

# January 30, 2014

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- Basics of Assurance
  - Problems from lack of assurance
  - Types of assurance
  - Life cycle and assurance; life cycle models
  - Waterfall life cycle model
  - Other life cycle models

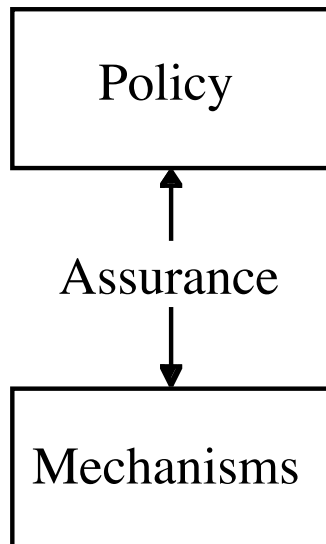
# Trust

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- *Trustworthy* entity has sufficient credible evidence leading one to believe that the system will meet a set of requirements
- *Trust* is a measure of trustworthiness relying on the evidence
- *Assurance* is confidence that an entity meets its security requirements based on evidence provided by applying assurance techniques

# Relationships

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Policy  
Statement of requirements that explicitly defines the security expectations of the mechanism(s)

Assurance  
Provides justification that the mechanism meets policy through assurance evidence and approvals based on evidence

Mechanisms  
Executable entities that are designed and implemented to meet the requirements of the policy

# Problem Sources

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1. Requirements definitions, omissions, and mistakes
2. System design flaws
3. Hardware implementation flaws, such as wiring and chip flaws
4. Software implementation errors, program bugs, and compiler bugs
5. System use and operation errors and inadvertent mistakes
6. Willful system misuse
7. Hardware, communication, or other equipment malfunction
8. Environmental problems, natural causes, and acts of God
9. Evolution, maintenance, faulty upgrades, and decommissions

# Examples

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- Challenger explosion
  - Sensors removed from booster rockets to meet accelerated launch schedule
- Deaths from faulty radiation therapy system
  - Hardware safety interlock removed
  - Flaws in software design
- Bell V22 Osprey crashes
  - Failure to correct for malfunctioning components; two faulty ones could outvote a third
- Intel 486 chip
  - Bug in trigonometric functions

# Role of Requirements

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- *Requirements* are statements of goals that must be met
  - Vary from high-level, generic issues to low-level, concrete issues
- *Security objectives* are high-level security issues
- *Security requirements* are specific, concrete issues

# Types of Assurance

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- *Policy assurance* is evidence establishing security requirements in policy is complete, consistent, technically sound
- *Design assurance* is evidence establishing design sufficient to meet requirements of security policy
- *Implementation assurance* is evidence establishing implementation consistent with security requirements of security policy

# Types of Assurance

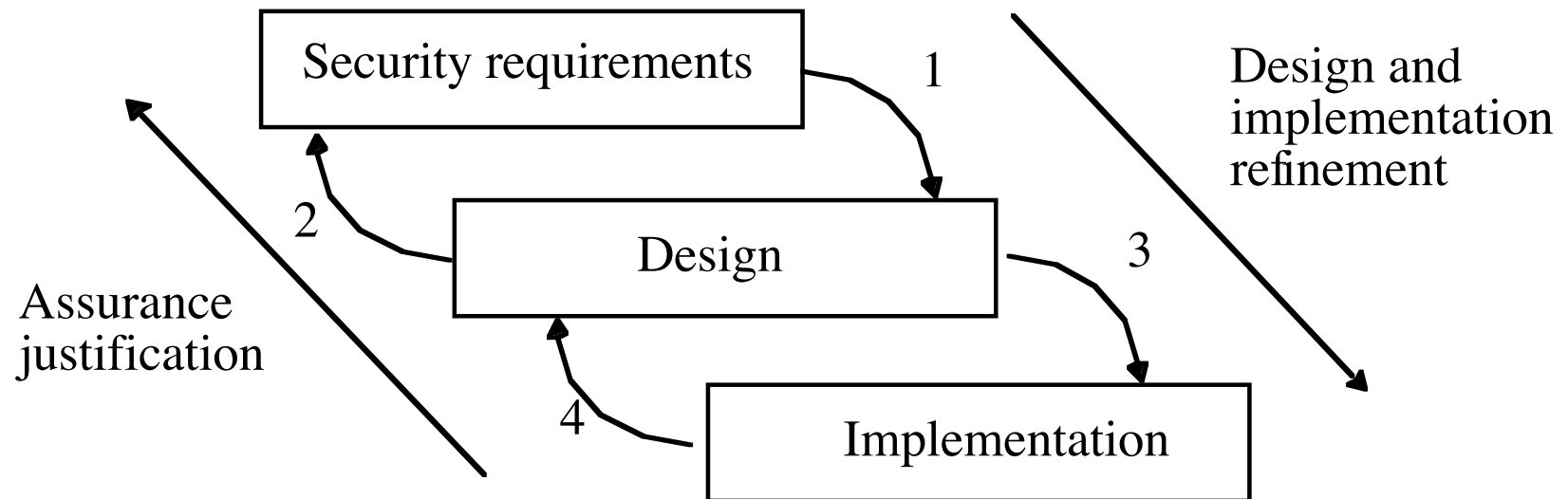
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- *Operational assurance* is evidence establishing system sustains the security policy requirements during installation, configuration, and day-to-day operation
  - Also called *administrative assurance*



