.2.3.2]; [ISO 21827]; [INCOSSE10]; [INCOSSE23].
- 3334 **SR-4** MANAGE THE SYSTEM REQUIREMENTS
- 3335 **SR-4.1** Obtain explicit agreement that system requirements express protection needs.
- 3336 **SR-4.2** Record key security-relevant system requirement decisions and the rationale.
- 3337 **SR-4.3** Maintain traceability of system requirements to their security-relevant aspects.
- 3338 *Note:* The traceability of system requirements to protection needs; stakeholder requirements;
3339 architecture elements; interface definitions; analysis results; verification methods; and all
3340 allocated, decomposed, and *derived requirements* (in their system, system element, security
3341 protection, and security-driven constraint forms); risk and loss tolerance; and assurance and
3342 trustworthiness objectives is maintained.
- 3343 **SR-4.4** Provide the security-relevant artifacts that have been selected for baselines.
- 3344 **References:** [ISO 15288, Sec. 6.4.3.3 d)]; [ISO 15026-1]; [ISO 15026-2]; [ISO 15026-3]; [ISO 15026-
3345 4]; [ISO 21827]; [ISO 29148]; [INCOSSE23].

3346 H.4 SYSTEM ARCHITECTURE DEFINITION

3347 The purpose of the *System Architecture Definition* process is to generate system architecture
3348 alternatives, to select one or more alternative(s) that frame stakeholder concerns and meet
3349 system requirements, and to express this in a set of consistent views and models.

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3351 Security Purpose

- 3352 • Generate the architectural concepts and properties of system architecture alternatives for
3353 the system protection capability that frame stakeholder protection concerns and meet
3354 system requirements.
- 3355 • Express the architectural concepts and properties in a set of consistent views and models.
- 3356 • Provide the security aspects used to select one or more architecture alternatives.

3357 Security Outcomes

- 3358 • The problem space is refined with respect to key stakeholder security concerns.
- 3359 • Alignment of the architecture with applicable security policies, directives, objectives, and
3360 constraints is achieved.
- 3361 • Concepts, properties, characteristics, behaviors, functions, and constraints that are significant
3362 to security-relevant architecture decisions about the system are allocated to architectural
3363 entities.
- 3364 • Identified stakeholder protection concerns are addressed by the system architecture.
- 3365 • Traceability of the security aspects of system architecture elements to key architecturally
3366 relevant stakeholder and system requirements is established.
- 3367 • Security aspects of architecture views and models of the system are developed.
- 3368 • Security aspects of system elements, their interactions, and their interfaces are defined.

3369 Security Activities and Tasks

3370 AR-1 PREPARE FOR SYSTEM ARCHITECTURE DEFINITION

- 3371 **AR-1.1** Define the security aspects of the system architecture definition strategy.
- 3372 **AR-1.2** Identify the set of existing security-relevant architectures or reference architectures that
3373 may have direct applicability and are to be used as guiding oversight.
- 3374 **AR-1.3** Establish the security aspects of the architecture description framework(s), viewpoints,
3375 and modeling templates to be used throughout the system architecture definition effort.
- 3376 **AR-1.4** Establish security-specific viewpoints and modeling templates to be used throughout the
3377 system architecture definition effort.
- 3378 **AR-1.5** Determine the security evaluation objectives and criteria with respect to the concerns of
3379 key stakeholders.
- 3380 **AR-1.6** Determine security evaluation methods and integrate with evaluation objectives and
3381 criteria.

- 3382 **AR-1.7** Collect and review security evaluation-related information.
- 3383 **AR-1.8** Identify the security aspects for enabling systems or services needed to support system
3384 architecture definition.
- 3385 **AR-1.9** Identify and plan for enabling systems or services needed to support the security aspects
3386 of system architecture definition.
- 3387 **AR-1.10** Obtain or acquire access to the security aspects of enabling systems or services to be used
3388 in system architecture definition.
- 3389 **References:** [[ISO 15288](#), Sec. 6.4.4.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3390 [4](#)]; [[ISO 42010](#)]; [[ISO 42020](#)]; [[ISO 21827](#)].
- 3391 **AR-2** CREATE THE SYSTEM ARCHITECTURE CANDIDATE(S)
- 3392 **AR-2.1** Establish the security aspects of architecture objectives and critical success criteria.
- 3393 **AR-2.2** Synthesize potential trustworthy secure solution(s) in the solution space.
- 3394 **AR-2.3** Characterize aspects of trustworthy secure solutions and the trade space.
- 3395 **AR-2.4** Formulate trustworthy secure candidate architecture(s).
- 3396 **AR-2.5** Capture trustworthy secure architecture concepts and properties.
- 3397 **AR-2.6** Relate the candidate architecture(s) to other architectures and relevant affected entities
3398 to help ensure the consistency of trustworthy secure architecture concepts and
3399 properties.
- 3400 **AR-2.7** Coordinate the secure use of the candidate architecture(s) by intended users.
- 3401 **AR-2.8** Develop the security aspects of the models and views of the candidate architecture(s).
- 3402 *Note:* The following are typical considerations to define the security aspects of the system context
3403 and boundaries in terms of interfaces and interactions between entities:
- 3404 - Definition of the system security context and security boundaries in terms of interfaces and
3405 interactions with external entities
- 3406 - The identification of architectural entities and relationships between entities that address key
3407 stakeholder protection concerns and system security requirements
- 3408 - The allocation of security concepts, security properties, security characteristics, secure
3409 behaviors, security functions, or security constraints that are significant to architecture
3410 decisions of the system to architectural entities
- 3411 - Composition of views from the models in accordance with identified viewpoints to express
3412 how the architecture addresses stakeholder protection concerns and meets stakeholder and
3413 system security requirements
- 3414 - Harmonization of the architecture models and views
- 3415 **AR-2.9** Coordinate secure use of the architecture by intended users.
- 3416 **References:** [[ISO 15288](#), Sec. 6.4.4.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3417 [4](#)]; [[ISO 42010](#)]; [[ISO 42020](#)]; [[ISO 21827](#)].
- 3418 **AR-3** EVALUATE THE SYSTEM ARCHITECTURE CANDIDATE(S)
- 3419 **AR-3.1** Analyze trustworthy secure architecture concepts and properties and assess the value of
3420 the architecture in meeting stakeholder security protection concerns.
- 3421 **AR-3.2** Characterize the candidate architecture(s) based on trustworthy secure analysis results.
- 3422 **AR-3.3** Formulate security-relevant evaluation findings and recommendations.

- 3423 **AR-3.4** Capture and communicate security-relevant evaluation results.
- 3424 **AR-3.5** Relate the architecture to the other architectures and to relevant affected entities to help
3425 ensure consistency in the trustworthy secure system architecture.
- 3426 **References:** [[ISO 15288](#), Sec. 6.4.4.3 c)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3427 4]; [[ISO 42010](#)]; [[ISO 42020](#)].
- 3428 **Related Publications:** [[ISO 21827](#)].
- 3429 **AR-4** MANAGE THE RESULTS OF SYSTEM ARCHITECTURE DEFINITION
- 3430 **AR-4.1** Obtain agreement on the security aspects of the architecture.
- 3431 **AR-4.2** Record key security-relevant system architecture decisions and the rationale.
- 3432 **AR-4.3** Maintain the traceability of the security aspects of the system architecture.
- 3433 **AR-4.4** Provide the security-relevant artifacts that have been selected for baselines.
- 3434 **AR-4.5** Provide support to organizational architecture governance and architecture management
3435 efforts.
- 3436 **References:** [[ISO 15288](#), Sec. 6.4.4.3 f)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3437 4]; [[ISO 42010](#)]; [[ISO 42020](#)]; [[ISO 21827](#)].

3438 **H.5 DESIGN DEFINITION**

- 3439 The purpose of the *Design Definition* process is to provide sufficient data and information about
3440 the system and its elements to realize the solution in accordance with the system requirements
3441 and architecture.
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3443 **Security Purpose**

- 3444 • Provide sufficient detailed data and information about the security aspects of the system and
3445 its elements to realize a trustworthy secure solution in accordance with the system
3446 requirements and architecture.

3447 **Security Outcomes**

- 3448 • Security aspects of design alternatives for system elements are assessed.
- 3449 • System requirements are allocated to address their security aspects.
- 3450 • Security interfaces and security aspects of interfaces between system elements composing
3451 the system are defined.
- 3452 • Security design characteristics of each system element are defined.
- 3453 • Enabling systems or services for the security aspects of design definition are available.
- 3454 • Traceability of security design characteristics is established.

3455 **Security Activities and Tasks**

- 3456 **DE-1** PREPARE FOR DESIGN DEFINITION
- 3457 **DE-1.1** Establish the trustworthy secure aspects of the design definition strategy.

- 3458 **DE-1.2** Determine the security technologies required for each system element composing the
3459 system.
- 3460 **DE-1.3** Identify the security concerns associated with each technology required for each system
3461 element.
- 3462 *Note 1:* This includes the security concerns due to vulnerability within or enabled by the supply
3463 chains involved with acquisition of the technologies.
- 3464 *Note 2:* The concerns may have associated risks to record and track.
- 3465 **DE-1.4** Determine the necessary security and trustworthiness categories of system
3466 characteristics represented in the design.
- 3467 **DE-1.5** Define the principles for trustworthy secure evolution of the system design.
- 3468 **DE-1.6** Identify the security aspects for enabling systems or services needed to support design
3469 definition.
- 3470 **DE-1.7** Identify and plan for enabling systems or services needed to support the security aspects
3471 of design definition.
- 3472 **DE-1.8** Obtain or acquire access to the security aspects of enabling systems or services to be used
3473 in design definition.
- 3474 **References:** [[ISO 15288](#), Sec. 6.4.5.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3475 [4](#)]; [[ISO 21827](#)].
- 3476 **DE-2** CREATE THE SYSTEM DESIGN
- 3477 **DE-2.1** Allocate security requirements to system elements.
- 3478 **DE-2.2** Transform security-relevant architectural entities and relationships into design elements.
- 3479 **DE-2.3** Transform security-relevant architectural characteristics into trustworthy secure design
3480 characteristics.
- 3481 *Note:* The characteristics include or reflect the expected level of assurance.
- 3482 **DE-2.4** Define the necessary trustworthy secure design enablers.
- 3483 **DE-2.5** Examine trustworthy secure design alternatives.
- 3484 **DE-2.6** Refine or define the security aspects of interfaces between system elements and with
3485 external entities.
- 3486 *Note:* The details of the defined interfaces are refined to include the security aspects. These include
3487 security and security-driven constraints applied to interfaces, interactions, and behavior between
3488 components and with external entities such as interfacing systems ([Section 2.1.2](#)), peripheral
3489 devices, and humans interacting with the system.
- 3490 **DE-2.7** Develop the security aspects of design artifacts.
- 3491 *Note:* Design artifacts include general and security-specific specifications, data sheets, databases,
3492 and documents.
- 3493 **DE-2.8** Capture the security aspects of the design.
- 3494 **References:** [[ISO 15288](#), Sec. 6.4.5.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3495 [4](#)]; [[ISO 12207](#), Sec. 6.4.3.3.1, Sec. 7.1.4.3.1]; [[ISO 27034-1](#)]; [[ISO 15408-1](#)]; [[ISO 15408-2](#)]; [[ISO](#)
3496 [15408-3](#)]; [[ISO 21827](#)].

- 3497 **DE-3** EVALUTE THE SYSTEM DESIGN
- 3498 **DE-3.1** Analyze each system design alternative against criteria developed from expected
- 3499 trustworthy secure design properties and characteristics.
- 3500 **DE-3.2** Assess each system design alternative for how well it meets stakeholder protection needs
- 3501 and the security aspects of the system requirements.
- 3502 **DE-3.3** Combine the security analyses and assessments in the overall evaluation to select a
- 3503 preferred design solution.
- 3504 **References:** [[ISO 15288](#), Sec. 6.4.5.3 c)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
- 3505 [4](#)]; [[ISO 12207](#), Sec. 6.4.3.3.2]; [[ISO 27034-1](#)]; [[ISO 21827](#)].
- 3506 **DE-4** MANAGE THE RESULTS OF DESIGN DEFINITION
- 3507 **DE-4.1** Obtain agreement on the security aspects of the design.
- 3508 **DE-4.2** Map the trustworthy secure design characteristics to the system elements.
- 3509 **DE-4.3** Record the trustworthy secure design decisions and the rationale.
- 3510 **DE-4.4** Maintain traceability of the security aspects of the system design.
- 3511 *Note:* Traceability is maintained between the trustworthy secure design characteristics and the
- 3512 security architectural entities, system element requirements, interface definitions, analysis results,
- 3513 and verification and validation methods or techniques.
- 3514 **DE-4.5** Provide the security-relevant artifacts that have been selected for baselines.
- 3515 **References:** [[ISO 15288](#), Sec. 6.4.5.3 d)]; [[ISO 15408-1](#)]; [[ISO 15408-2](#)]; [[ISO 15408-3](#)]; [[ISO 21827](#)].

3516 **H.6 SYSTEM ANALYSIS**

3517 The purpose of the *System Analysis* process is to provide a rigorous basis of information and data

3518 for technical understanding to aid decision-making and technical assessments across the life cycle.

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3520 **Security Purpose**

- 3521 • Produce a rigorous basis of data and information for the technical understanding of security
- 3522 aspects to aid decision-making and technical assessments across the life cycle.

3523 **Security Outcomes**

- 3524 • Security aspects of system analysis needs are identified.
- 3525 • Security aspects of system analysis assumptions and results are validated.
- 3526 • System analysis results provided for all decisions or technical assessment needs include
- 3527 security aspects.
- 3528 • Enabling systems or services for the security aspects of system analysis are available.
- 3529 • Traceability of the security aspects of the system analysis results is established.

3530 Security Activities and Tasks

- 3531 **SA-1** PREPARE FOR SYSTEM ANALYSIS
- 3532 **SA-1.1** Define the security aspects of the system analysis strategy.
- 3533 **SA-1.2** Identify the security aspects of the problem or question that require system analysis.
- 3534 *Note:* The problem or question may not be driven by or have obvious security consideration or
3535 aspects.
- 3536 **SA-1.3** Identify the security-relevant stakeholders of the system analysis.
- 3537 **SA-1.4** Define the scope, objectives, level of fidelity, level of rigor, and level of assurance for the
3538 security aspects of system analysis.
- 3539 **SA-1.5** Select the methods to address the security aspects of system analysis.
- 3540 **SA-1.6** Identify the security aspects for enabling systems or services needed to support system
3541 analysis.
- 3542 **SA-1.7** Identify and plan for enabling systems or services needed to support the security aspects
3543 of system analysis.
- 3544 **SA-1.8** Obtain or acquire access to the security aspects of enabling systems or services to be used
3545 in system analysis.
- 3546 **SA-1.9** Identify and validate security-relevant assumptions.
- 3547 *Note 1:* This includes assumptions derived from the limits of certainty: what is known, what is
3548 insufficiently known, and what is unknown.
- 3549 *Note 2:* Assumptions that cannot be validated represent uncertainty and potential risk.
- 3550 **SA-1.10** Plan for and collect the data and inputs needed for the security aspects of the analysis.
- 3551 **References:** [[ISO 15288](#), Sec. 6.4.6.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3552 [4](#)]; [[ISO 21827](#)].
- 3553 **SA-2** PERFORM SYSTEM ANALYSIS
- 3554 **SA-2.1** Apply the selected analysis methods to perform the required security-relevant aspects of
3555 system analysis.
- 3556 **SA-2.2** Review analysis results for security-relevant quality and validity.
- 3557 *Note:* The results are coordinated with associated and previously completed security-relevant
3558 analyses. Trustworthiness of the results is determined with the review.
- 3559 **SA-2.3** Establish conclusions and recommendations for the security aspects of the system
3560 analysis.
- 3561 *Note:* Subject-matter experts are consulted and participate in the formulation of conclusions and
3562 recommendations.
- 3563 **SA-2.4** Record the results of the security aspects of the system analysis.
- 3564 **References:** [[ISO 15288](#), Sec. 6.4.6.3 b)]; [[ISO 12207](#), Sec. 7.1.2.3.1]; [[ISO 27034-1](#)]; [[ISO 15408-1](#)];
3565 [[ISO 15408-2](#)]; [[ISO 15408-3](#)]; [[ISO 21827](#)].
- 3566 **SA-3** MANAGE SYSTEM ANALYSIS
- 3567 **SA-3.1** Maintain traceability of the security aspects of the system analysis results.

3568 *Note:* Bidirectional traceability captures the relationship between the security aspects of the
 3569 system analysis results, the methods employed, the data used for the analysis, the assumptions,
 3570 and the context that defines the problem or question addressed.

3571 **SA-3.2** Provide the security-relevant artifacts that have been selected for baselines.

3572 *Note:* This includes general artifacts and security-specific artifacts.

3573 **References:** [[ISO 15288](#), Sec. 6.4.6.3 c)]; [[ISO 15408-1](#)]; [[ISO 15408-2](#)]; [[ISO 15408-3](#)]; [[ISO 21827](#)].

