

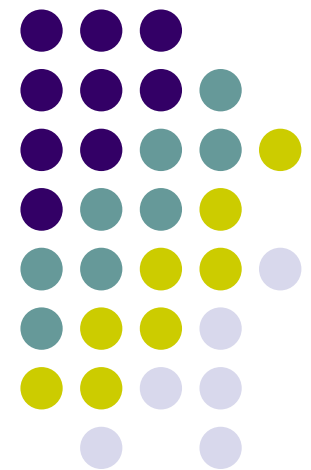
**IS 2620: Developing Secure Systems**

# **Secure Software Development Models/Methods**

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**Lecture 1**  
**Aug 30, 2017**

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Professor





# Objective

- Understand/Familiarize with various process models for secure software development and assurance
  - Capability Maturity Models
    - CMMI, iCMM, SSE-CMM, TSP
    - Security Assurance Maturity Model
  - Secure software development life cycle models



# Process Models

- **Secure Process**

- *Set of activities performed to develop, maintain, and deliver a secure software solution*

- Activities could be concurrent or iterative

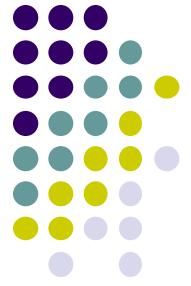
- **Process model**

- provides a reference set of **best practices**
  - process improvement and process assessment.
- defines the characteristics of processes
- usually has an architecture or a structure



# Process Models

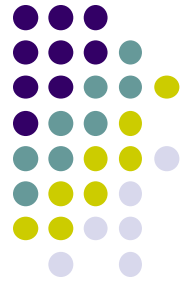
- Process Models
  - Help identify *technical* and *management* practices
    - good software engineering practices to manage and build software
  - Establishes
    - common measures of organizational processes throughout the software development lifecycle (SDLC).
- But ... no guarantees product is bug free



# Process Models

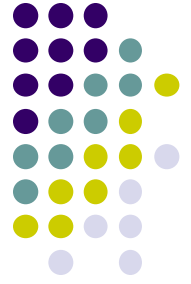
- Typically also have a
  - *capability* or *maturity* dimension
    - Purposes: **assessment** and **evaluation**.
- Assessments, evaluations, appraisals includes:
  - comparison of a *process being practiced* to a *reference process model or standard*
  - understanding process *capability* in order to improve processes
  - determining if the *processes being practiced* are
    - adequately specified, designed, and implemented

# Software Development Life Cycle (SDLC)



- Four key SDLC focus areas for secure software development
  - Security Engineering Activities
  - Security Assurance
  - Security Organizational and Project Management Activities
  - Security Risk Identification and Management Activities

*Based on a survey of existing processes, process models, and standards*

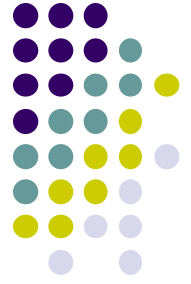


# SDLC

- Security Engineering Activities
  - activities needed to *engineer a secure solution*.
    - security **requirements** elicitation and definition,
    - secure **design** based on design principles for security,
    - use of static analysis tools,
    - reviews and inspections, security testing, etc..
- Security Assurance Activities
  - verification, validation, expert review,
  - artifact review, and evaluations.