# Life Cycle

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# Life Cycle

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- Conception
- Manufacture
- Deployment
- Fielded Product Life

# Conception

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- Idea
  - Decisions to pursue it
- Proof of concept
  - See if idea has merit
- High-level requirements analysis
  - What does “secure” mean for this concept?
  - Is it possible for this concept to meet this meaning of security?
  - Is the organization willing to support the additional resources required to make this concept meet this meaning of security?

# Manufacture

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- Develop detailed plans for each group involved
  - May depend on use; internal product requires no sales
- Implement the plans to create entity
  - Includes decisions whether to proceed, for example due to market needs

# Deployment

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- Delivery
  - Assure that correct masters are delivered to production and protected
  - Distribute to customers, sales organizations
- Installation and configuration
  - Ensure product works appropriately for specific environment into which it is installed
  - Service people know security procedures

# Fielded Product Life

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- Routine maintenance, patching
  - Responsibility of engineering in small organizations
  - Responsibility may be in different group than one that manufactures product
- Customer service, support organizations
- Retirement or decommission of product

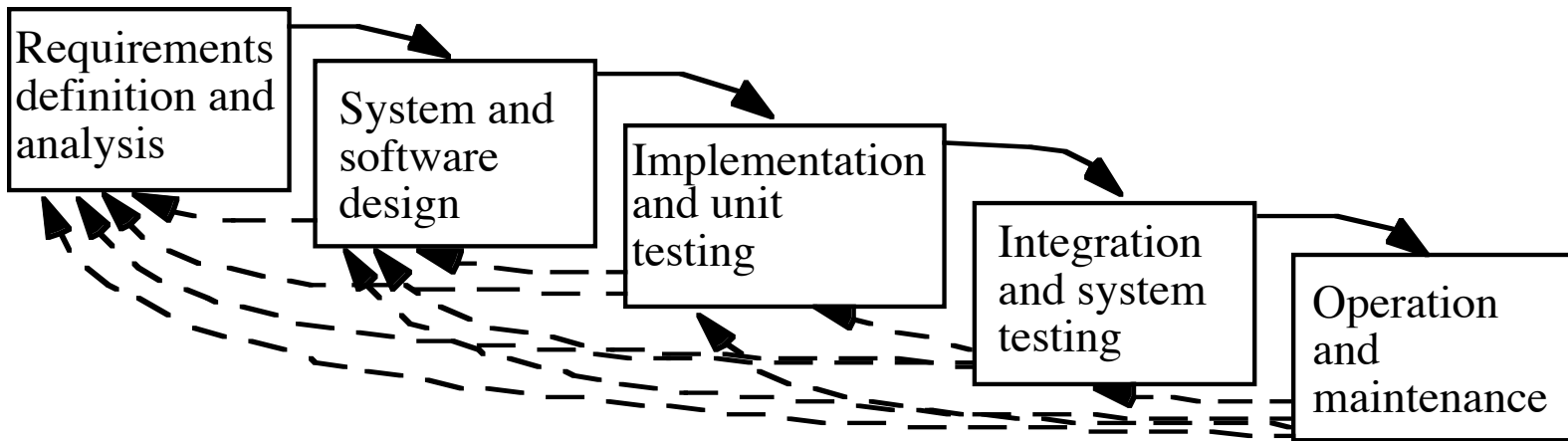
# Waterfall Life Cycle Model

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- Requirements definition and analysis
  - Functional and non-functional
  - General (for customer), specifications
- System and software design
- Implementation and unit testing
- Integration and system testing
- Operation and maintenance

# Relationship of Stages

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# Models

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- Exploratory programming
  - Develop working system quickly
  - Used when detailed requirements specification cannot be formulated in advance, and adequacy is goal
  - No requirements or design specification, so low assurance
- Prototyping
  - Objective is to establish system requirements
  - Future iterations (after first) allow assurance techniques