3574 H.7 IMPLEMENTATION

3575 The purpose of the *Implementation* process is to realize a specified system element.

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3577 Security Purpose

- 3578 • Transform system security requirements, architecture, and design (including interfaces) into
 3579 actions that create a trustworthy secure system element according to the practices of the
 3580 selected implementation technology using appropriate security and non-security technical
 3581 specialties or disciplines.

3582 Security Outcomes

- 3583 • Security-relevant implementation constraints that influence the requirements, architecture,
 3584 or design are identified.
- 3585 • A trustworthy secure system element is realized.
- 3586 • System elements are securely packaged and stored.
- 3587 • Enabling systems or services for the security aspects of implementation are available.
- 3588 • Traceability of the security aspects of the implemented system elements is established.

3589 Security Activities and Tasks

3590 IP-1 PREPARE FOR IMPLEMENTATION

3591 **IP-1.1** Define the trustworthy secure aspects of the implementation strategy.

3592 *Note 1:* These aspects apply to all system elements that are acquired new, built new, or reused
 3593 (with or without modification). If the strategy is reuse, then the project needs to determine the
 3594 extent, source, suitability, and trustworthiness for the purpose of the reused system elements. The
 3595 implementation strategy includes procedures, fabrication processes, tools and equipment,
 3596 tolerances, and verification uncertainties, which may introduce weaknesses and vulnerabilities. In
 3597 the case of repeated system element implementation (e.g., mass production, replacement system
 3598 elements), the procedures and fabrication processes are defined to achieve consistent and
 3599 repeatable trustworthy producibility.

3600 *Note 2:* The security aspects are informed by the targeted level of assurance, security verification
 3601 uncertainties, and security concerns associated with implementation-related logistics, supply, and
 3602 distribution of components.

3603 **IP-1.2** Identify security-relevant constraints and objectives from implementation in the system
 3604 security requirements, architecture and design characteristics, or implementation
 3605 techniques.

- 3606 **IP-1.3** Identify the security aspects for enabling systems, services, and materials needed to
3607 support implementation.
- 3608 **IP-1.4** Identify and plan for enabling systems, services, and materials needed to support the
3609 security aspects of implementation.
- 3610 **IP-1.5** Obtain or acquire access to the security aspects of enabling systems, services, and
3611 materials to be used in implementation.
- 3612 **References:** [[ISO 15288](#), Sec. 6.4.7.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3613 [4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)].
- 3614 **IP-2** PERFORM IMPLEMENTATION
- 3615 **IP-2.1** Realize or adapt system elements in accordance with the security aspects of the
3616 implementation strategy and implementation procedures, as well as security-relevant
3617 constraints.
- 3618 *Note:* System elements can include:
- 3619 - *Hardware and Software:* Hardware and software elements are either acquired or fabricated.
3620 Custom hardware fabrication and software development enable insight into the details of
3621 design and implementation. These insights often translate to increased assurance.
3622 Acquired hardware and software elements may not provide the opportunity to achieve the
3623 same insight into design and implementation and may offer more functionality and capability
3624 than required. The limits of what can be known about the internals of the elements translate
3625 to a level of uncertainty about vulnerability and to the maximum assurance that can be
3626 achieved.
- 3627 - *Firmware:* Firmware exhibits properties of hardware and software. Firmware elements may
3628 be acquired or may be developed to realize the software aspects and then fabricated to realize
3629 the physical form of the hardware aspects. Firmware elements, therefore, adhere to the
3630 security implementation considerations of both hardware and software elements.
- 3631 - *Services:* System elements implemented by obtaining or leasing services are subject to the
3632 same criteria used to acquire hardware, firmware, and software but must also address security
3633 considerations associated with utilization and support resources.
- 3634 - *Utilization and Support Resources:* The security considerations of services acquired or leased
3635 account for the specific roles and responsibilities of individuals of the service/lease provider
3636 and their ability to account for all of the security requirements and constraints associated with
3637 the delivery, utilization, and sustainment of the service or capability being leased.
- 3638 **IP-2.2** Place the system element in a secure state for future use, as needed.
- 3639 *Note:* This includes protection of the element while stored and in transit, as well as the packaging
3640 and labeling of the element.
- 3641 **IP-2.3** Record objective evidence that system elements meet the system security requirements.
3642 **References:** [[ISO 15288](#), Sec. 6.4.7.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3643 [4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#), Sec. 7.1.5.3.1]; [[ISO 27034-1](#)].
- 3644 **IP-3** MANAGE RESULTS OF IMPLEMENTATION
- 3645 **IP-3.1** Record the security aspects of implementation results and any anomalies encountered.
- 3646 **IP-3.2** Maintain traceability of the security aspects of implemented system elements.

3647 *Note:* Bidirectional traceability of the security aspects of the implemented system elements to the
3648 system security requirements, the security views of the architecture, the security design, and the
3649 security interface requirements is maintained.

3650 **IP-3.3** Provide the security-relevant artifacts that have been selected for baselines.

3651 **References:** [\[ISO 15288, Sec. 6.4.7.3 c\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
3652 [4\]](#).

3653 **H.8 INTEGRATION**

3654 The purpose of the *Integration* process is to synthesize a set of system elements into a realized
3655 system that satisfies the system requirements.

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3657 **Security Purpose**

- 3658 • Synthesize a set of system elements into a realized trustworthy secure system that satisfies
3659 the system requirements.

3660 **Security Outcomes**

- 3661 • Security-relevant integration constraints that influence requirements, architecture, design, or
3662 interfaces and interactions are identified.
- 3663 • Approaches and checkpoints for the correct secure activation of the identified interfaces and
3664 system functions to an initial or established secure state are developed.
- 3665 • Enabling systems or services for the security aspects of integration are available.
- 3666 • A trustworthy secure system composed of implemented system elements is integrated.
- 3667 • Security aspects of system external interfaces (system to external environment) and system
3668 internal interfaces (between implemented system elements) are checked.
- 3669 • Security aspects of integration results and anomalies are identified.
- 3670 • Traceability of the security aspects of the integrated system elements is established.

3671 **Security Activities and Tasks**

3672 **IN-1** PREPARE FOR INTEGRATION

3673 **IN-1.1** Identify and define checkpoints for the correct secure activation and integrity of the
3674 interfaces and the selected system functions as the system elements are synthesized.

3675 **IN-1.2** Define the security aspects of the integration strategy.

3676 *Note:* Integration is performed to achieve trustworthy secure results using aspects such as secure
3677 assembly sequences and checkpoints for the system elements based on established priorities while
3678 minimizing integration time and cost and providing appropriate risk treatments.

3679 **IN-1.3** Identify the security-relevant constraints and objectives from integration to be
3680 incorporated in the system requirements, architecture, or design.

3681 **IN-1.4** Identify the security aspects for enabling systems, services, and materials needed to
3682 support integration.

3683 **IN-1.5** Identify and plan for enabling systems, services, and materials needed to support the
3684 security aspects of integration.

3685 **IN-1.6** Obtain or acquire access to the security aspects of enabling systems, services, and
3686 materials to be used in integration.

3687 **References:** [\[ISO 15288, Sec. 6.4.8.3 a\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
3688 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 24748-6\]](#); [\[ISO 21827\]](#).

3689 **IN-2** PERFORM INTEGRATION

3690 **IN-2.1** Check interface availability and conformance of the interfaces in accordance with the
3691 security aspects of interface definitions and integration schedules.

3692 **IN-2.2** Perform actions to address any security-relevant conformance or availability issues.

3693 **IN-2.3** Securely combine the implemented system elements in accordance with planned
3694 sequences.

3695 **IN-2.4** Securely integrate system element configurations until the complete system is securely
3696 synthesized.

3697 **IN-2.5** Check for the expected results of interfaces, interconnections, selected functions, and
3698 security characteristics.

3699 **References:** [\[ISO 15288, Sec. 6.4.8.3 b\)\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207,](#)
3700 [Sec. 6.4.5.3.2, Sec. 7.1.6.3.1\]](#); [\[ISO 27034-1\]](#); [\[ISO 21827\]](#).

3701 **IN-3** MANAGE RESULTS OF INTEGRATION

3702 **IN-3.1** Record the security aspects of integration results and any anomalies encountered.

3703 *Note:* Anomaly analyses determine corrective actions that possibly affect the protection capability
3704 of the system and the level of assurance that can be obtained.

3705 **IN-3.2** Maintain traceability of the security aspects of integrated system elements.

3706 *Note:* Bidirectional traceability of the security aspects of the integrated system elements to the
3707 system security requirements, security views of the architecture, security design, and security
3708 interface requirements is maintained. Traceability provides evidence that supports assurance and
3709 trustworthiness claims.

3710 **IN-3.3** Provide the security-relevant artifacts that have been selected for baselines.

3711 **References:** [\[ISO 15288, Sec. 6.4.8.3 c\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
3712 [4\]](#); [\[ISO 21827\]](#).

3713 **H.9 VERIFICATION**

3714 The purpose of the *Verification* process is to provide objective evidence that a system, system
3715 element, or artifact fulfills its specified requirements and characteristics.

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3717 **Security Purpose**

- 3718 • Provide objective evidence that a system, system element, or artifact (e.g., system
3719 requirements, architecture description, or design description) fulfills its specified security
3720 requirements and characteristics.

- 3721 • Identify security-relevant anomalies⁹⁴ in any artifact, implemented system elements, or life
 3722 cycle processes, and provide the necessary information to determine the resolution of such
 3723 anomalies.

3724 **Security Outcomes**

- 3725 • Security-relevant verification constraints that influence requirements, architecture, or design
 3726 are identified.
- 3727 • Enabling systems or services for the security aspects of verification are available.
- 3728 • Security aspects of the system, system element, or artifact are verified.
- 3729 • Security-relevant data that provides information for corrective actions is reported.
- 3730 • Objective evidence that the realized system fulfills the security requirements and security
 3731 aspects of the architecture and design is provided.
- 3732 • Security aspects of verification results and anomalies are identified.
- 3733 • Traceability of the security aspects of the verified system elements is established.

3734 **Security Activities and Tasks**

3735 **VE-1 PREPARE FOR VERIFICATION**

- 3736 **VE-1.1** Identify the security aspects within the verification scope and corresponding security
 3737 verification actions.

3738 *Note:* Scope includes system, system elements, information items or artifacts that will be verified
 3739 against applicable requirements, security characteristics, or other security properties. Each
 3740 verification action description includes what will be verified (e.g., actual system, model, mock-up,
 3741 prototype, procedure, plan, or other document), the verification method (including any adversity
 3742 emulation), and the expected result as defined by the success criteria. The security criteria may
 3743 reflect considerations of strength of function/mechanism, resistance to tamper, misuse or abuse,
 3744 penetration resistance, level of assurance, absence of flaws, weaknesses, and the absence of
 3745 unspecified behavior and outcomes.

- 3746 **VE-1.2** Identify the constraints that can potentially limit the feasibility of the security-focused
 3747 verification actions.

3748 *Note:* Constraints include technical feasibility; the availability of qualified personnel and
 3749 verification enablers; the availability of sufficient, relevant, and credible threat data; technology
 3750 employed (including adversity emulation); the size and complexity of the system element or
 3751 artifact; and the cost and time allotted for the verification.

- 3752 **VE-1.3** Select appropriate security verification methods and the associated success criteria for
 3753 each security verification action.

3754 *Note:* The methods and techniques are selected to provide the evidence required to achieve the
 3755 expected results with the desired level of assurance.

- 3756 **VE-1.4** Define the security aspects of the verification strategy.

⁹⁴ Anomalies include behaviors and outcomes observed but not specified.

3757 *Note:* This includes the approach used to incorporate security considerations into all verification
 3758 actions, considering trade-offs between scope, depth, and rigor needed for the desired level of
 3759 assurance and the given constraints.

3760 **VE-1.5** Identify the security-relevant constraints and objectives that result from the security
 3761 aspects of the verification strategy to be incorporated into the system requirements,
 3762 architecture, and design.

3763 **VE-1.6** Identify the security aspects for enabling systems or services needed to support
 3764 verification.

3765 **VE-1.7** Identify and plan for enabling systems or services needed to support the security aspects
 3766 of verification.

3767 **VE-1.8** Obtain or acquire access to the security aspects of enabling systems or services to be used
 3768 in verification.

3769 **References:** [ISO 15288, Sec. 6.4.9.3 a)]; [ISO 15026-1]; [ISO 15026-2]; [ISO 15026-3]; [ISO 15026-
 3770 4] [ISO 29119-1]; [ISO 29119-2]; [ISO 29119-3]; [ISO 29119-4]; [ISO 29148]; [ISO 12207, Sec.
 3771 7.2.4.3.1]; [ISO 21827]; [INCOSE23].

3772 **VE-2** PERFORM VERIFICATION

3773 **VE-2.1** Define the security aspects of the verification procedures, each supporting one or a set of
 3774 verification actions.

3775 *Note:* The procedures identify the security purpose of verification, the success criteria (expected
 3776 results), the verification method to be applied, the necessary enabling systems (e.g., facilities,
 3777 equipment, etc.), and the environmental conditions to perform each verification procedure (e.g.,
 3778 resources, qualified personnel, adversary emulations, etc.).

3779 **VE-2.2** Perform security verification procedures.

3780 **References:** [ISO 15288, Sec. 6.4.9.3 b)]; [ISO 12207, Sec. 6.4.6.3.1, Sec. 7.1.7.3.1, Sec. 7.2.4.3.2];
 3781 [ISO 27034-1]; [ISO 21827]; [INCOSE23].

3782 **VE-3** MANAGE RESULTS OF VERIFICATION

3783 **VE-3.1** Record the security aspects of verification results and any anomalies encountered.

3784 **VE-3.2** Obtain agreement from the approval authority that the system, system element, or
 3785 artifact meets the specified system security requirements.

3786 *Note:* There may be multiple approval authorities with security-relevant responsibilities.

3787 **VE-3.3** Maintain traceability of the security aspects of verification.

3788 *Note:* Bidirectional traceability is maintained between the verified security aspects of system
 3789 elements and the system security requirements, architecture, design, and interface requirements.
 3790 This traceability includes verification results or evidence, such as security-relevant anomalies,
 3791 deviations, or requirement satisfaction.

3792 **VE-3.4** Provide the security-relevant artifacts that have been selected for baselines.

3793 **References:** [ISO 15288, Sec. 6.4.9.3 c)]; [ISO 15026-1]; [ISO 15026-2]; [ISO 15026-3]; [ISO 15026-
 3794 4]; [ISO 27034-1]; [ISO 21827].

3795 **H.10** TRANSITION

3796 The purpose of the *Transition* process is to establish a capability for a system to provide services
 3797 specified by stakeholder requirements in the operational environment.

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3799 **Security Purpose**

- 3800 • Preserve the system’s verified security characteristics during the orderly and planned
- 3801 transition of the system to be operable in the intended environment, which may be a new or
- 3802 changed environment.

3803 **Security Outcomes**

- 3804 • Security-relevant transition constraints that influence system requirements, architecture, or
- 3805 design are identified.
- 3806 • Enabling systems or services for the security aspects of transition are available.
- 3807 • The prepared site satisfies security criteria.
- 3808 • The system is installed in its operational environment and can deliver its specified functions
- 3809 in a trustworthy secure manner.
- 3810 • Operators, users, and other stakeholders necessary to the system utilization and support are
- 3811 trained in the system’s security capabilities, mechanisms, and features.
- 3812 • Security-relevant transition results and anomalies are identified.
- 3813 • The installed system is activated and ready for trustworthy secure operation.
- 3814 • Traceability of the security aspects of the transitioned elements is established.

3815 **Security Activities and Tasks**

3816 **TR-1** PREPARE FOR TRANSITION

3817 **TR-1.1** Define the security aspects of the transition strategy.

3818 *Note:* The transition strategy includes all security-relevant activities, from site delivery and
 3819 installation through deployment and commissioning of the system, as well as all security-relevant
 3820 stakeholders, including human operators. The strategy also includes security roles and
 3821 responsibilities, facilities security considerations, secure shipping and receiving, contingency back
 3822 out plans, security training, security aspects of installation acceptance demonstration tasks, secure
 3823 operational readiness reviews, secure operations commencement, transition security success
 3824 criteria, rights of secure access, data rights, and integration with other plans. System
 3825 commissioning is considered along with the secure decommissioning of the old system when one
 3826 exists. In this case, the Transition and Disposal processes are used concurrently.

3827 **TR-1.2** Identify and define any security-relevant facility or site changes needed.

3828 **TR-1.3** Identify the security-relevant constraints and objectives from the security aspects of
 3829 transition to be incorporated into the system requirements, architecture, and design.

3830 **TR-1.4** Identify and arrange the security training of operators, users, and other stakeholders
 3831 necessary to the system utilization and support.

3832 **TR-1.5** Identify the security aspects for enabling systems or services needed to support
 3833 transition.

3834 **TR-1.6** Identify and plan for enabling systems or services needed to support the security aspects
 3835 of transition.