Waterfall Model

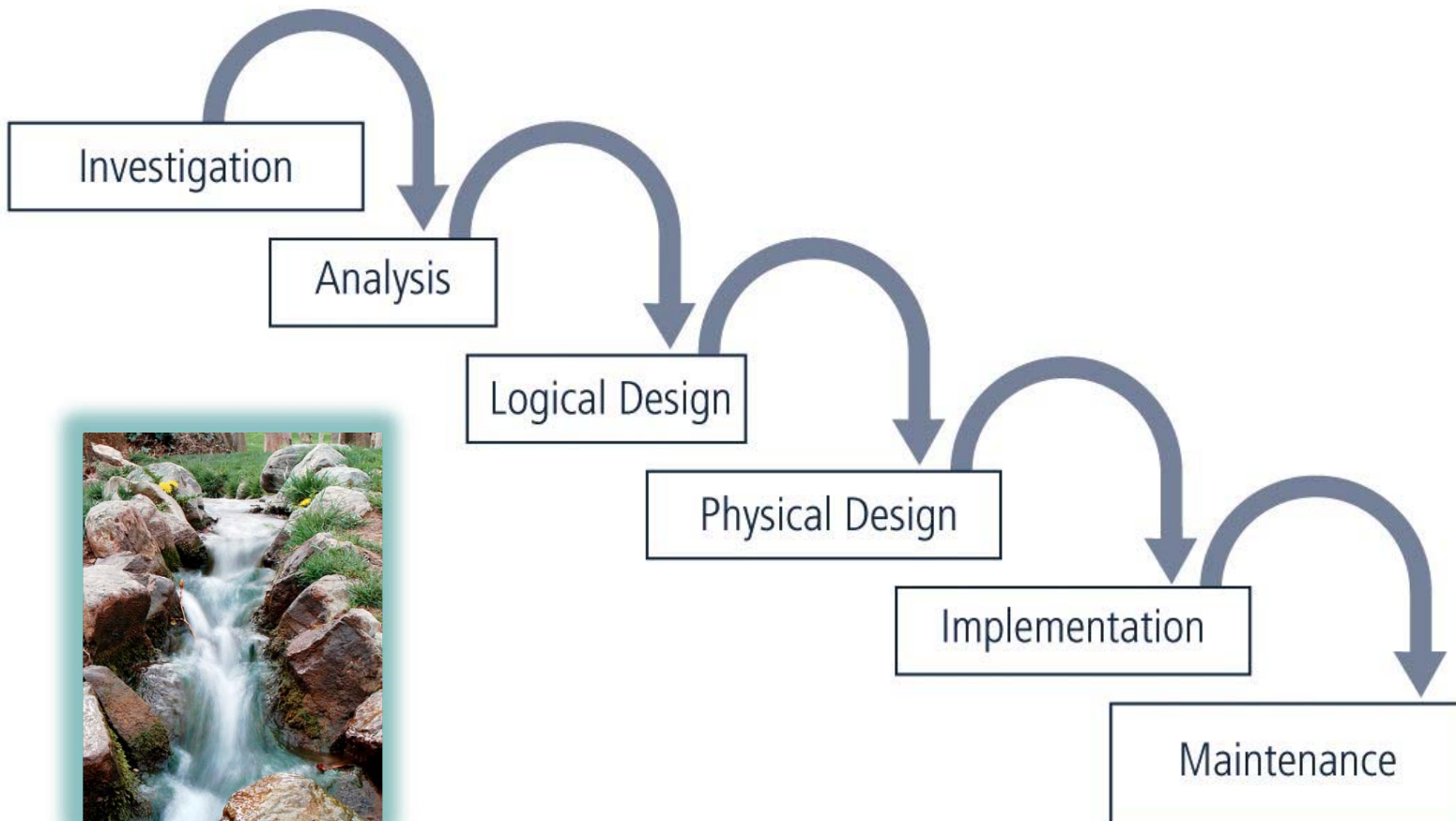
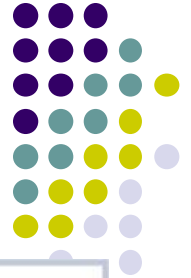




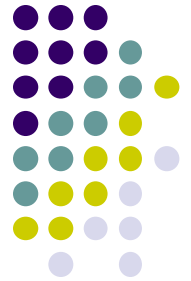
# SDLC

- Security Focused Activities
  - Organizational management focused
    - organizational policies, senior management sponsorship and oversight, establishing organizational roles, ....
  - Project management focused
    - project planning and tracking,
    - resource allocation and usage
- Security Risk Identification and Management Activities
  - Cost-based Risk analysis
  - Risk mitigation