# Models

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- Formal transformation
  - Create formal specification
  - Translate it into program using correctness-preserving transformations
  - Very conducive to assurance methods
- System assembly from reusable components
  - Depends on whether components are trusted
  - Must assure connections, composition as well
  - Very complex, difficult to assure

# Models

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- Extreme programming
  - Rapid prototyping and “best practices”
  - Project driven by business decisions
  - Requirements open until project complete
  - Programmers work in teams
  - Components tested, integrated several times a day
  - Objective is to get system into production as quickly as possible, then enhance it
  - Evidence adduced *after* development needed for assurance

# Key Points

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- Assurance critical for determining trustworthiness of systems
- Different levels of assurance, from informal evidence to rigorous mathematical evidence
- Assurance needed at all stages of system life cycle

# Threats and Goals

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- *Threat* is a danger that can lead to undesirable consequences
- *Vulnerability* is a weakness allowing a threat to occur
- Each identified threat requires countermeasure
  - Unauthorized people using system mitigated by requiring identification and authentication
- Often single countermeasure addresses multiple threats

# Architecture

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- Where do security enforcement mechanisms go?
  - Focus of control on operations or data?
    - Operating system: typically on data
    - Applications: typically on operations
  - Centralized or distributed enforcement mechanisms?
    - Centralized: called by routines
    - Distributed: spread across several routines

# Layered Architecture

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- Security mechanisms at any layer
  - Example: 4 layers in architecture
    - Application layer: user tasks
    - Services layer: services in support of applications
    - Operating system layer: the kernel
    - Hardware layer: firmware and hardware proper
- Where to put security services?
  - Early decision: which layer to put security service in

# Security Services in Layers

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- Choose best layer
  - User actions: probably at applications layer
  - Erasing data in freed disk blocks: OS layer
- Determine supporting services at lower layers
  - Security mechanism at application layer needs support in all 3 lower layers
- May not be possible
  - Application may require new service at OS layer; but OS layer services may be set up and no new ones can be added



# Security: Built In or Add On?

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- Think of security as you do performance
  - You don't build a system, then add in performance later
    - Can “tweak” system to improve performance a little
    - Much more effective to change fundamental algorithms, design
- You need to design it in
  - Otherwise, system lacks fundamental and structural concepts for high assurance

# Reference Validation Mechanism

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- *Reference monitor* is access control concept of an abstract machine that mediates all accesses to objects by subjects
- *Reference validation mechanism* (RVM) is an implementation of the reference monitor concept.
  - Tamperproof
  - Complete (always invoked and can never be bypassed)
  - Simple (small enough to be subject to analysis and testing, the completeness of which can be assured)
    - Last engenders trust by providing assurance of correctness

# Examples

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- *Security kernel* combines hardware and software to implement reference monitor
- *Trusted computing base (TCB)* is all protection mechanisms within a system responsible for enforcing security policy
  - Includes hardware and software
  - Generalizes notion of security kernel

# Adding On Security

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- Key to problem: analysis and testing
- Designing in mechanisms allow assurance at all levels
  - Too many features adds complexity, complicates analysis
- Adding in mechanisms makes assurance hard
  - Gap in abstraction from requirements to design may prevent complete requirements testing
  - May be spread throughout system (analysis hard)
  - Assurance may be limited to test results

# Example

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- 2 AT&T products
  - Add mandatory controls to UNIX system
  - SV/MLS
    - Add MAC to UNIX System V Release 3.2
  - SVR4.1ES
    - Re-architect UNIX system to support MAC

# Comparison

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- Architecting of System
  - SV/MLS: used existing kernel modular structure; no implementation of least privilege
  - SVR4.1ES: restructured kernel to make it highly modular and incorporated least privilege

# Comparison

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- File Attributes (*inodes*)
  - SV/MLS added separate table for MAC labels, DAC permissions
    - UNIX inodes have no space for labels; pointer to table added
    - Problem: 2 accesses needed to check permissions
    - Problem: possible inconsistency when permissions changed
    - Corrupted table causes corrupted permissions
  - SVR4.1ES defined new inode structure
    - Included MAC labels
    - Only 1 access needed to check permissions

# Requirements Assurance

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- *Specification* describes of characteristics of computer system or program
- *Security specification* specifies desired security properties
- Must be clear, complete, unambiguous
  - Something like “meets C2 security requirements”  
not good: what *are* those requirements (actually, 34 of them!)



# Example

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- “Users of the system must be identified and authenticated” is ambiguous
  - Type of id required—driver’s license, token?
  - What is to be authenticated—user, representation of identity, system?
  - Who is to do the authentication—system, guard?