- 3836 **TR-1.7** Obtain or acquire access to the security aspects of enabling systems or services to be used
3837 in transition.
- 3838 **TR-1.8** Identify security aspects and arrange for the secure shipping and receiving of system
3839 elements and enabling systems.
- 3840 **References:** [[ISO 15288](#), Sec. 6.4.10.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3841 [4](#)].
- 3842 **TR-2** PERFORM TRANSITION
- 3843 **TR-2.1** Prepare the site of operation in accordance with secure installation requirements.
- 3844 **TR-2.2** Securely deliver the system for installation at the correct location and time.
- 3845 *Note:* Secure delivery considers the various forms, means, and methods that accomplish end-to-
3846 end transport of system elements to ensure that system elements are not tampered with during
3847 transport. Items and packages are delivered to the intended recipient and only to the intended
3848 recipient, which may mean shipping with more lead time to account for additional security.
- 3849 **TR-2.3** Install the system in its operational environment in accordance with the secure
3850 installation strategy and establish secure interconnections to its environment.
- 3851 **TR-2.4** Demonstrate trustworthy secure system installation.
- 3852 *Note:* The installation and connection procedures are to be properly verified to provide confidence
3853 that the intended system configuration across all system modes and states is achieved. This
3854 includes completing acceptance tests defined in agreements. These tests include security aspects
3855 associated with physical connections between the system and the environment.
- 3856 **TR-2.5** Provide security training for the operators, users, and other stakeholders necessary for
3857 system utilization and support.
- 3858 **TR-2.6** Perform security activation and checkout of the system.
- 3859 *Note:* Security activation and checkout shows that the system can initialize to its initial secure
3860 operational state for all defined modes of operation and accounts for all interconnections to other
3861 systems across physical, virtual, and wireless interfaces.
- 3862 **TR-2.7** Demonstrate that the installed system can deliver its required functions in a trustworthy
3863 secure manner.
- 3864 **TR-2.8** Demonstrate that the security functions provided by the system and the effects of the
3865 security functions are sustainable by enabling systems.
- 3866 **TR-2.9** Review the security trustworthiness of the system for operational readiness.
- 3867 *Note:* The results of installation, operational, and enabling system checkouts are reviewed to
3868 determine if the security performance and effectiveness are sufficient to justify operational use.
- 3869 **TR-2.10** Commission the system for secure operation.
- 3870 *Note:* This includes providing security support to users and operators at the time of the system
3871 commissioning.
- 3872 **References:** [[ISO 15288](#), Sec. 6.4.10.3 b)]; [[ISO 12207](#), Sec. 6.4.7.3.1, Sec. 6.4.8.3.1, Sec. 6.4.9.3.2].
- 3873 **TR-3** MANAGE RESULTS OF TRANSITION
- 3874 **TR-3.1** Record the security aspects of transition results and any anomalies encountered.
- 3875 **TR-3.2** Record the security aspects of operational incidents/problems and track their resolution.

3876 **TR-3.3** Maintain traceability of the security aspects of transitioned system elements.

3877 *Note:* Bidirectional traceability is maintained between all identified security aspects and the
3878 supporting data associated with the transition strategy and the system requirements, system
3879 architecture, and system design.

3880 **TR-3.4** Provide the security-relevant artifacts that have been selected for baselines.

3881 **References:** [[ISO 15288](#), Sec. 6.4.10.3 c)].

3882 **H.11 VALIDATION**

3883 The purpose of the *Validation* process is to provide objective evidence that the system, when
3884 in use, fulfills its business or mission objectives and stakeholder requirements, achieving its
3885 intended use in its intended operational environment.

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3887 **Security Purpose**

- 3888 • Provide objective evidence that the system, when in use, fulfills the protection needs
3889 associated with its business or mission objectives and the stakeholder requirements,
3890 achieving its intended use in its intended operational environment in a trustworthy secure
3891 manner.

3892 **Security Outcomes**

- 3893 • Security validation criteria are defined.
- 3894 • The availability of security services required by stakeholders is confirmed.
- 3895 • Security-relevant validation constraints that influence system requirements, architecture, or
3896 design are identified.
- 3897 • Security aspects of the system, system element, or artifact are validated.
- 3898 • Enabling systems or services for the security aspects of validation are available.
- 3899 • Security-focused validation results and anomalies are identified.
- 3900 • Objective evidence of the successful validation of security aspects is provided.
- 3901 • Traceability of the validated security aspects of the system, system elements, and artifacts is
3902 established.

3903 **Security Activities and Tasks**

3904 **VA-1** PREPARE FOR VALIDATION

3905 **VA-1.1** Identify the security aspects within the validation scope and corresponding security
3906 validation actions.

3907 *Note:* The security aspects of validation focus on the stakeholders' protection needs, concerns, and
3908 associated stakeholder security requirements. The scope includes system elements, the entire
3909 system, or any artifact that impacts the stakeholder's confidence in the system and the decision
3910 to accept the system as being trustworthy for its intended use.

- 3911 **VA-1.2** Identify the constraints that can potentially limit the feasibility of the security validation
3912 actions.
- 3913 *Note:* Constraints may include the level of assurance and the availability of business or mission
3914 stakeholders to support validation activities; the availability of sufficient, relevant, and credible
3915 threat data; the limits on conducting validation activities in actual operational conditions across all
3916 business and mission modes and associated system states and modes; technology employed; the
3917 size and complexity of the system element or artifact; and the cost and time allotted for validation
3918 activities.
- 3919 **VA-1.3** Select appropriate security validation methods and the associated success criteria for
3920 each security validation action.
- 3921 *Note:* Adversity emulation, including penetration testing and emulating abuse and misuse, is
3922 included.
- 3923 **VA-1.4** Develop the security aspects of the validation strategy.
- 3924 *Note:* The security aspects of the validation strategy address the approach to incorporate security
3925 considerations into all validation actions, considering trade-offs between scope, depth, and rigor
3926 needed for the desired level of assurance and the given constraints.
- 3927 **VA-1.5** Identify the security-relevant system constraints that result from the security aspects of
3928 the validation strategy to be incorporated in the stakeholder protection needs and the
3929 requirements transformed from those needs.
- 3930 *Note:* These constraints are associated with the clarity and accuracy of the expression of needs
3931 and requirements to achieve the desired level of assurance with certainty and repeatability.
- 3932 **VA-1.6** Identify the security aspects for enabling systems or services needed to support
3933 validation.
- 3934 **VA-1.7** Identify and plan for enabling systems or services to support the security aspects of
3935 validation.
- 3936 **VA-1.8** Obtain or acquire access to the security aspects of enabling systems or services to be used
3937 to support validation.
- 3938 **References:** [[ISO 15288](#), Sec. 6.4.11.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
3939 [4](#)]; [[ISO 12207](#), Sec. 7.2.5.3.1]; [[ISO 21827](#)]; [[IEEE 1012](#)]; [[INCOSE23](#)].
- 3940 **VA-2** PERFORM VALIDATION
- 3941 **VA-2.1** Define the security aspects of the validation procedures, each supporting one or a set of
3942 validation actions.
- 3943 *Note:* This includes the identification of the validation methods or techniques to be employed, the
3944 qualifications of individuals conducting the validation, and any specialized equipment that may be
3945 needed, such as what may be required to emulate environmental adversities.
- 3946 **VA-2.2** Perform security validation procedures.
- 3947 *Note 1:* Security-focused validation actions from the execution of validation procedures contribute
3948 to demonstrating that the system is sufficiently trustworthy.
- 3949 *Note 2:* The performance of a security-focused validation action consists of capturing a result from
3950 the execution of the procedure, comparing the obtained result with the expected result, deducing
3951 the degree of compliance of the element, and deciding about the acceptability of compliance if
3952 uncertainty remains.

3953 **References:** [\[ISO 15288, Sec. 6.4.11.3 b\)\]](#); [\[ISO 12207, Sec. 6.4.8.3.1, Sec. 7.2.5.3.2\]](#); [\[ISO 21827\]](#);
3954 [\[IEEE 1012\]](#); [\[INCOSE23\]](#).

3955 **VA-3** MANAGE RESULTS OF VALIDATION

3956 **VA-3.1** Record the security aspects of validation results and any anomalies encountered.

3957 *Note:* The recorded validation results include nonconformance issues, anomalies, or problems that
3958 are potentially security related. These results inform the analyses to determine causes and enable
3959 corrective or improvement actions. Corrective actions may affect the security aspects of the
3960 system architecture definition, design definition, system security requirements and associated
3961 constraints, the level of assurance that can be obtained, and/or the implementation strategy,
3962 including its security aspects.

3963 **VA-3.2** Record the security characteristics of operational incidents and problems and track their
3964 resolution.

3965 *Note:* Incidents that occur in the operational environment of the system are recorded and
3966 subsequently correlated to validation activities and results. This is an important feedback loop for
3967 continuous improvement in the engineering of trustworthy secure systems.

3968 **VA-3.3** Obtain agreement that security validation criteria have been met.

3969 **VA-3.4** Maintain traceability of the security aspects of validation.

3970 *Note:* Bidirectional traceability of the security aspects of validated system elements to stakeholder
3971 protection needs, security concerns, and security requirements is maintained. Traceability
3972 demonstrates completeness of the validation process and provides evidence that supports
3973 assurance and trustworthiness claims.

3974 **VA-3.5** Provide the security-relevant artifacts that have been selected for baselines.

3975 **References:** [\[ISO 15288, Sec. 6.4.11.3 c\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
3976 [4\]](#); [\[ISO 21827\]](#).

3977 **H.12 OPERATION**

3978 The purpose of the *Operation* process is to use the system to deliver its services.

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3980 **Security Purpose**

- 3981 • Inform the security aspects of the requirements and constraints to securely operate the
3982 system and monitor the security aspects of products, services, and operator-system
3983 performance.
- 3984 • Identify and analyze security-relevant operational anomalies.

3985 **Security Outcomes**

- 3986 • Security aspects of operation constraints that influence system requirements, architecture,
3987 or design are identified.
- 3988 • Enabling systems, services, and material for the security aspects of operation are available.
- 3989 • Trained and qualified personnel who can securely operate the system are available.
- 3990 • System products or services that meet stakeholder security requirements are delivered.

- 3991 • Security aspects of system performance during operation are monitored.
- 3992 • Security support to stakeholders is provided.

3993 **Security Activities and Tasks**

3994 **OP-1 PREPARE FOR OPERATION**

3995 **OP-1.1** Define the security aspects of the operation strategy.

3996 *Note 1:* This includes the approach to enable the continuous secure operation and use of the
 3997 system and its security services, as well as the provision of support to operations elements to
 3998 address anomalies identified during operation and use of the system. It also includes:

- 3999 - The capacity, availability, schedule considerations, and security of products or services as they
 4000 are introduced, routinely operated, and disposed (including contingency operations)
- 4001 - The human resources strategy and security qualification requirements for personnel including
 4002 all associated security-relevant training and personnel compliance requirements
- 4003 - The security aspects of release and re-acceptance criteria and schedules of the system to
 4004 permit modifications that sustain the security aspects of existing or enhanced products or
 4005 services
- 4006 - The approach to implement the operational modes in the System Operational Concept,
 4007 including normal and contingency operations
- 4008 - The secure approaches for contingency, degraded, alternative, training, and other modes of
 4009 operation, as well as transition within and between modes while considering resilience in the
 4010 face of adversity
- 4011 - Measures for operation that will provide security insights into performance levels
- 4012 - The approach to achieve situational awareness to determine security-relevant consequences

4013 *Note 2:* This includes planning for securely starting the system, halting the system, shutting down
 4014 the system, operating the system in a training mode, secure implementation of work-around
 4015 procedures to restore operation, performing back-out and restore operations, operating in any
 4016 degraded mode, or alternative modes for special conditions. If needed, the operator performs the
 4017 necessary steps to enter into contingency operations and possibly power down the system.
 4018 Contingency operations are performed in accordance with pre-established procedures for such an
 4019 event.

4020 *Note 3:* There may be a need to plan for certain modes of operation for which security functions
 4021 and services are reduced or eliminated to achieve more critical system functions and services or
 4022 to carry out certain maintenance or periodic testing. Predetermined procedures for entering and
 4023 exiting such modes would be followed.

4024 **OP-1.2** Identify the constraints and objectives that result from the security aspects of operation
 4025 to be incorporated into the system requirements, architecture, and design.

4026 **OP-1.3** Identify the security aspects for enabling systems and services needed to support
 4027 operation.

4028 **OP-1.4** Identify and plan for enabling systems or services needed to support the security aspects
 4029 of operation.

4030 **OP-1.5** Obtain or acquire access to the security aspects of enabling systems or services to be used
 4031 in operation.

4032 **OP-1.6** Identify or define security training and qualification requirements to sustain the workforce
 4033 needed for secure system operation.

- 4034 *Note:* Security qualification and training includes role and function-oriented competency,
4035 proficiency, certification, and other criteria to securely operate and use the system in all of its
4036 defined modes or states.
- 4037 **OP-1.7** Assign trained and qualified personnel needed for secure system operation.
- 4038 **References:** [\[ISO 15288, Sec. 6.4.12.3 a\)\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207,](#)
4039 [Sec. 6.4.9.3.1\]](#); [\[ISO 21827\]](#); [\[ISO 16350\]](#).
- 4040 **OP-2** PERFORM OPERATION
- 4041 **OP-2.1** Securely use the system in its intended operational environment.
- 4042 **OP-2.2** Apply materials and other resources as required to securely operate the system and
4043 sustain its product and service capabilities.
- 4044 *Note 1:* Materials and resources are provided by logistical actions. Logistics is discussed as part of
4045 the maintenance process.
- 4046 *Note 2:* Operational personnel may perform system modification and support activities, such as
4047 software updates.
- 4048 **OP-2.3** Monitor system operations for deviations from intended behavior and outcomes.
- 4049 *Note:* This includes managing adherence to the operation strategy and operational procedures (the
4050 operations conducted by personnel) and monitoring that the system is operated in a secure
4051 manner and compliant with regulations, procedures, and directives. This also includes monitoring
4052 for anomalies that may not be directly observable as system behavior and may or may not be
4053 obviously security relevant.
- 4054 **OP-2.4** Use the measures defined in the strategy and analyze them to confirm that system
4055 security performance is within acceptable parameters.
- 4056 *Note:* System monitoring includes reviewing whether the performance is within established
4057 security-relevant thresholds, periodic instrument readings are acceptable, and service and
4058 response times are acceptable. Operator feedback and suggestions are useful input for improving
4059 the security aspects of system operational performance.
- 4060 **OP-2.5** Identify and record when system security or service performance is not within acceptable
4061 parameters.
- 4062 **References:** [\[ISO 15288, Sec. 6.4.12.3 b\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4063 [4\]](#); [\[ISO 12207, Sec. 6.4.9.3.3\]](#); [\[ISO 21827\]](#).
- 4064 **OP-3** MANAGE RESULTS OF OPERATION
- 4065 **OP-3.1** Record the results of secure operations and any anomalies encountered.
- 4066 *Note:* Anomalies include those associated with the operation strategy, the operation of enabling
4067 systems, the execution of the operation, and incorrect system definition, all of which may be due
4068 to security issues or may result in security issues.
- 4069 **OP-3.2** Record the security aspects of operational incidents and problems and track their
4070 resolution.
- 4071 **OP-3.3** Maintain traceability of the security aspects of the operation elements.
- 4072 **OP-3.4** Provide the security-relevant artifacts that have been selected for baselines.
- 4073 **References:** [\[ISO 15288, Sec. 6.4.12.3 c\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4074 [4\]](#); [\[ISO 21827\]](#).

4075 **OP-4** SUPPORT STAKEHOLDERS4076 **OP-4.1** Provide security assistance and consultation to stakeholders as requested.

4077 *Note:* Assistance and consultation includes the provision or recommendation of sources for
 4078 security-relevant training, security aspects of documentation, vulnerability resolution, security
 4079 reporting (including cyber security), and other security-relevant support services that enable
 4080 effective and secure use of the product or service.

4081 **OP-4.2** Record and monitor requests and subsequent actions for security support.4082 **OP-4.3** Determine the degree to which the security aspects of delivered products and services
 4083 satisfy the needs of stakeholders.4084 **References:** [[ISO 15288](#), Sec. 6.4.12.3 d)]; [[ISO 12207](#), Sec. 6.4.9.3.4, Sec. 6.4.9.3.5]; [[ISO 21827](#)].4085 **H.13 MAINTENANCE**4086 The purpose of the *Maintenance* process is to sustain the capability of the system to provide a
 4087 product or service.4088 [[ISO 15288](#)] Reprinted with permission from IEEE, Copyright IEEE 2015, All rights reserved.4089 **Security Purpose**

- 4090 • Establish the security aspects of requirements and constraints to securely sustain the
 4091 capability of the system to provide a product or service.

4092 *Note:* Secure sustainment includes all maintenance and logistics activities for the packaging,
 4093 handling, storage, and transportation of replacement system elements.