# System DLC

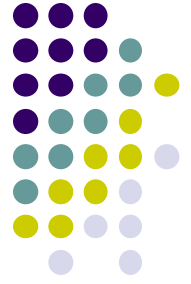


# Capability Maturity Models (CMM)



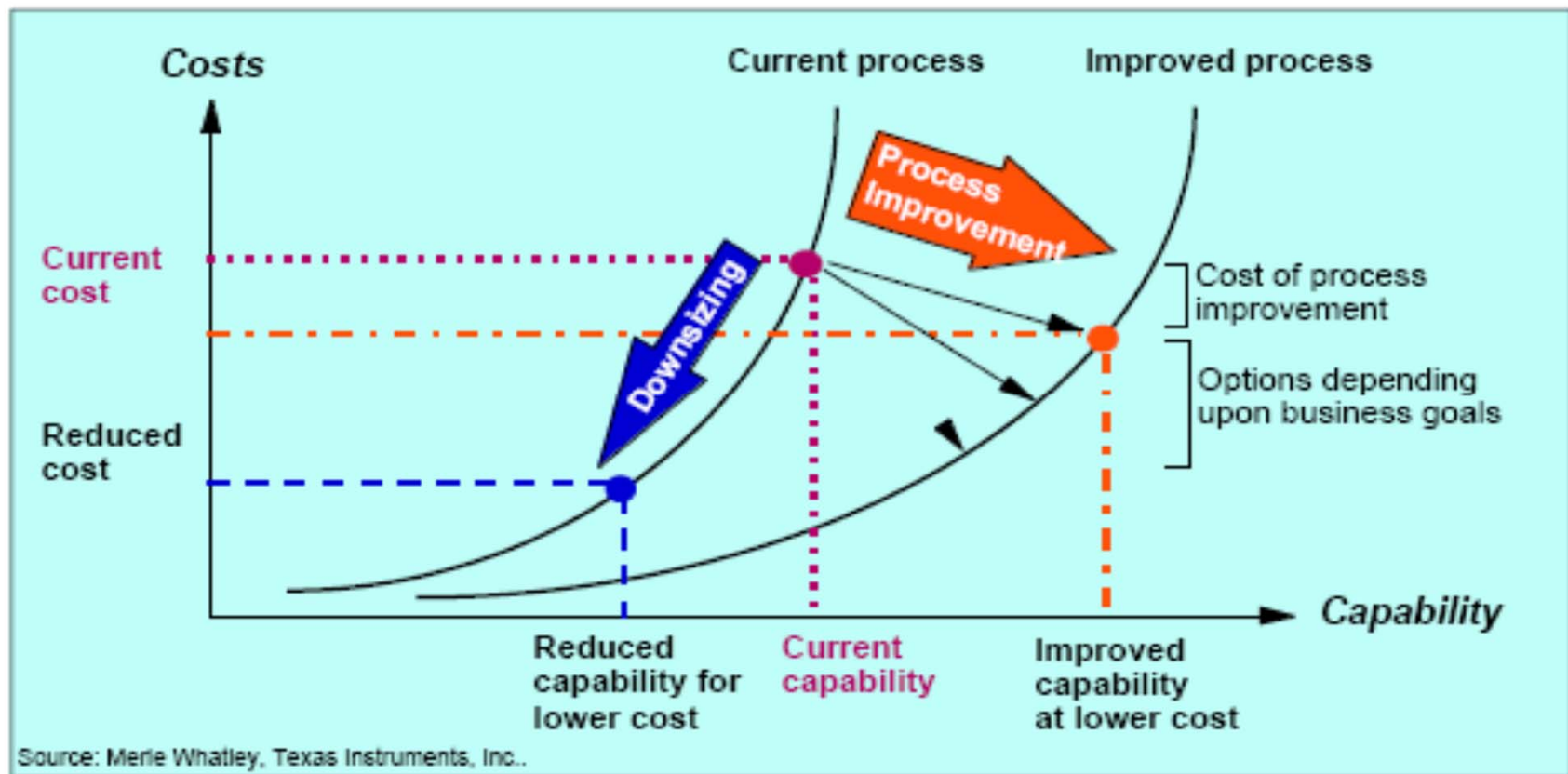
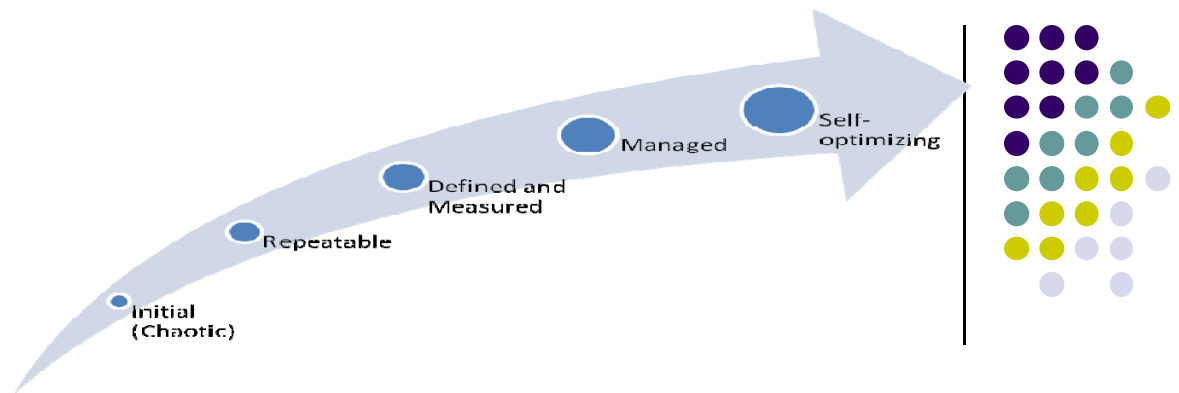
- CMM – focuses on process characteristics
  - Provides reference model of mature practices
  - Helps identify the potential areas of improvement
  - Provides goal-level definition for and key attributes for specific processes
- **No operational guidance !!**  
*Focuses on/Defines process characteristics*