4094 **Security Outcomes**

- 4095 • Security aspects of maintenance and logistics constraints that influence system requirements,
 4096 architecture, or design are identified.
- 4097 • Enabling systems or services needed for the security aspects of system maintenance and
 4098 logistics are available.
- 4099 • Replacement, repaired, or modified system elements are securely made available.
- 4100 • The need for required security-relevant maintenance and logistics actions is reported.
- 4101 • Security-relevant failures and life cycle data, including associated costs, are determined.

4102 **Security Activities and Tasks**4103 **MA-1** PREPARE FOR MAINTENANCE AND LOGISTICS4104 **MA-1.1** Define the security aspects of the maintenance strategy.

4105 *Note:* The maintenance strategy seeks to preserve the secure capability and performance of the
 4106 delivered system. The security aspects of the maintenance strategy generally include:

- 4107 - The secure transition of the system and system elements into a secure maintenance mode or
 4108 state, as well as the secure transition back to operation.
- 4109 - An approach to ensure that sourced materials and system elements that do not meet specified
 4110 quality, origin, and functionality (e.g., counterfeit) are not introduced into the system.

4111 - The skill and personnel levels required to effect repairs, replacements, and restoration
 4112 accounting for maintenance staff requirements and any relevant legislation regarding health,
 4113 safety, security, and the environment.

4114 - Maintenance measures that provide insight into the security aspects of performance levels,
 4115 effectiveness, and efficiency.

4116 **MA-1.2** Define the security aspects of the logistics strategy.

4117 *Note:* The logistics strategy defines the specific security considerations required to perform
 4118 logistics throughout the life cycle. This generally includes:

4119 - Acquisition logistics to help ensure that security implications are considered early during the
 4120 development stage.

4121 - Operations logistics to help ensure that the necessary material and resources, in the right
 4122 quantity and quality, are securely made available at the right place and time; considerations
 4123 for securely making material and resources available include identification and marking,
 4124 packaging, distribution, handling, and provisioning.

4125 - The security criteria for storage locations and conditions, as well as the number and type of
 4126 replacement system security-specific elements, their anticipated replacement rate, and their
 4127 storage life and renewal frequency.

4128 **MA-1.3** Identify the security-relevant constraints and objectives that result from the security
 4129 aspects of maintenance and logistics to be incorporated into the system requirements,
 4130 architecture, and design.

4131 **MA-1.4** Identify trade-offs such that the security aspects of the system and associated
 4132 maintenance and logistics actions result in a solution that is trustworthy, secure,
 4133 affordable, operable, supportable, and sustainable.

4134 *Note:* The cost of secure maintenance and logistics should be considered within the lifetime cost
 4135 of the system.

4136 **MA-1.5** Identify the security aspects for enabling systems, products, and services needed to
 4137 support maintenance and logistics.

4138 **MA-1.6** Identify and plan for enabling systems, products, and services needed to support the
 4139 security aspects of maintenance and logistics.

4140 **MA-1.7** Obtain or acquire access to the security aspects of enabling systems, products, and
 4141 services to be used in maintenance and logistics.

4142 **References:** [[ISO 15288](#), Sec. 6.4.13.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#), Sec. 6.4.10.3.1]; [[ISO 21827](#)]; [[ISO 14764](#)]; [[ISO 16350](#)].

4145 **MA-2** PERFORM MAINTENANCE

4146 *Note:* The need to perform maintenance may be driven by the need to address explicit security issues,
 4147 incidents, or failures. All maintenance actions must be accomplished in a secure manner with the
 4148 understanding that some actions may have a direct effect on the security posture of the system.

4149 **MA-2.1** Monitor and review stakeholder requirements and incident and problem reports to
 4150 identify security-relevant corrective, preventive, adaptive, additive, or perfective
 4151 maintenance needs.

4152 *Note:* Security-relevant maintenance needs include those needs that are direct (e.g., an identified
 4153 security incident) or indirect (e.g., considerations to securely address a maintenance need).

- 4154 **MA-2.2** Record the security aspects of maintenance incidents and problems and track their secure
4155 resolution.
- 4156 **MA-2.3** Analyze the impact of changes introduced by maintenance actions on the security aspects
4157 of the system and system elements.
- 4158 **MA-2.4** Upon encountering faults that cause a system failure, securely restore the system to
4159 secure operational status.
- 4160 *Note:* Secure restoration means that the maintenance action itself does not worsen the secure
4161 state or condition of the system.
- 4162 **MA-2.5** Securely correct anomalies (e.g., defects, errors, and faults), and replace or upgrade
4163 system elements.
- 4164 **MA-2.6** Perform preventive maintenance by securely replacing or servicing system elements prior
4165 to failure.
- 4166 **MA-2.7** Securely perform adaptive, additive, or perfective maintenance as required.
- 4167 **References:** [[ISO 15288](#), Sec. 6.4.13.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
4168 [4](#)]; [[ISO 12207](#), Sec. 6.4.10.3.2, Sec. 6.4.10.3.3, Sec. 6.4.10.3.4, Sec. 6.4.10.3.5]; [[ISO 21827](#)]; [[ISO](#)
4169 [14764](#)]; [[ISO 16350](#)].
- 4170 **MA-3** PERFORM LOGISTICS SUPPORT
- 4171 **MA-3.1** Perform the security aspects of acquisition logistics.
- 4172 **MA-3.2** Perform the security aspects of operational logistics.
- 4173 **MA-3.3** Implement mechanisms for the secure logistics needed during the life cycle.
- 4174 *Note 1:* These mechanisms enable secure packaging, handling, storage, and transportation.
- 4175 *Note 2:* These mechanisms aid in the prevention and detection of counterfeits, tampering,
4176 substitution, and redirection.
- 4177 **MA-3.4** Confirm that the security aspects of logistics actions are implemented.
- 4178 *Note:* The security aspects of logistics actions satisfy both logistics protection concerns and the
4179 need to meet repair rates, replenishment levels, and planned schedules.
- 4180 **References:** [[ISO 15288](#), Sec. 6.4.13.3 c)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
4181 [4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 21827](#)]; [[ISO 14764](#)]; [[ISO 16350](#)].
- 4182 **MA-4** MANAGE RESULTS OF MAINTENANCE AND LOGISTICS
- 4183 **MA-4.1** Record the security aspects of maintenance and logistics results and any anomalies
4184 encountered.
- 4185 **MA-4.2** Record maintenance and logistics security incidents and problems and track their secure
4186 resolution.
- 4187 **MA-4.3** Identify and record the security-relevant trends of incidents, problems, and maintenance
4188 and logistics actions.
- 4189 **MA-4.4** Maintain traceability of the security aspects of maintenance and logistics.
- 4190 **MA-4.5** Provide security-relevant artifacts that have been selected for baselines.
- 4191 **MA-4.6** Monitor customer satisfaction with the security aspects of the system, maintenance, and
4192 logistics.

4193 **References:** [\[ISO 15288, Sec. 6.4.13.3 d\)\]](#); [\[ISO 10004\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-](#)
4194 [3\]](#); [\[ISO 15026-4\]](#); [\[ISO 21827\]](#); [\[ISO 14764\]](#); [\[ISO 16350\]](#).

4195 **H.14 DISPOSAL**

4196 The purpose of the *Disposal* process is to end the existence of a system element or system for
4197 a specified intended use, appropriately handle replaced or retired elements and any waste
4198 products, and properly attend to identified critical disposal needs (e.g., per an agreement, per
4199 organizational policy, or for environmental, legal, safety, or security aspects).

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4201 **Security Purpose**

- 4202 • Provide the aspects needed to securely end the existence of a system element or system for
4203 a specified use and securely preserve or destroy the associated data and information.

4204 **Security Outcomes**

- 4205 • Secure disposal constraints that influence system requirements, architecture, design, and
4206 implementation are identified.
- 4207 • Enabling systems or services for the security aspects of disposal are available.
- 4208 • System elements are destroyed, stored, reclaimed, or recycled in accordance with safety and
4209 security requirements.
- 4210 • The environment is securely returned to its original secure or an agreed-upon secure state.
- 4211 • Records of the security aspects of disposal actions and analysis are available.

4212 **Security Activities and Tasks**

4213 **DS-1 PREPARE FOR DISPOSAL**

4214 **DS-1.1 Define the security aspects of the disposal strategy.**

4215 *Note:* The security aspects address securely terminating system functions and services,
4216 transforming the system and environment into an acceptable secure state, addressing security
4217 concerns, and transitioning the system and system elements for future use. The disposal strategy
4218 determines approaches, schedules, resources, specific considerations of secure disposal, and the
4219 effectiveness and completeness of secure disposal and disposition actions.

- 4220 - *Permanent termination of system functions and delivery of services:* The security aspects
4221 address the removal, decommissioning, or destruction of the associated system elements
4222 while preserving the security posture of any remaining functions and services.
- 4223 - *Transform the system and environment into an acceptable state:* The security aspects address
4224 any alterations made to the system, its operation, and the environment to ensure that
4225 stakeholder protection needs and concerns are addressed by the remaining portions of the
4226 system and the functions and services it provides. When the entire system is removed, the
4227 security aspects address alterations to the environment to return it to its original or agreed-
4228 upon secure state.
- 4229 - *Address security concerns for material, data, and information:* The security aspects address
4230 protections for sensitive components, technology, data, and information removed from
4231 service, dismantled, stored, prepared for reuse, or destroyed. The aspects may include the
4232 duration of protection level/state, downgrades, releasability, and criteria that define

- 4233 authorized access and use during the storage period. The protection needs for disposal are
 4234 defined by stakeholders and agreements and may be subject to regulatory requirements,
 4235 expectations, and constraints.
- 4236 - *Transition the system and system elements for future use:* The security aspects address the
 4237 transition of the system or system elements for future use in a modified or adapted form,
 4238 including legacy migration and return to service. The security aspects may include constraints,
 4239 limitations, or other criteria to enable recovery of the systems' functions and services within
 4240 a specified time or to ensure security-oriented interoperability with future enabling systems
 4241 and other systems. These aspects may also include periodic inspections to account for the
 4242 security posture and return-to-service readiness of stored system elements, associated data
 4243 and information, and all supporting operations and sustainment support materials. The
 4244 security aspects apply to all system functions and services and are not limited to only security
 4245 protection-oriented functions and services of the system.
- 4246 **DS-1.2** Identify the security-relevant constraints and objectives of disposal on the system
 4247 requirements, architecture and design characteristics, and implementation techniques.
- 4248 **DS-1.3** Identify the security aspects for enabling systems or services needed to support disposal.
- 4249 **DS-1.4** Identify and plan for enabling systems or services needed to support the security aspects
 4250 of disposal.
- 4251 **DS-1.5** Obtain or acquire access to the security aspects of enabling systems or services to be used
 4252 in disposal.
- 4253 **DS-1.6** Specify security criteria for containment facilities, storage locations, inspection, and
 4254 storage periods (if the system is to be stored).
- 4255 **DS-1.7** Define the security aspects of preventive methods to preclude disposed elements and
 4256 materials that should not be repurposed, reclaimed, or reused from re-entering the
 4257 supply chain.
- 4258 **References:** [[ISO 15288](#), Sec. 6.4.14.3 a)]; [[ISO 12207](#), Sec. 6.4.11.3.1]; [[ISO 21827](#)].
- 4259 **DS-2** PERFORM DISPOSAL
- 4260 **DS-2.1** Securely deactivate the system or system element to prepare it for secure removal from
 4261 operation.
- 4262 *Note:* Deactivation is accomplished to preserve the security posture of the system.
- 4263 **DS-2.2** Securely remove the system, system element, or waste material from use or production
 4264 for appropriate secure disposition and action.
- 4265 **DS-2.3** Securely withdraw impacted operating staff from the system or system element and
 4266 record relevant secure operation knowledge.
- 4267 **DS-2.4** Securely disassemble the system or system element into manageable elements to
 4268 facilitate its secure removal for reuse, recycling, reconditioning, overhaul, archiving, or
 4269 destruction.
- 4270 *Note:* Secure disassembly preserves the security characteristics of the system elements that are
 4271 not removed.
- 4272 **DS-2.5** Securely handle system elements and their parts that are not intended for reuse in a
 4273 manner that will help ensure that they do not get back into the supply chain.
- 4274 **DS-2.6** Conduct secure sanitization and destruction of the system elements and life cycle
 4275 artifacts.

- 4276 *Note 1:* Governing agreements, laws, and regulations determine the appropriate means to sanitize
4277 and destroy data, information, and systems elements that contain data and information, as well
4278 as retention periods before sanitization and destruction can occur.
- 4279 *Note 2:* Sanitization and destruction techniques include clearing, purging, cryptographic erase,
4280 physical modification, and physical destruction.
- 4281 *Note 3:* Sanitization and destruction techniques and methods may be specific to data, information,
4282 and system element type.
- 4283 **References:** [[ISO 15288](#), Sec. 6.4.14.3 b)]; [[ISO 12207](#), Sec. 6.4.11.3.2]; [[ISO 21827](#)].
- 4284 **DS-3** FINALIZE THE DISPOSAL
- 4285 **DS-3.1** Confirm that no detrimental security factors exist following disposal.
- 4286 **DS-3.2** Return the environment to its original secure state or to a secure state specified by
4287 agreement.
- 4288 **DS-3.3** Securely archive data and information gathered through the lifetime of the system to
4289 permit audits and reviews in the event of long-term hazards to health, safety, security,
4290 and the environment and to permit future system creators and users to securely build a
4291 knowledge base from past experiences.
- 4292 **DS-3.4** Provide security-relevant artifacts that have been selected for baselines.
- 4293 **References:** [[ISO 15288](#), Sec. 6.4.14.3 c)]; [[ISO 21827](#)].

4294 **APPENDIX I**4295 **TECHNICAL MANAGEMENT PROCESSES**

4296 SECURITY-RELEVANT CONSIDERATIONS AND CONTRIBUTIONS

4297 This appendix contains the *Technical Management Processes* from [\[ISO 15288\]](#) with security-
4298 relevant considerations and contributions for the purpose, outcomes, activities, and tasks. The
4299 Technical Management Processes include:

- 4300 • Project Planning
- 4301 • Project Assessment and Control
- 4302 • Decision Management
- 4303 • Risk Management
- 4304 • Configuration Management
- 4305 • Information Management
- 4306 • Measurement
- 4307 • Quality Assurance

4308 **I.1 PROJECT PLANNING**

4309 The purpose of the *Project Planning* process is to produce and coordinate effective and workable
4310 plans.

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4312 **Security Purpose**

- 4313 • Determine and coordinate the security aspects of effective and workable plans.

4314 **Security Outcomes**

- 4315 • Security objectives, security-specific plans, and security aspects of other plans are defined.
- 4316 • Security-relevant roles, responsibilities, accountabilities, and authorities within the project
4317 are defined.
- 4318 • Security aspects of performance and achievement criteria are defined.
- 4319 • The resources and services necessary to achieve the security objectives are committed.
- 4320 • Plans for the execution of the security aspects of the project are activated.

4321 **Security Activities and Tasks**4322 **PL-1** DEFINE THE PROJECT

4323 **PL-1.1** Identify the security aspects of project objectives and constraints.

4324 *Note:* Objectives and constraints include strategic security, assurance, and trustworthiness goals,
4325 as well as loss thresholds and regulatory concerns. Each security-relevant objective is identified

- 4326 with a level of detail that permits selecting, tailoring, and implementing the appropriate processes
4327 and activities.
- 4328 **PL-1.2** Define the security aspects of the project scope as established in agreements.
- 4329 *Note:* This includes the relevant activities required to satisfy security aspects of decision criteria
4330 and complete the project successfully.
- 4331 **PL-1.3** Define and maintain security views of the project life cycle model that are comprised of
4332 stages using the defined life cycle models of the organization.
- 4333 **PL-1.4** Establish appropriate security aspects of the work breakdown structure.
- 4334 *Note:* Each security-relevant element of the work breakdown structure is described with a level of
4335 detail that is consistent with identified security risks and required visibility.
- 4336 **PL-1.5** Define and maintain the security aspects of processes that will be applied on the project.
- 4337 *Note:* Entry criteria, inputs, process sequence constraints, and Measures of Effectiveness and/or
4338 Measures of Performance attributes may all have security aspects.
- 4339 **References:** [\[ISO 15288, Sec. 6.3.1.3 a\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4340 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 24748-1\]](#); [\[ISO 12207, Sec. 6.3.1.3.1\]](#); [\[ISO](#)
4341 [21827\]](#); [\[INCOSE05\]](#).
- 4342 **PL-2** PLAN PROJECT AND TECHNICAL MANAGEMENT
- 4343 **PL-2.1** Define and maintain the security aspects of a project schedule based on management and
4344 technical objectives and work estimates.
- 4345 *Note:* This includes security aspects that impact the definition of the duration, relationship,
4346 dependencies, and sequence of activities; achievement milestones; resources employed; reviews
4347 (including security subject matter expertise employed); and schedule reserves for security risk
4348 management necessary to achieve timely completion of the project.
- 4349 **PL-2.2** Define the security aspects of achievement criteria for the life cycle decision gates,
4350 delivery dates, and major dependencies on external inputs and outputs.
- 4351 *Note:* This includes criteria defined by regulatory, certification, evaluation, and other approval
4352 authorities.
- 4353 **PL-2.3** Define the security aspects of project performance criteria.
- 4354 **PL-2.4** Define the security-relevant project costs and plan the budget.
- 4355 **PL-2.5** Define the security-relevant roles, responsibilities, accountabilities, and authorities.
- 4356 *Note:* This includes defining the project organization, staff acquisitions, and development of staff
4357 security-relevant skills. Authorities include, as appropriate, the legally responsible roles and
4358 individuals. These security-relevant authorities include security design authorization, security test
4359 and operation authorization, and the award of certification, accreditation, or authorization.
- 4360 **PL-2.6** Define the security aspects of infrastructure and services required.
- 4361 *Note:* This includes defining the capacity needed for security infrastructure and services, its
4362 availability, and its allocation to project tasks. Security infrastructure includes facilities (e.g.,
4363 Sensitive Compartmented Information Facilities [SCIFs] and isolated networks), specific strength
4364 of mechanism mediated access, cross-domain solutions, tools, communication, and information
4365 technology assets.
- 4366 **PL-2.7** Plan the security aspects of acquiring materials and enabling system services supplied
4367 from outside of the project.