# CMM



- Three CMMs
  - **Capability Maturity Model Integration® (CMMI®),**
  - The integrated **Capability Maturity Model (iCMM),**  
and the
  - **Systems Security Engineering Capability Maturity Model (SSE-CMM)**
    - Specifically to develop secure systems

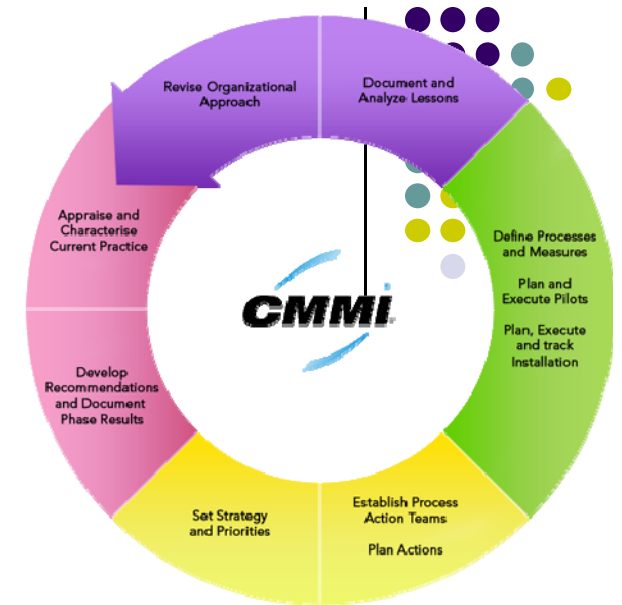
# Why CMM?