4368 **PL-2.8** Generate and communicate a plan for the security aspects of project and technical
 4369 management and execution, including security reviews that address security
 4370 considerations.

4371 *Note:* Security considerations and the planning to address those considerations are captured in a
 4372 Systems Engineering Management Plan, Software Engineering Management Plans, and similar
 4373 plans.

4374 **References:** [[ISO 15288](#), Sec. 6.3.1.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
 4375 [4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#), Sec. 6.3.1.3.2]; [[ISO 21827](#)].

4376 **PL-3** ACTIVATE THE PROJECT

4377 **PL-3.1** Obtain authorization for the security aspects of the project.

4378 **PL-3.2** Submit requests and obtain commitments for the necessary resources to perform the
 4379 security aspects of the project.

4380 **PL-3.3** Implement the security aspects of project plans.

4381 **References:** [[ISO 15288](#), Sec. 6.3.1.3 c)]; [[ISO 12207](#), Sec. 6.3.1.3.3]; [[ISO 21827](#)].

4382 **I.2 PROJECT ASSESSMENT AND CONTROL**

4383 The purpose of the *Project Assessment and Control* process is to assess if the plans are aligned
 4384 and feasible; determine the status of the project, technical, and process performance; and direct
 4385 execution to help ensure that the performance is within projected budgets according to plans and
 4386 schedules to satisfy technical objectives.

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4388 **Security Purpose**

- 4389 • Assess if the security aspects of plans and security plans are aligned and feasible.
- 4390 • Determine the state of the project, technical, and process security performance.
- 4391 • Direct execution to help ensure that the security performance is within projected budgets
 4392 according to plans and schedules to satisfy security and other technical objectives.

4393 **Security Outcomes**

- 4394 • Security aspects of performance measures or assessment results are available.
- 4395 • Security-relevant roles, responsibilities, accountabilities, authorities, and resources are
 4396 assessed for adequacy.
- 4397 • Security aspects of technical progress reviews are performed.
- 4398 • Deviations in the security aspects of project performance from plans are analyzed.
- 4399 • Affected stakeholders are informed of the security aspects of project status.
- 4400 • Corrective action is directed when project performance or achievement is not meeting
 4401 security-relevant targets.
- 4402 • Security aspects of project replanning are initiated, as necessary.

- 4403 • Security aspects of project action to progress (or not) from one scheduled milestone or event
4404 to the next is authorized.

4405 Security Activities and Tasks

4406 PA-1 PLAN FOR PROJECT ASSESSMENT AND CONTROL

4407 PA-1.1 Define the security aspects of the project assessment and control strategy.

4408 *Note 1:* This includes the planned security assessment methods and time frames as well as
4409 necessary security management and technical reviews.

4410 *Note 2:* Expectations of regulatory, certification, and authorization entities inform the security
4411 aspects of the project assessment and control strategy.

4412 **References:** [\[ISO 15288, Sec. 6.3.2.3 a\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4413 [4\]](#); [\[ISO 21827\]](#).

4414 PA-2 ASSESS THE PROJECT

4415 PA-2.1 Assess the alignment of the security aspects of project objectives and plans with the
4416 project context.

4417 PA-2.2 Assess the security aspects of the management and technical plans against objectives to
4418 determine adequacy and feasibility.

4419 PA-2.3 Assess the security aspects of the project and technical status against appropriate plans
4420 to determine actual and projected cost, schedule, and performance variances.

4421 PA-2.4 Assess the adequacy of the security-relevant roles, responsibilities, accountabilities, and
4422 authorities.

4423 *Note:* This includes assessment of the adequacy of personnel competencies to perform project
4424 roles and accomplish project tasks.

4425 PA-2.5 Assess the security aspects of resource adequacy and availability.

4426 PA-2.6 Assess progress using measured security achievement and security aspects of milestone
4427 completion.

4428 *Note:* This includes collecting and evaluating security-relevant data for labor, material, service
4429 costs, and technical performance, as well as other technical data about security objectives. These
4430 are compared against security-relevant measures of achievement, including conducting
4431 effectiveness assessments to determine the adequacy of the evolving system to security
4432 requirements.

4433 PA-2.7 Conduct required management and technical reviews, audits, and inspections relevant to
4434 the security aspects of the project.

4435 *Note:* The reviews, audits, and inspections are formal or informal and are conducted to determine
4436 the security-relevant readiness to proceed to the next stage or milestone, to help ensure project
4437 and technical security objectives are being met, or to solicit feedback from stakeholders with
4438 security concerns.

4439 PA-2.8 Monitor the security aspects of critical processes and new technologies.

4440 *Note:* This includes identifying and evaluating technology maturity from a security perspective, as
4441 well as the feasibility of technology insertion for satisfying security objectives.

4442 PA-2.9 Make recommendations based on security measurement results and other security-
4443 relevant project information.

4444 *Note:* Measurement results are analyzed to identify security-relevant deviations, variations, or
 4445 undesirable trends from planned values and to make security-relevant recommendations for
 4446 corrective, preventive, adaptive, additive, or perfective actions.

4447 **PA-2.10** Record and provide security status and security findings from the assessment tasks.

4448 **PA-2.11** Monitor the security aspects of process execution within the project.

4449 *Note:* This includes an analysis of process security measures and a review of security-relevant
 4450 trends with respect to project objectives.

4451 **References:** [\[ISO 15288, Sec. 6.3.2.3 b\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
 4452 [4\]](#); [\[ISO 12207, Sec. 6.3.2.3.1, Sec. 6.3.2.3.3\]](#); [\[ISO 21827\]](#).

4453 **PA-3** CONTROL THE PROJECT

4454 **PA-3.1** Initiate the actions needed to address identified security issues.

4455 **PA-3.2** Initiate the necessary security aspects of project replanning.

4456 *Note:* Replanning is initiated when the security aspects of project objectives or constraints have
 4457 changed or when security-relevant planning assumptions are shown to be invalid.

4458 **PA-3.3** Initiate necessary change actions when there is a contractual change to cost, time, or
 4459 quality due to the security impact of an acquirer or supplier request.

4460 *Note:* The security impact is not necessarily obvious in the case where the request is not security-
 4461 driven or security-oriented.

4462 **PA-3.4** Recommend that the project proceed toward the next milestone or event, if justified,
 4463 based on the achievement of security-relevant milestones or event criteria.

4464 **References:** [\[ISO 15288, Sec. 6.3.2.3 c\)\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207\]](#)
 4465 [12207, Sec. 6.3.2.3.2, Sec. 6.3.2.3.4\]](#); [\[ISO 21827\]](#).

4466 **I.3 DECISION MANAGEMENT**

4467 The purpose of the *Decision Management* process is to provide a structured, analytical framework
 4468 for objectively identifying, characterizing, and evaluating a set of alternatives for a decision at any
 4469 point in the life cycle and select the most beneficial course of action.

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4471 **Security Purpose**

- 4472 • Identify, analyze, characterize, and evaluate the security aspects of alternatives for a decision.
- 4473 • Recommend the most beneficial course of security-informed action.

4474 **Security Outcomes**

- 4475 • Security aspects of decisions requiring alternative analysis are identified.
- 4476 • Security aspects of alternative courses of action are identified and evaluated.
- 4477 • A preferred security-informed course of action is selected.
- 4478 • Security aspects of a resolution, the decision rationale, and the assumptions are identified.

4479 Security Activities and Tasks**4480 DM-1 PREPARE FOR DECISIONS**

4481 **DM-1.1** Define the security aspects of the decision management strategy.

4482 *Note:* A decision management strategy includes the identification of security-relevant roles,
4483 responsibilities, accountabilities, and authorities. It includes the identification of security-specific
4484 decision categories and a prioritization scheme. Security-relevant decisions often arise as a result
4485 of a security effectiveness assessment, a technical trade-off, a security-relevant problem needing
4486 to be solved, an action needed as a response to security risk that exceeds the acceptable threshold,
4487 or a new opportunity.

4488 **DM-1.2** Identify the security aspects of the circumstances and need for a decision.

4489 **DM-1.3** Identify stakeholders with relevant security expertise to support decision-making efforts.

4490 **References:** [[ISO 15288](#), Sec. 6.3.3.3 a)]; [[ISO 12207](#), Sec. 6.3.3.3.1]; [[ISO 21827](#)].

4491 DM-2 ANALYZE THE DECISION INFORMATION

4492 **DM-2.1** Select and declare the security aspects of the decision management strategy for each
4493 decision.

4494 *Note:* This includes the security-relevant level of rigor and the data and system analysis needed.

4495 **DM-2.2** Determine the desired security outcomes and the measurable security attributes of
4496 selection criteria.

4497 *Note:* The desired value for all quantifiable security criteria and the threshold value(s) beyond
4498 which the attribute will be unsatisfactory are determined.

4499 **DM-2.3** Identify the security aspects of the trade space and alternatives.

4500 *Note:* If a large number of alternatives exist, security aspects are to qualitatively screen to reduce
4501 alternatives to a manageable number for further detailed system analysis.

4502 **DM-2.4** Evaluate each alternative against the security criteria.

4503 **References:** [[ISO 15288](#), Sec. 6.3.3.3 b)]; [[ISO 12207](#), Sec. 6.3.3.3.2]; [[ISO 21827](#)].

4504 DM-3 MAKE AND MANAGE DECISIONS

4505 **DM-3.1** Determine the preferred alternative for each security-informed and security-based
4506 decision.

4507 **DM-3.2** Record the security-informed or security-based resolution, decision rationale, and
4508 assumptions.

4509 **DM-3.3** Record, track, evaluate, and report the security aspects of security-informed and security-
4510 based decisions.

4511 *Note:* Security aspects of problems or opportunities and the alternative courses of action that will
4512 resolve their outcome – including those with security impacts – are recorded, categorized, and
4513 reported.

4514 **References:** [[ISO 15288](#), Sec. 6.3.3.3 c)]; [[ISO 12207](#), Sec. 6.3.3.3.3]; [[ISO 21827](#)].

4515 I.4 RISK MANAGEMENT

4516 The purpose of the *Risk Management* process is to identify, analyze, treat, and monitor the risks
4517 continually.

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4519 Security Purpose

- 4520 • Continually identify, analyze, treat, and monitor the risks associated with the uncertainty of
4521 achieving security objectives and the effects of security protection efforts on achieving system
4522 objectives.

4523 Security Outcomes

- 4524 • Security-relevant risks are identified.
- 4525 • Security-relevant risks are analyzed.
- 4526 • Security-relevant risk treatments are selected.
- 4527 • Security-relevant risk treatments are implemented.
- 4528 • Security-relevant risks are evaluated on an ongoing basis to assess changes in status and
4529 progress in treatment.
- 4530 • Security-relevant risks are recorded and maintained in the risk profile.

4531 Security Activities and Tasks

4532 RM-1 PLAN RISK MANAGEMENT

4533 **RM-1.1** Define the security aspects of the risk management strategy.

4534 *Note 1:* The nature of security risk includes intentional and unintentional casual events,
4535 considerations of the intended behaviors and outcomes, functions (security and other functions),
4536 and the potential effects of security risk realization. Casual events may be combinations of events
4537 in the operational environment and events in the system environment.

4538 *Note 2:* The security aspects scope of the risk management process, risk management approach,
4539 risk criteria, measures, parameters, rating scale, and treatment alternatives are defined. This
4540 includes security aspects of the risk management process at all levels of the supply chain (e.g.,
4541 suppliers, subcontractors) and how they are incorporated into the project risk management
4542 process.

4543 *Note 3:* The strategy can also include those security-relevant issues (e.g., risks with likelihood of
4544 occurrence of 1) and opportunities within scope and approach. Opportunity aspects include
4545 opportunity criteria, measures, parameters, rating scale, and treatment alternatives.

4546 **RM-1.2** Define and record the security context of the risk management process.

4547 *Note 1:* This includes the identification of security-relevant stakeholders and descriptions of their
4548 perspectives, risk categories, and technical and managerial objectives, assumptions, and
4549 constraints.

4550 *Note 2:* Security opportunities provide potential benefits for the system or project. Security
4551 contexts consider the security impact of not pursuing an opportunity and the security risk of not
4552 achieving the effects provided by the opportunity.

4553 **References:** [\[ISO 15288, Sec. 6.3.4.3 a\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4554 [4\]](#); [\[ISO 16085\]](#); [\[ISO 31000\]](#); [\[ISO 12207, Sec. 6.3.4.3.1\]](#); [\[ISO 21827\]](#).

4555 **RM-2** MANAGE THE RISK PROFILE

4556 **RM-2.1** Define and record the security risk thresholds and conditions.

4557 *Note:* The security risk thresholds define the levels at which the appropriate treatment strategies
4558 are considered.

4559 **RM-2.2** Establish and maintain the security aspects of the risk profile.

4560 *Note:* The risk profile records each security risk and opportunity including a description of the
4561 security risk or opportunity, a record of the risk or opportunity parameters, the priority based on
4562 risk or opportunity criteria, and the risk or opportunity current state, treatment, and contingency
4563 strategy. When an individual security risk or opportunity state changes, the risk profile is updated.

4564 **RM-2.3** Provide the security aspects of the relevant risk profile to stakeholders.

4565 *Note:* Project planning determines the frequency of communicating the risk profile and its security
4566 aspects.

4567 **References:** [\[ISO 15288, Sec. 6.3.4.3 b\)\]](#); [\[ISO 31000\]](#); [\[ISO 16085\]](#); [\[ISO 12207, Sec. 6.3.4.3.2\]](#); [\[ISO](#)
4568 [21827\]](#).

4569 **RM-3** ANALYZE RISK

4570 **RM-3.1** Identify security risks in the categories described in the risk management context.

4571 *Note:* Security risks are commonly identified through various security and other analyses, such as
4572 safety, assurance, producibility, and performance analyses; technology, architecture, integration,
4573 and readiness assessments; measurement reports; and trade-off studies. Additionally, security
4574 risks are often identified through the analysis of measures associated with system security goals
4575 (e.g., security-relevant Measures of Effectiveness or Measures of Performance).

4576 **RM-3.2** Measure each identified security risk.

4577 *Note:* A common risk measurement is the likelihood of occurrence and consequences as well as
4578 the levels of confidence with those measures.

4579 **RM-3.3** Evaluate each security risk against its risk thresholds.

4580 **RM-3.4** Define and record recommended treatment strategies and measures for each security-
4581 relevant risk that exceeds its risk threshold.

4582 **References:** [\[ISO 15288, Sec. 6.3.4.3 c\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4583 [4\]](#); [\[ISO 31000\]](#); [\[ISO 16085\]](#); [\[ISO 12207, Sec. 6.3.4.3.3\]](#); [\[ISO 21827\]](#).

4584 **RM-4** TREAT RISKS THAT EXCEED THEIR RISK THRESHOLD

4585 **RM-4.1** Identify recommended alternatives for security risk treatment.

4586 **RM-4.2** Define measures for determining the effectiveness of security risk treatments.

4587 **RM-4.3** Implement selected security risk treatments.

4588 *Note:* The implemented alternative should be the one for which the security-relevant stakeholders
4589 determine the actions taken will make a security-relevant risk acceptable.

4590 **RM-4.4** Coordinate management action for selected security risk treatments.

4591 **References:** [\[ISO 15288, Sec. 6.3.4.3 d\)\]](#); [\[ISO 31000\]](#); [\[ISO 16085\]](#); [\[ISO 12207, Sec. 6.3.4.3.4\]](#); [\[ISO](#)
4592 [21827\]](#).

- 4593 **RM-5** MONITOR RISK
- 4594 **RM-5.1** Continually monitor all security-relevant risks and the security risk management context.
- 4595 *Note:* Changes with security-relevant risks and their treatments may prompt reevaluation. The
- 4596 initial treatment plans for a security-relevant risk may include preplanned additional actions when
- 4597 risk increases or insufficiently decreases despite treatment.
- 4598 **RM-5.2** Implement and monitor measures to evaluate the effectiveness of security-relevant risk
- 4599 treatments.
- 4600 **RM-5.3** Continually monitor for the emergence of new security-relevant risks and sources of risk
- 4601 throughout the life cycle.
- 4602 *Note:* This includes monitoring known changes in adversities.
- 4603 **References:** [\[ISO 15288, Sec. 6.3.4.3 e\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
- 4604 [4\]](#); [\[ISO 31000\]](#); [\[ISO 16085\]](#); [\[ISO 12207, Sec. 6.3.4.3.5\]](#); [\[ISO 21827\]](#).

4605 **I.5 CONFIGURATION MANAGEMENT**

- 4606 The purpose of the *Configuration Management* process is to manage system and system elements
- 4607 and configurations over the life cycle.
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4609 **Security Purpose**

- 4610 • Incorporate security considerations to securely manage system and system elements and
- 4611 configurations over the life cycle.

4612 **Security Outcomes**

- 4613 • System element configurations are securely managed.
- 4614 • Security aspects of configuration baselines are established.
- 4615 • Changes to items under configuration management are securely controlled.
- 4616 • Security aspects of configuration status information are available.
- 4617 • Security aspects of required configuration audits are completed.
- 4618 • Security aspects of system releases are approved.

4619 **Security Activities and Tasks**

4620 **CM-1** PREPARE FOR CONFIGURATION MANAGEMENT

- 4621 **CM-1.1** Define a secure configuration management strategy.

4622 *Note:* These include:

- 4623 - Security-relevant roles, responsibilities, accountabilities, and authorities
- 4624 - Criteria for the secure management of changes to items under configuration management,
- 4625 including dispositions, access, release, and control
- 4626 - Security considerations, criteria, and constraints for the locations, conditions, and
- 4627 environment of storage
- 4628 - Criteria or events for commencing secure configuration control and securely maintaining
- 4629 baselines of evolving configurations

- 4630 - Security aspects of the audit strategy and the responsibilities for assessing continual integrity
4631 and security of the configuration definition information
- 4632 - Criteria and constraints for secure change management, planned configuration control boards
4633 and security configuration control boards, regulatory and emergency change requests, and
4634 procedures for secure change management
- 4635 - Secure coordination among stakeholders, acquirers, suppliers, supply chain, and other
4636 interacting organizations
- 4637 **CM-1.2** Define the secure archive and retrieval approach for configuration items, configuration
4638 management artifacts, and data.
- 4639 *Note:* This includes rules governing secure retention, access, and use.
- 4640 **References:** [[ISO 15288](#), Sec. 6.3.5.3 a)]; [[ISO 10007](#)]; [[ISO 12207](#), Sec. 6.3.5.3.1, 7.2.2.3.1]; [[ISO](#)
4641 [21827](#)]; [[IEEE 828](#)]; [[EIA 649C](#)].
- 4642 **CM-2** PERFORM CONFIGURATION IDENTIFICATION
- 4643 **CM-2.1** Identify the security aspects of system elements and artifacts that need to be under
4644 configuration management.
- 4645 **CM-2.2** Identify the security aspects of the configuration data to be managed.
- 4646 **CM-2.3** Establish the security aspects of identifiers for items under configuration management.
- 4647 **CM-2.4** Define the security aspects of baselines through the life cycle.
- 4648 **CM-2.5** Obtain applicable stakeholder agreement of the security aspects to establish a baseline.
- 4649 **CM-2.6** Approve and track security aspects of system or system element releases.
- 4650 *Note 1:* The security aspects of a release are security-relevant considerations of authorization of
4651 the use of a system or system element for a specific purpose with or without security-relevant
4652 restrictions. Examples are releases for tests or operational use.
- 4653 *Note 2:* Releases generally include a set of changes made through the Technical Processes. Release
4654 approval generally includes acceptance of the verified and validated changes and any impacts to
4655 security of the changes.
- 4656 **References:** [[ISO 15288](#), Sec. 6.3.5.3 b)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#),
4657 Sec. 6.3.5.3.2, Sec. 7.2.2.3.2]; [[ISO 21827](#)].
- 4658 **CM-3** PERFORM CONFIGURATION CHANGE MANAGEMENT
- 4659 **CM-3.1** Identify and record the security aspects of requests for change and requests for variance.
- 4660 *Note 1:* This includes requests for deviation, waiver, or concession.
- 4661 *Note 2:* Change or variance can be based on reasons other than security or without an obvious
4662 relevance to security.
- 4663 **CM-3.2** Determine the security aspects of action to coordinate, evaluate, and disposition requests
4664 for change or requests for variance.
- 4665 *Note:* The security aspects identified are coordinated and evaluated across all impacted
4666 performance and effectiveness evaluation criteria, as well as the criteria of project plans, cost,
4667 benefits, risks, quality, and schedule.
- 4668 **CM-3.3** Submit requests for security review and approval.
- 4669 *Note:* Control boards may or may not be security focused. For a non-security control board activity,
4670 security should be reviewed to verify that a request has no security aspects.

- 4671 **CM-3.4** Track and manage the security aspects of approved changes to the baseline, requests for
4672 change, and requests for variance.
- 4673 **References:** [[ISO 15288](#), Sec. 6.3.5.3 c)]; [[ISO 12207](#), Sec. 6.3.5.3.2, Sec. 7.2.2.3.3]; [[ISO 21827](#)].
- 4674 **CM-4** PERFORM CONFIGURATION STATUS ACCOUNTING
- 4675 **CM-4.1** Develop and maintain security-relevant configuration management status information
4676 for system elements, baselines, approved changes, and releases.
- 4677 *Note:* The information includes security certification, accreditation, authorization, or approval
4678 decisions for a system, system element, baseline, or release.
- 4679 **CM-4.2** Capture, store, and report security-relevant configuration management data.
- 4680 **References:** [[ISO 15288](#), Sec. 6.3.5.3 d)]; [[ISO 12207](#), Sec. 7.2.2.3.4]; [[ISO 21827](#)].
- 4681 **CM-5** PERFORM CONFIGURATION EVALUATION
- 4682 **CM-5.1** Identify the need for secure configuration and configuration management verification
4683 activities and audits.
- 4684 **CM-5.2** Verify that the product or service configuration meets the security-relevant configuration
4685 requirements.
- 4686 *Note:* This is performed by comparing security requirements, constraints, and waivers (variances)
4687 with the results of formal verification activities.
- 4688 **CM-5.3** Monitor the secure incorporation of approved configuration changes.
- 4689 **CM-5.4** Perform configuration and configuration management security verification activities and
4690 audits to establish the security aspects of product baselines.
- 4691 *Note:* This includes the security aspects of the functional configuration audit (FCA) that are focused
4692 on functional and performance capabilities and of the physical configuration audit (PCA) that are
4693 focused on system conformance to operational and configuration information items.
- 4694 **CM-5.5** Record the security aspects of the configuration management audit and other
4695 configuration evaluation results and disposition action items.
- 4696 **References:** [[ISO 15288](#), Sec. 6.3.5.3 e)]; [[ISO 12207](#), Sec. 7.2.2.3.5]; [[ISO 21827](#)].

4697 **I.6 INFORMATION MANAGEMENT**

4698 The purpose of the *Information Management* process is to generate, obtain, confirm, transform,
4699 retain, retrieve, disseminate, and dispose of information to designated stakeholders.

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4701 **Security Purpose**

- 4702 • Address the security aspects of information management.

4703 **Security Outcomes**

- 4704 • Security-relevant information to be managed is identified.
- 4705 • Security protections for information are identified.
- 4706 • Security aspects of information representations are defined.

- 4707 • Information is securely managed.
- 4708 • Security aspects of information status are identified.
- 4709 • Information is available to designated stakeholders in a secure manner.

4710 Security Activities and Tasks

4711 IM-1 PREPARE FOR INFORMATION MANAGEMENT

4712 **IM-1.1** Define the security aspects of the strategy for information management.

4713 *Note:* The security aspects include stakeholder, technical, and other information. These aspects
4714 address security, privacy, and intellectual property concerns.

4715 **IM-1.2** Define the security aspects of the items of information that will be managed.

4716 **IM-1.3** Designate authorities and responsibilities for the security aspects of information
4717 management.

4718 *Note:* Due regard is paid to legislation, security, and privacy (e.g., ownership, agreement
4719 restrictions, rights of access, data rights, and intellectual property). Where restrictions or
4720 constraints apply, information is identified accordingly. Staff with knowledge of such items of
4721 information are informed of their security-relevant obligations and responsibilities.

4722 **IM-1.4** Define the security aspects of the content, formats, structure, and strengths of protection
4723 for information items.

4724 *Note 1:* The security aspects apply to information while at rest (i.e., persistent or non-persistent
4725 storage) and while in transit between a source/point of origin and destination.

4726 *Note 2:* The security aspects are informed by criteria in applicable laws, policies, directives,
4727 regulations, and patents.

4728 **IM-1.5** Define the security aspects of information maintenance actions.

4729 **References:** [[ISO 15288](#), Sec. 6.3.6.3 a)]; [[ISO 12207](#), Sec. 6.3.6.3.1]; [[ISO 21827](#)]; [[ISO 15289](#)].

4730 IM-2 PERFORM INFORMATION MANAGEMENT

4731 **IM-2.1** Securely obtain, develop, or transform the identified information items.

4732 *Note:* Obtaining, developing, and transforming information items includes labeling the items by
4733 their protection needs (e.g., classifying).

4734 **IM-2.2** Securely maintain information items and their storage records and record the security
4735 status of information.

4736 **IM-2.3** Securely publish, distribute, or provide access to information and information items to
4737 designated stakeholders.

4738 **IM-2.4** Securely archive designated information.

4739 *Note:* The media, location, and protection of the information are selected in accordance with the
4740 specified storage and retrieval periods, agreements, legislation, and organizational security policy.

4741 **IM-2.5** Securely dispose of unwanted, invalid, or unvalidated information.

4742 **References:** [[ISO 15288](#), Sec. 6.3.6.3 b)]; [[ISO 12207](#), Sec. 6.3.6.3.2]; [[ISO 21827](#)]; [[ISO 15289](#)]; [[ISO](#)
4743 [26531](#)].

4744 I.7 MEASUREMENT

4745 The purpose of the *Measurement* process is to collect, analyze, and report objective data and
 4746 information to support effective management and demonstrate the quality of the products,
 4747 services, and processes.

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4749 Security Purpose

- 4750 • Collect, analyze, and report security-relevant data and information to support effective
 4751 management and demonstrate the quality of the products, services, and processes.

4752 Security Outcomes

- 4753 • Security-relevant information needs are identified.
- 4754 • An appropriate set of security measures are identified or developed based on security-
 4755 relevant information needs and information security protection needs.
- 4756 • Required data is securely managed.
- 4757 • Security-relevant data is analyzed, and the results interpreted.
- 4758 • Measurement results provide objective information that supports security-relevant decisions.

4759 Security Activities and Tasks

4760 MS-1 PREPARE FOR MEASUREMENT

4761 **MS-1.1** Define the security aspects of the measurement strategy.

4762 **MS-1.2** Describe the characteristics of the organization that are relevant to security
 4763 measurement.

4764 **MS-1.3** Identify and prioritize security-relevant information needs.

4765 *Note:* The needs are based on protection objectives, identified security risks, and other security-
 4766 relevant items related to project decisions.

4767 **MS-1.4** Select and specify measures that satisfy security-relevant information needs.

4768 **MS-1.5** Define procedures for the collection, analysis, access, and reporting of security-relevant
 4769 data.

4770 **MS-1.6** Define security-relevant criteria for evaluating the information items and the
 4771 measurement process.

4772 *Note:* All criteria for a security-relevant information item are security-relevant.

4773 **MS-1.7** Identify the security aspects for enabling the systems or services needed to support
 4774 measurement.

4775 **MS-1.8** Identify and plan for enabling the systems or services needed to support the security
 4776 aspects of measurement.

4777 **MS-1.9** Obtain or acquire access to the security aspects of enabling systems or services to be used
 4778 in measurement.

4779 **References:** [\[ISO 15288, Sec. 6.3.7.3 a\)\]](#); [\[ISO 9001\]](#); [\[ISO 15939\]](#); [INCOSE23]; [\[ISO 12207, Sec.](#)
 4780 [6.3.7.3.1\]](#).

4781 **MS-2** PERFORM MEASUREMENT

4782 **MS-2.1** Integrate procedures for the generation, collection, analysis, and reporting of security-
 4783 relevant data into the relevant processes.

4784 **MS-2.2** Integrate procedures for the secure generation, collection, analysis, and reporting of data
 4785 into the relevant processes.

4786 **MS-2.3** Collect, store, and verify security-relevant data.

4787 **MS-2.4** Securely collect, store, and verify data.

4788 **MS-2.5** Analyze security-relevant data and develop security-relevant information items.

4789 **MS-2.6** Record security measurement results and inform the measurement users.

4790 *Note:* Security measurement results are provided to stakeholders and project personnel to support
 4791 decision-making, risk management, and to initiate corrective actions and improvements.

4792 **References:** [[ISO 15288](#), Sec. 6.3.7.3 b)]; [[ISO 9001](#)]; [[ISO 15939](#)]; [INCODE23]; [[ISO 12207](#), Sec.
 4793 6.3.7.3.2, Sec. 6.3.7.3.3].

4794 **I.8 QUALITY ASSURANCE**

4795 The purpose of the *Quality Assurance* process is to help ensure the effective application of the
 4796 organization's *Quality Management* process to the project.

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4798 **Security Purpose**

- 4799 • Ensure the effective application of the organization's *Quality Management* process to the
 4800 security aspects of the project.

4801 **Security Outcomes**

- 4802 • Security aspects of quality assurance procedures, including security criteria and methods for
 4803 quality assurance evaluations, are implemented.
- 4804 • Evaluations of the products, services, and processes of the project are performed in a manner
 4805 consistent with security quality management policies, procedures, and requirements.
- 4806 • Security results of evaluations are provided to relevant stakeholders.
- 4807 • Security-relevant incidents are resolved.
- 4808 • Prioritized security-relevant problems are treated.

4809 **Security Activities and Tasks**4810 **QA-1** PREPARE FOR QUALITY ASSURANCE

4811 **QA-1.1** Define the security aspects of the quality assurance strategy.

4812 *Note:* The security aspects are informed by and consistent with the quality management policies,
 4813 objectives, and procedures and include:

- 4814 - Project security quality assurance procedures
- 4815 - Security roles, responsibilities, accountabilities, and authorities
- 4816 - Security activities appropriate to each life cycle process

- 4817 - Security activities appropriate to each supplier (including subcontractors)
- 4818 - Required security-oriented verification, validation, monitoring, measurement, inspection, and
- 4819 test activities specific to the product or service
- 4820 - Security criteria for product or service acceptance
- 4821 **QA-1.2** Establish the independence of security quality assurance from other life cycle processes.
- 4822 **References:** [[ISO 15288](#), Sec. 6.3.8.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
- 4823 [4](#)]; [[ISO 15408-1](#)]; [[ISO 15408-2](#)]; [[ISO 15408-3](#)]; [[ISO 12207](#), Sec. 7.2.3.3.1]; [[IEEE 730-2014](#)].
- 4824 **QA-2** PERFORM PRODUCT OR SERVICE EVALUATIONS
- 4825 **QA-2.1** Evaluate products and services for conformance to established security criteria, contracts,
- 4826 standards, and regulations.
- 4827 **QA-2.2** Perform the security aspects of verification and validation on the outputs of the life cycle
- 4828 processes to determine conformance to specified requirements.
- 4829 **References:** [[ISO 15288](#), Sec. 6.3.8.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
- 4830 [4](#)]; [[ISO 12207](#), Sec. 7.2.3.3.2]; [[IEEE 730-2014](#)].
- 4831 **QA-3** PERFORM PROCESS EVALUATIONS
- 4832 **QA-3.1** Evaluate project life cycle processes for conformance to established security quality
- 4833 criteria.
- 4834 **QA-3.2** Evaluate tools and environments that support or automate the process for conformance
- 4835 to established security quality criteria.
- 4836 **QA-3.3** Evaluate supplier processes for conformance to process security requirements.
- 4837 *Note:* Consider items such as the security aspects of development environments, process
- 4838 measures required of suppliers, or a risk process that suppliers are required to use.
- 4839 **References:** [[ISO 15288](#), Sec. 6.3.8.3 c)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
- 4840 [4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#), Sec. 7.2.3.3.3]; [[IEEE 730-2014](#)].
- 4841 **QA-4** MANAGE QUALITY ASSURANCE RECORDS AND REPORTS
- 4842 **QA-4.1** Create records and reports related to the security aspects of quality assurance activities.
- 4843 **QA-4.2** Securely maintain, store, and distribute records and reports.
- 4844 **QA-4.3** Identify the security aspects of incidents and problems associated with product, service,
- 4845 and process evaluations.
- 4846 **References:** [[ISO 15288](#), Sec. 6.3.8.3 d)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
- 4847 [4](#)]; [[ISO 12207](#), Sec. 7.2.3.3.4]; [[IEEE 730-2014](#)].
- 4848 **QA-5** TREAT INCIDENTS AND PROBLEMS
- 4849 **QA-5.1** Record, analyze, and classify the security aspects of incidents.
- 4850 *Note:* Incidents are grouped (classified) by criteria such as type, scope, and effect.
- 4851 **QA-5.2** Resolve the security aspects of incidents, or elevate the security aspects of incidents to
- 4852 problems.
- 4853 **QA-5.3** Record, analyze, and classify the security aspects of problems.
- 4854 **QA-5.4** Track the security aspects of the prioritization and implementation of problem treatment.

- 4855 *Note:* This includes both security-driven problem treatment and the security aspects of general
4856 problem treatment.
- 4857 **QA-5.5** Note and analyze the security aspects of incidents and problems.
- 4858 **QA-5.6** Inform stakeholders of the status of the security aspects of incidents and problems.
- 4859 **QA-5.7** Track the security aspects of incidents and problems to closure.
- 4860 **References:** [[ISO 15288](#), Sec. 6.3.8.3 e)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
4861 [4](#)]; [[ISO 24748-1](#)]; [[IEEE 730-2014](#)].

4862 APPENDIX J

4863 ORGANIZATIONAL PROJECT-ENABLING PROCESSES

4864 SECURITY-RELEVANT CONSIDERATIONS AND CONTRIBUTIONS

4865 This appendix contains the *Organizational Project-Enabling Processes* from [\[ISO 15288\]](#) with
4866 security-relevant considerations and contributions for the purpose, outcomes, activities, and
4867 tasks. The Organizational Project-Enabling Processes include:

- 4868 • Life Cycle Model Management
- 4869 • Infrastructure Management
- 4870 • Portfolio Management
- 4871 • Human Resource Management
- 4872 • Quality Management
- 4873 • Knowledge Management

4874 J.1 LIFE CYCLE MODEL MANAGEMENT

4875 The purpose of the *Life Cycle Model Management* process is to define, maintain, and help ensure
4876 the availability of policies, life cycle processes, life cycle models, and procedures for use by the
4877 organization with respect to the scope of this International Standard.

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4879 Security Purpose

- 4880 • Ensure that security needs and considerations are incorporated into policies, life cycle
4881 processes, life cycle models, and procedures used by the organization.

4882 Security Outcomes

- 4883 • Security considerations are captured in organizational policies and procedures for the
4884 management and deployment of life cycle models and processes.
- 4885 • Security roles, responsibility, accountability, and authority within life cycle policies, processes,
4886 models, and procedures are defined.
- 4887 • The selection of policies, life cycle processes, life cycle models, and procedures for use by the
4888 organization is informed by security needs and considerations.
- 4889 • Security needs and considerations for policies, life cycle processes, life cycle models, and
4890 procedures for use by the organization are assessed.
- 4891 • Prioritized security-relevant process, model, and procedure improvements are implemented.

4892 Security Activities and Tasks

4893 LM-1 ESTABLISH THE LIFE CYCLE PROCESSES

- 4894 • **LM-1.1** Establish policies and procedures for process management and deployment that are
4895 consistent with the security aspects of organizational strategies.

- 4896 *Note:* The policies and procedures may be security focused, security based, or may have security-
4897 informing aspects.
- 4898 **LM-1.2** Establish the security aspects of the life cycle processes that implement the requirements
4899 of [\[ISO 15288\]](#) and that are consistent with organizational strategies.
- 4900 **LM-1.3** Define the security roles, responsibilities, accountabilities, and authorities to facilitate
4901 implementation of the security aspects of life cycle processes and the strategic
4902 management of life cycles.
- 4903 **LM-1.4** Define the security aspects of the criteria that control progression through the life cycle.
- 4904 *Note:* This includes security criteria for gates, checkpoints, and entry/exit criteria for milestones
4905 and decision points.
- 4906 **LM-1.5** Establish security criteria for the standard life cycle models for the organization, including
4907 criteria for outcomes for each stage.
- 4908 *Note:* The life cycle model comprises one or more stages, as needed, with each stage having
4909 security aspects to its purpose and outcomes. The model is assembled as a sequence of stages that
4910 overlap or iterate as appropriate for the scope of the system of interest, magnitude, complexity,
4911 changing needs, and opportunities (including protection needs and opportunities). The life cycle
4912 processes and activities are selected, tailored as appropriate, and employed in a stage to fulfill the
4913 security aspects of the purpose and outcomes of that stage.
- 4914 **References:** [\[ISO 15288, Sec. 6.2.1.3 a\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4915 [4\]](#); [\[ISO 12207, Sec. 6.2.1.3.1\]](#); [\[ISO 21827\]](#); [\[DoDD 8140.01\]](#).
- 4916 **LM-2** ASSESS THE LIFE CYCLE PROCESS
- 4917 **LM-2.1** Monitor the security aspects of process execution across the organization.
- 4918 *Note:* This includes the analysis of process measures and the review of security-relevant trends
4919 with respect to strategic security criteria, feedback from projects regarding the effectiveness and
4920 efficiency of the processes, and monitoring execution according to regulations and organizational
4921 policies.
- 4922 **LM-2.2** Conduct reviews of the security aspects of the life cycle models used by the projects.
- 4923 *Note:* This includes confirming the suitability, adequacy, and effectiveness of the life cycle models
4924 used by the project. The reviews should be conducted periodically and be event-driven (e.g., at
4925 completions of large project milestones).
- 4926 **LM-2.3** Identify security-relevant improvement opportunities from assessment results.
- 4927 **References:** [\[ISO 15288, Sec. 6.2.1.3 b\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4928 [4\]](#); [\[ISO 12207, Sec. 6.2.1.3.2\]](#); [\[ISO 21827\]](#); [\[ISO 33002\]](#).
- 4929 **LM-3** IMPROVE THE PROCESS
- 4930 **LM-3.1** Prioritize and plan for security-relevant improvement opportunities.
- 4931 **LM-3.2** Implement security improvement opportunities and inform relevant stakeholders.
- 4932 *Note:* This includes regulatory, certification, accreditation, acceptance, and similar stakeholders.
- 4933 **References:** [\[ISO 15288\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-4\]](#); [\[ISO 12207,](#)
4934 [Sec. 6.2.1.3.3\]](#); [\[ISO 21827\]](#).

4935 J.2 INFRASTRUCTURE MANAGEMENT

4936 The purpose of the *Infrastructure Management* process is to provide infrastructure and services
4937 to projects to support organization and project objectives throughout the life cycle.

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4939 Security Purpose

- 4940 • Define the protection needs for the aspects of infrastructure and services that support
4941 organization and project objectives.

4942 Security Outcomes

- 4943 • Protection needs for the infrastructure are defined.
- 4944 • Security capabilities and constraints of infrastructure elements are specified.
- 4945 • Infrastructure elements that satisfy infrastructure security specifications are obtained.
- 4946 • Secure infrastructure is available.
- 4947 • Prioritized infrastructure security-relevant improvements are implemented.

4948 Security Activities and Tasks

4949 IF-1 ESTABLISH THE INFRASTRUCTURE

4950 **IF-1.1** Define the infrastructure security protection needs.

4951 *Note:* The security aspects of infrastructure resource needs are considered in context with other
4952 projects and resources within the organization. Security constraints that influence and control the
4953 provision of infrastructure resources and services for the project are also defined.

4954 **IF-1.2** Identify, obtain, and provide the infrastructure resources and services that satisfy the
4955 security protection needs to securely implement and support projects.

4956 **References:** [\[ISO 15288, Sec. 6.2.2.3 a\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4957 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207, Sec. 6.2.2.3.1, Sec. 6.2.2.3.2\]](#); [\[ISO](#)
4958 [21827\]](#).

4959 IF-2 MAINTAIN THE INFRASTRUCTURE

4960 **IF-2.1** Evaluate the degree to which delivered infrastructure resources satisfy project protection
4961 needs.

4962 **IF-2.2** Identify and provide security improvements or changes to infrastructure resources as
4963 project requirements change.

4964 *Note:* Any mismatch between project security needs and the security provided by infrastructure
4965 resources may result in gaps in assurance.

4966 **References:** [\[ISO 15288, Sec. 6.2.2.3 b\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
4967 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207, Sec. 6.2.2.3.3\]](#); [\[ISO 21827\]](#).

4968 J.3 PORTFOLIO MANAGEMENT

4969 The purpose of the *Portfolio Management* process is to initiate and sustain necessary, sufficient,
4970 and suitable projects in order to meet the strategic objectives of the organization.

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4972 Security Purpose

- 4973 • Identify security considerations for the projects that meet the strategic objectives of the
4974 organization.

4975 Security Outcomes

- 4976 • Security aspects of strategic venture opportunities, investments, or necessities are prioritized.
- 4977 • Security aspects of projects are identified.
- 4978 • Resources and budgets for the security aspects of each project are allocated.
- 4979 • Project management responsibilities, accountability, and authorities for security are defined.
- 4980 • Projects that meet the security criteria in agreements and stakeholder security requirements
4981 are sustained.
- 4982 • Projects that do not meet the security criteria in agreements or do not satisfy stakeholder
4983 security requirements are redirected or terminated.
- 4984 • Projects that have completed the security aspects of agreements and that satisfy stakeholder
4985 security requirements are closed.

4986 Security Activities and Tasks

4987 PM-1 DEFINE AND AUTHORIZE PROJECTS

4988 **PM-1.1** Identify potential new or modified security capabilities or missions.

4989 *Note:* The organization strategy, concept of operations, or gap or opportunity analysis is reviewed
4990 to identify security-driven gaps, problems, or opportunities.

4991 **PM-1.2** Identify security aspects of potential new or modified capabilities or missions.

4992 *Note:* The organization strategy, concept of operations, or gap or opportunity analysis is reviewed
4993 to identify security-relevant gaps, problems, or opportunities.

4994 **PM-1.3** Prioritize, select, and establish new business opportunities, ventures, or undertakings
4995 with consideration for security objectives and concerns.

4996 **PM-1.4** Define the security aspects of projects, accountabilities, and authorities.

4997 *Note:* This includes project proprietary, sensitivity, and privacy criteria.

4998 **PM-1.5** Identify the security aspects of expected goals, objectives, and outcomes of each project.

4999 *Note:* This includes project proprietary, sensitivity, and privacy criteria.

5000 **PM-1.6** Identify and allocate resources for the achievement of the security aspects of project
5001 goals and objectives.

5002 **PM-1.7** Identify the security aspects of any multi-project interfaces and dependencies to be
5003 managed or supported by each project.

5004 *Note:* This includes interfaces and dependencies with enabling systems and services, as well as all
5005 associated data and information.

5006 **PM-1.8** Specify the security aspects of project reporting requirements, and review milestones
5007 that govern the execution of each project.

5008 **PM-1.9** Authorize each project to commence execution of project plans, including its security
5009 aspects.

5010 **References:** [[ISO 15288](#), Sec. 6.2.3.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
5011 [4](#)]; [[ISO 12207](#), Sec. 6.2.3.3.1]; [[ISO 21827](#)].

5012 **PM-2** EVALUATE THE PORTFOLIO OF PROJECTS

5013 **PM-2.1** Evaluate the security aspects of projects to confirm ongoing viability.

5014 *Note:* This includes the following:

- 5015 - The project is progressing towards achieving established security goals and objectives.
- 5016 - The project is complying with project security directives.
- 5017 - The project is being conducted according to security aspects of project life cycle policies,
5018 processes, and procedures.
- 5019 - The project remains viable, as indicated by the continuing need for security services, practical
5020 secure product implementation, and acceptable security-driven investment benefits.

5021 **PM-2.2** Act to continue projects that are satisfactorily progressing in consideration of project
5022 security aspects.

5023 **PM-2.3** Act to redirect projects that can be expected to progress satisfactorily with appropriate
5024 security-informed redirection.

5025 **References:** [[ISO 15288](#), Sec. 6.2.3.3 b)]; [[ISO 12207](#), Sec. 6.2.3.3.2]; [[ISO 21827](#)].

5026 **PM-3** TERMINATE PROJECTS

5027 **PM-3.1** Where agreements permit, act to cancel or suspend projects whose security-driven
5028 disadvantages or security-driven risks to the organization outweigh the benefits of
5029 continued investments.

5030 **PM-3.2** After completion of the agreement for the security aspects of products or services, act to
5031 close the projects.

5032 *Note:* Closure is accomplished in accordance with organizational security policies, procedures, and
5033 the agreement.

5034 **References:** [[ISO 15288](#), Sec. 6.2.3.3 c)]; [[ISO 12207](#), Sec. 6.2.3.3.3]; [[ISO 21827](#)].

5035 **J.4 HUMAN RESOURCE MANAGEMENT**

5036 The purpose of the *Human Resource Management* process is to provide the organization with
5037 necessary human resources and to maintain their competencies in a manner consistent with
5038 strategic needs.

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5040 **Security Purpose**

- 5041 • Define the security criteria for necessary human resources and maintain their competencies
5042 in a manner consistent with strategic needs.

5043 Security Outcomes

- 5044 • Security-relevant skills required by projects are identified.
- 5045 • Personnel with necessary security skills are provided to projects.
- 5046 • Security-relevant skills of personnel are developed, maintained, or enhanced.
- 5047 • Security-relevant personnel conflicts are resolved.

5048 Security Activities and Tasks

5049 HR-1 IDENTIFY SKILLS

5050 **HR-1.1** Identify the security-relevant skills needed based on current and expected projects.

5051 **HR-1.2** Identify and record security-relevant skills of personnel.

5052 **References:** [[ISO 15288](#), Sec. 6.2.4.3 a)]; [[ISO 12207](#), Sec. 6.2.4.3.1]; [[ISO 21827](#)]; [[ISO 27034-1](#)];
5053 [[SP 800-181](#)]; [[DoDD 8140.01](#)].

5054 HR-2 DEVELOP SKILLS

5055 **HR-2.1** Establish a plan for security-relevant skills development.

5056 *Note:* The security-relevant skills include core and specialty competencies.

5057 **HR-2.2** Obtain security-relevant training, education, or mentoring resources.

5058 **HR-2.3** Provide planned security-relevant skills development.

5059 **HR-2.4** Maintain records of security-relevant skills development.

5060 **References:** [[ISO 15288](#), Sec. 6.2.4.3 b)]; [[ISO 12207](#), Sec. 6.2.4.3.2]; [[ISO 21827](#)]; [[ISO 27034-1](#)];
5061 [[DoDD 8140.01](#)].

5062 HR-3 ACQUIRE AND PROVIDE SKILLS

5063 **HR-3.1** Obtain qualified personnel when security-relevant skill deficits are identified.

5064 **HR-3.2** Maintain and manage the pool of security-skilled personnel necessary to staff ongoing
5065 projects.

5066 **HR-3.3** Make personnel assignments based on security-relevant project and staff development
5067 needs.

5068 **HR-3.4** Motivate personnel with security-relevant skills (e.g., through career development and
5069 reward mechanisms).

5070 **HR-3.5** Resolve the security aspects of personnel conflicts across or within projects.

5071 *Note:* Conflicts across or within projects may include personnel capacity, availability, qualification
5072 conflicts, and personality conflicts.

5073 **References:** [[ISO 15288](#), Sec. 6.2.4.3 c)]; [[ISO 12207](#), Sec. 6.2.4.3.3]; [[SP 800-181](#)].

5074 J.5 QUALITY MANAGEMENT

5075 The purpose of the *Quality Management* process is to assure that products, services, and
5076 implementations of the quality management process meet organizational and project quality
5077 objectives and achieve customer satisfaction.

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5079 **Security Purpose**

- 5080 • Define organizational and project security quality objectives and the criteria used to
5081 determine that products, services, and implementations of the *Quality Management* process
5082 meet those security objectives.

5083 **Security Outcomes**

- 5084 • Organizational security quality management policies, standards, and procedures are defined
5085 and implemented.
- 5086 • Security quality evaluation criteria and methods are established.
- 5087 • Resources and information are provided to projects to support the operation and monitoring
5088 of project security quality assurance activities.
- 5089 • Security aspects of quality evaluation results are analyzed.
- 5090 • Security quality management policies and procedures are improved based on project and
5091 organization results.

5092 **Security Activities and Tasks**

5093 **QM-1** PLAN QUALITY MANAGEMENT

5094 **QM-1.1** Establish the security aspects of quality management policies, standards, and procedures.

5095 **QM-1.2** Define responsibilities and authority for the implementation of security quality
5096 management.

5097 **QM-1.3** Define security quality evaluation criteria and methods.

5098 **QM-1.4** Provide resources, data, and information for security quality management.

5099 **References:** [[ISO 15288](#), Sec. 6.2.5.3 a)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
5100 [4](#)]; [[ISO 9001](#)]; [[ISO 12207](#), Sec. 6.2.5.3.1].

5101 **QM-2** ASSESS QUALITY MANAGEMENT

5102 **QM-2.1** Gather and analyze quality assurance evaluation results in accordance with the defined
5103 security quality evaluation criteria.

5104 **QM-2.2** Assess customer satisfaction.

5105 *Note:* The satisfaction focuses on security for the systems security efforts.

5106 **QM-2.3** Conduct periodic reviews of project quality assurance activities for compliance with the
5107 security quality management policies, standards, and procedures.

5108 **QM-2.4** Monitor the status of security quality improvements on processes, products, and services.

5109 **References:** [[ISO 15288](#), Sec. 6.2.5.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
5110 [4](#)]; [[ISO 9001](#)]; [[ISO 12207](#), Sec. 6.2.5.3.1].

5111 **QM-3** PERFORM QUALITY MANAGEMENT CORRECTIVE AND PREVENTIVE ACTIONS

5112 **QM-3.1** Plan corrective actions when security quality management objectives are not achieved.

5113 **QM-3.2** Plan preventive actions when there is a sufficient risk that security quality management
5114 objectives will not be achieved.

5115 **QM-3.3** Monitor the security aspects of corrective and preventive actions to completion and
5116 inform stakeholders.

5117 **References:** [[ISO 15288](#), Sec. 6.2.5.3 c)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
5118 [4](#)]; [[ISO 9001](#)]; [[ISO 12207](#)], Sec. 6.2.5.3.2].

5119 **J.6 KNOWLEDGE MANAGEMENT**

5120 The purpose of the *Knowledge Management* process is to create the capability and assets that
5121 enable the organization to exploit opportunities to reapply existing knowledge.

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5123 **Security Purpose**

- 5124 • Enable the organization to exploit opportunities to reapply existing security knowledge.

5125 **Security Outcomes**

- 5126 • A taxonomy for the application of security-relevant knowledge assets is identified.
- 5127 • Organizational security knowledge, skills, and knowledge assets are organized.
- 5128 • Organizational security knowledge, skills, and knowledge assets are available.
- 5129 • Organizational security knowledge, skills, and knowledge assets are communicated across the
5130 organization.
- 5131 • Security knowledge management usage data is analyzed.

5132 **Security Activities and Tasks**

5133 **KM-1 PLAN KNOWLEDGE MANAGEMENT**

5134 **KM-1.1** Define the security aspects of the knowledge management strategy.

5135 *Note:* The security aspects of the knowledge management strategy generally include:

- 5136 - Identifying security knowledge domains and technologies and their potential for the
5137 reapplication of knowledge
- 5138 - Plans for obtaining and maintaining security knowledge, skills, and security knowledge assets
5139 for their useful life
- 5140 - Characterization of the types of security knowledge, security skills, and security knowledge
5141 assets to be collected and maintained
- 5142 - Criteria for accepting, qualifying, and retiring security knowledge, security skills, and security
5143 knowledge assets
- 5144 - Procedures for controlling changes to the security knowledge, security skills, and security
5145 knowledge assets
- 5146 - Plans, mechanisms, and procedures for protection, control, and access to classified or
5147 sensitive data and information
- 5148 - Mechanisms for secure storage and secure retrieval

5149 **KM-1.2** Identify the security knowledge, skills, and knowledge assets to be managed.

5150 **KM-1.3** Identify projects that can benefit from the application of the security knowledge, skills,
5151 and knowledge assets.

- 5152 **References:** [[ISO 15288](#), Sec. 6.2.6.3 a)]; [[ISO 12207](#), Sec. 6.2.4.3.4]; [[ISO 21827](#)]; [[SP 800-181](#)];
5153 [[DoDD 8140.01](#)].
- 5154 **KM-2** SHARE KNOWLEDGE AND SKILLS THROUGHOUT THE ORGANIZATION
- 5155 **KM-2.1** Establish and maintain a classification for capturing and sharing security knowledge and
5156 skills.
- 5157 *Note:* This classification includes security expert, common security, and security domains
5158 knowledge and skills, as well as lessons learned.
- 5159 **KM-2.2** Capture or acquire security knowledge and skills.
- 5160 **KM-2.3** Make security knowledge and skills accessible across the organization.
- 5161 **References:** [[ISO 15288](#), Sec. 6.2.6.3 b)]; [[ISO 12207](#), Sec. 6.2.4.3.4]; [[ISO 21827](#)]; [[ISO 12207](#), Sec.
5162 6.2.4.3.4]; [[ISO 21827](#)].
- 5163 **KM-3** SHARE KNOWLEDGE ASSETS THROUGHOUT THE ORGANIZATION
- 5164 **KM-3.1** Establish a taxonomy to organize security knowledge assets.
- 5165 *Note:* The taxonomy includes the following:
- 5166 - Definition of the boundaries of security domains and their relationships to one another
5167 - Definition of the boundaries of security-relevant domains (e.g., safety) and their relationships
5168 to one another
5169 - Domain models that capture essential common and different security-relevant features,
5170 capabilities, concepts, and functions
- 5171 **KM-3.2** Develop or acquire security knowledge assets.
- 5172 *Note:* Security knowledge assets include system elements or their representations (e.g., reusable
5173 code libraries, security reference architectures), architecture or design elements (e.g., security
5174 architecture or security design patterns), processes, security criteria, or other technical
5175 information (e.g., training materials) related to security domain knowledge and lessons learned.
- 5176 **KM-3.3** Make all knowledge assets securely accessible to the organization.
- 5177 **References:** [[ISO 15288](#), Sec. 6.2.6.3 c)]; [[ISO 42010](#)]; [[ISO 12207](#), Sec. 6.2.4.3.4]; [[ISO 21827](#)].
- 5178 **KM-4** MANAGE KNOWLEDGE, SKILLS, AND KNOWLEDGE ASSETS
- 5179 **KM-4.1** Maintain security knowledge, skills, and knowledge assets.
- 5180 **KM-4.2** Monitor and record the use of security knowledge, skills, and knowledge assets.
- 5181 **KM-4.3** Periodically reassess the currency of the security aspects of technology and market needs
5182 of the security knowledge assets.
- 5183 **References:** [[ISO 15288](#), Sec. 6.2.6.3 d)]; [[ISO 12207](#), Sec. 6.2.4.3.4]; [[ISO 21827](#)].

5184 **APPENDIX K**5185 **AGREEMENT PROCESSES**

5186 SECURITY-RELEVANT CONSIDERATIONS AND CONTRIBUTIONS

5187 This appendix contains the *Agreement Processes* from [\[ISO 15288\]](#) with security-relevant
 5188 considerations and contributions for the purpose, outcomes, activities, and tasks. The Agreement
 5189 Processes include:

- 5190 • Acquisition
- 5191 • Supply

5192 **K.1 ACQUISITION**

5193 The purpose of the *Acquisition* process is to obtain a product or service in accordance with the
 5194 acquirer's requirements.

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5196 **Security Purpose**

- 5197 • Obtain a product or service in accordance with the acquirer's security requirements.

5198 **Security Outcomes**

- 5199 • A request for supply includes security criteria.
- 5200 • One or more suppliers are selected that satisfy the security criteria.
- 5201 • An agreement containing security criteria is established between the acquirer and supplier.
- 5202 • A product or service complying with the security criteria in the agreement is accepted.
- 5203 • The security aspects of acquirer obligations defined in the agreement are satisfied.

5204 **Security Activities and Tasks**5205 **AQ-1 PREPARE FOR THE ACQUISITION**

5206 **AQ-1.1** Define the security aspects of the strategy for how the acquisition will be conducted.

5207 *Note:* This strategy describes or references the life cycle model, security risks and issues mitigation,
 5208 a schedule of security-relevant milestones, protection of acquirer and supplier assets, and security-
 5209 relevant selection criteria if the supplier is external to the acquiring organization. It also includes
 5210 key security drivers and security-relevant characteristics of the acquisition, such as responsibilities
 5211 and liabilities; specific models, methods, or processes; formality; level of criticality; and security's
 5212 priority within relevant trade-off factors.

5213 **AQ-1.2** Prepare a request for a product or service that includes the security requirements.

5214 *Note:* The request includes security criteria for the business practices with which the supplier is to
 5215 comply, a list of bidders with adequate security qualifications, and the security criteria that will be
 5216 used to select the supplier.

5217 **References:** [\[ISO 15288, Sec. 6.1.1.3 a\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
 5218 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207, Sec. 6.1.1.3.1\]](#); [\[ISO 21827\]](#).

- 5219 **AQ-2** ADVERTISE THE ACQUISITION AND SELECT THE SUPPLIER
- 5220 **AQ-2.1** Securely communicate the request for the supply of a product or service to potential
5221 suppliers.
- 5222 **AQ-2.2** Select one or more suppliers that meet the security criteria.
- 5223 **References:** [[ISO 15288](#), Sec. 6.1.1.3 b)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
5224 [4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#), Sec. 6.1.1.3.2, Sec. 6.1.1.3.3]; [[ISO](#)
5225 [21827](#)].
- 5226 **AQ-3** ESTABLISH AND MAINTAIN AN AGREEMENT
- 5227 **AQ-3.1** Develop and approve an agreement with the supplier that includes security acceptance
5228 criteria.
- 5229 *Note:* This agreement can range in formality from a written contract to a verbal agreement.
5230 Appropriate to the level of formality, the agreement establishes security requirements, secure
5231 development and delivery milestones, security verification, security validation, and the security
5232 aspects of acceptance conditions, process requirements (e.g., configuration management, risk
5233 management, and measurement), and the handling of data rights and intellectual property so that
5234 both parties of the agreement understand the basis for executing the agreement. The security
5235 aspects of the agreement also include application of all the above to subcontractors and other
5236 supporting organizations to the supplier.
- 5237 **AQ-3.2** Identify necessary security-relevant changes to the agreement.
- 5238 **AQ-3.3** Evaluate the security impact of changes to the agreement.
- 5239 *Note:* The basis for the agreement change may or may not be security related. However, there may
5240 be security-relevant impact regardless of the basis for the change.
- 5241 **AQ-3.4** Update the security criteria in the agreement with the supplier, as necessary.
- 5242 **References:** [[ISO 15288](#), Sec. 6.1.1.3 c)]; [[ISO 15026-1](#)]; [[ISO 15026-2](#)]; [[ISO 15026-3](#)]; [[ISO 15026-](#)
5243 [4](#)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#), Sec. 6.1.1.3.4]; [[ISO 21827](#)].
- 5244 **AQ-4** MONITOR THE AGREEMENTS
- 5245 **AQ-4.1** Assess the execution of the security aspects of the agreement.
- 5246 *Note:* This includes confirmation that all parties are meeting their security-relevant responsibilities
5247 according to the agreement.
- 5248 **AQ-4.2** Securely provide data needed by the supplier and resolve issues in a timely manner.
- 5249 **References:** [[ISO 15288](#), Sec. 6.1.1.3 d)]; [[ISO 27036-1](#)]; [[ISO 27036-2](#)]; [[ISO 27036-3](#)]; [[ISO 12207](#),
5250 Sec. 6.1.1.3.5]; [[ISO 21827](#)].
- 5251 **AQ-5** ACCEPT THE PRODUCT OR SERVICE
- 5252 **AQ-5.1** Confirm that the delivered product or service complies with the security aspects of the
5253 agreement.
- 5254 **AQ-5.2** Securely provide payment or other agreed consideration.
- 5255 **AQ-5.3** Accept the product or service from the supplier or other party, as directed by the security
5256 criteria in the agreement.
- 5257 **AQ-5.4** Close the agreement in accordance with agreement security criteria.

5258 **References:** [\[ISO 15288, Sec. 6.1.1.3 e\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[IEEE 1012\]](#);
5259 [\[ISO 12207, Sec. 6.1.1.3.6\]](#); [\[ISO 21827\]](#).

5260 **K.2 SUPPLY**

5261 The purpose of the *Supply* process is to provide an acquirer with a product or service that meets
5262 agreed requirements.

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5264 **Security Purpose**

- 5265 • Provide an acquirer with a product or service that meets agreed security requirements.

5266 **Security Outcomes**

- 5267 • A response to the acquirer's request addresses the acquirer's security requirements.
- 5268 • An agreement established between the acquirer and supplier includes security requirements.
- 5269 • A product or service that satisfies the acquirer's security requirements is provided.
- 5270 • Supplier security obligations defined in the agreement are satisfied.
- 5271 • Responsibility for the acquired product or service, as directed by the agreement, is securely
5272 transferred.

5273 **Security Activities and Tasks**

5274 **SP-1 PREPARE FOR THE SUPPLY**

5275 **SP-1.1** Identify the security aspects of an acquirer's need for a product or service.

5276 **SP-1.2** Define the security aspects of the supply strategy.

5277 *Note:* This strategy describes or references the security aspects of the life cycle model, risks and
5278 issues mitigation, and a schedule of security-relevant milestones. It also includes key security-
5279 relevant drivers and characteristics of the acquisition such as responsibilities and liabilities, specific
5280 security-relevant models, security-relevant methods or processes, level of criticality, formality, and
5281 priority of relevant trade-off factors.

5282 **References:** [\[ISO 15288, Sec. 6.1.2.3 a\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
5283 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207, Sec. 6.1.2.3.1\]](#); [\[ISO 21827\]](#).

5284 **SP-2 RESPOND TO A REQUEST FOR SUPPLY OF PRODUCTS OR SERVICES**

5285 **SP-2.1** Evaluate a request for a product or service to determine the security-relevant feasibility
5286 and how to respond.

5287 **SP-2.2** Prepare a response that satisfies the security criteria in the solicitation.

5288 **References:** [\[ISO 15288, Sec. 6.1.2.3 b\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
5289 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207, Sec. 6.1.2.3.2\]](#); [\[ISO 21827\]](#).

5290 **SP-3 ESTABLISH AND MAINTAIN AN AGREEMENT**

5291 **SP-3.1** Negotiate and approve an agreement with the acquirer that includes security acceptance
5292 criteria.

- 5293 *Note 1:* This includes configuration management, risk reporting, reporting of security measures,
 5294 and security measure analysis; security requirements; secure development; security verification;
 5295 security validation; security acceptance procedures and criteria; regulatory body acceptance,
 5296 authorization, and approval; procedures for transport, handling, delivery, and storage; security
 5297 and privacy protections and restrictions on the use, dissemination, and destruction of data,
 5298 information, and intellectual property; security-relevant exception-handling procedures and
 5299 criteria; agreement change management procedures; and agreement termination procedures.
- 5300 *Note 2:* The security aspects of the agreement also include applying all the above to plans for
 5301 subcontractor use.
- 5302 **SP-3.2** Identify necessary security-relevant changes to the agreement.
- 5303 **SP-3.3** Evaluate the security impact of necessary changes to the agreement.
- 5304 *Note:* The basis for the agreement change may or may not be security related. However, there may
 5305 be security-relevant impact regardless of the basis for the change. A security-relevant evaluation
 5306 of the needed change identifies any security relevance and determines impact in terms of plans,
 5307 schedule, cost, technical capability, quality, assurance, and trustworthiness.
- 5308 **SP-3.4** Update the security criteria in the agreement with the acquirer, as necessary.
- 5309 **References:** [\[ISO 15288, Sec. 6.1.2.3 c\)\]](#); [\[ISO 15026-1\]](#); [\[ISO 15026-2\]](#); [\[ISO 15026-3\]](#); [\[ISO 15026-](#)
 5310 [4\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207, Sec. 6.1.2.3.3\]](#); [\[ISO 21827\]](#).
- 5311 **SP-4** EXECUTE THE AGREEMENT
- 5312 **SP-4.1** Execute the security aspects of the agreement according to established project plans.
- 5313 *Note:* A supplier sometimes adopts or agrees to use acquirer processes, including security-relevant
 5314 processes.
- 5315 **SP-4.2** Assess the execution of the security aspects of the agreement.
- 5316 *Note:* This includes confirmation that all parties are meeting their security responsibilities
 5317 according to the agreement.
- 5318 **References:** [\[ISO 15288, Sec. 6.1.2.3 d\)\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207,](#)
 5319 [Sec. 6.1.2.3.4\]](#); [\[ISO 21827\]](#).
- 5320 **SP-5** DELIVER AND SUPPORT THE PRODUCT OR SERVICE
- 5321 **SP-5.1** Deliver the product or service in accordance with the agreement security criteria.
- 5322 **SP-5.2** Provide security assistance to the acquirer, per the agreement.
- 5323 **SP-5.3** Securely accept and acknowledge payment or other agreed consideration.
- 5324 **SP-5.4** Transfer the product or service to the acquirer or other party as directed by the security
 5325 requirements in the agreement.
- 5326 *Note:* This includes the transfer of hardware, software, and sensitive, proprietary, and classified
 5327 information.
- 5328 **SP-5.5** Close the agreement in accordance with the agreement security criteria.
- 5329 **References:** [\[ISO 15288, Sec. 6.1.2.3 e\)\]](#); [\[ISO 27036-1\]](#); [\[ISO 27036-2\]](#); [\[ISO 27036-3\]](#); [\[ISO 12207,](#)
 5330 [Sec. 6.1.2.3.5\]](#); [\[ISO 21827\]](#); [\[IEEE 1012\]](#).