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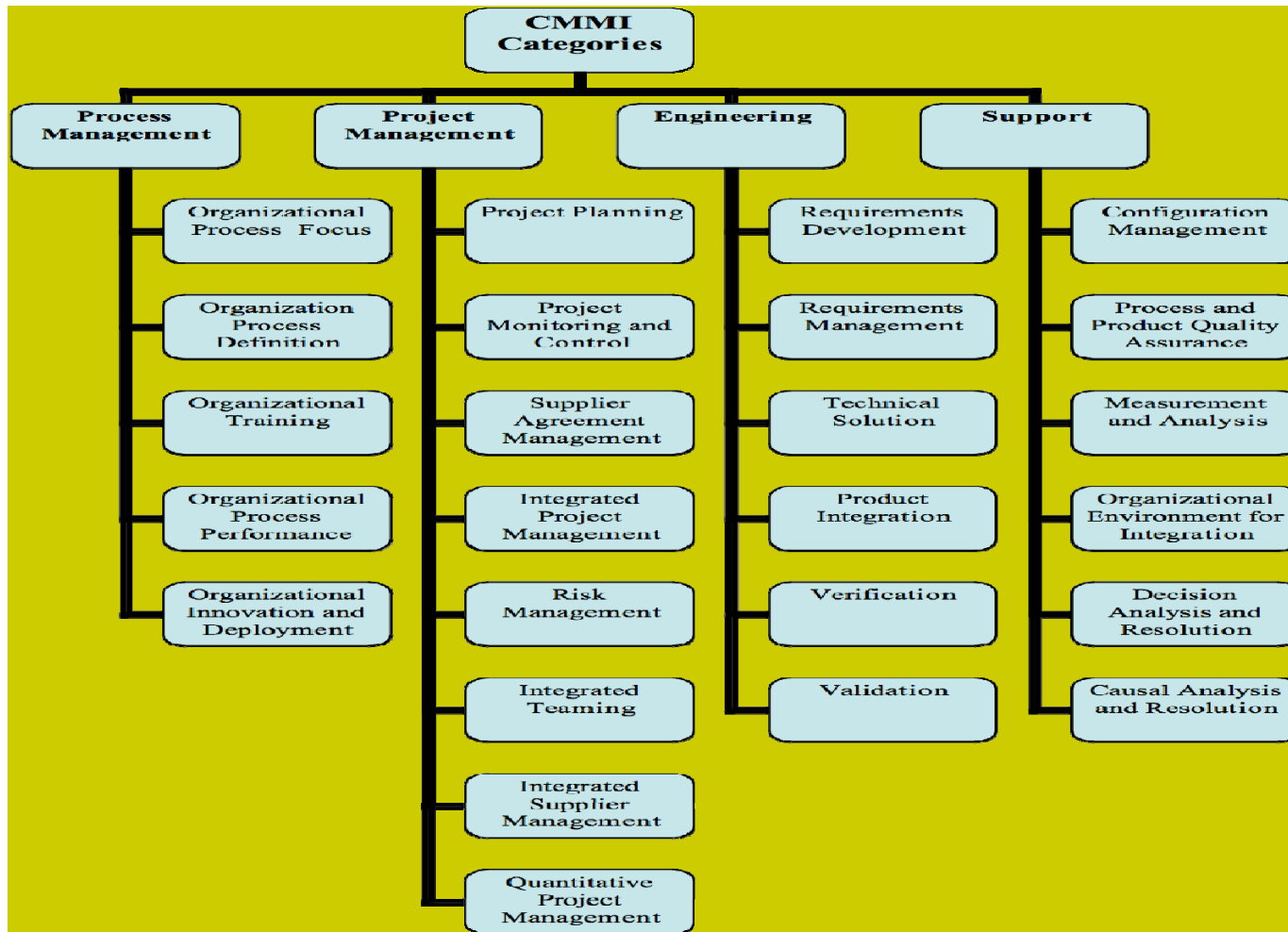
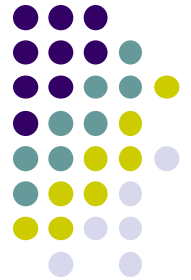
# CMMI

- CMM Integration (CMMI) provides
  - the latest best practices related to –
    - development, maintenance, and acquisition,
  - Includes
    - Mechanisms to improve processes and
    - Criteria for evaluating process capability and process maturity.
- As of Dec 2005, the SEI reports
  - 1106 organizations and 4771 projects have reported results from CMMI-based appraisals
- its predecessor, the software CMM (SW-CMM)
  - Since 80s – Dec, 2005
    - 3049 Organizations + 16,540 projects
- Current: 101 countries, 11 govs, 10 languages (10K orgs)
  - Half of global execs rate capability building as top 3 priorities
  - (Source: <http://www.cmmiinstitute.com/>)



(See: <http://www.sei.cmu.edu/reports/02tr012.pdf>)

# CMMI



# CMMI



*CMMI Performance Results Summary*

Performance Category	Median Improvement	Number of Data Points	Lowest Improvement	Highest Improvement
Cost	34%	29	3%	87%
Schedule	50%	22	2%	95%
Productivity	61%	20	11%	329%
Quality	48%	34	2%	132%
Customer Satisfaction	14%	7	-4%	55%
Return on Investment	4.0 : 1	22	1.7 : 1	27.7 : 1

*Note: The performance results in this table express change over varying periods of time.*

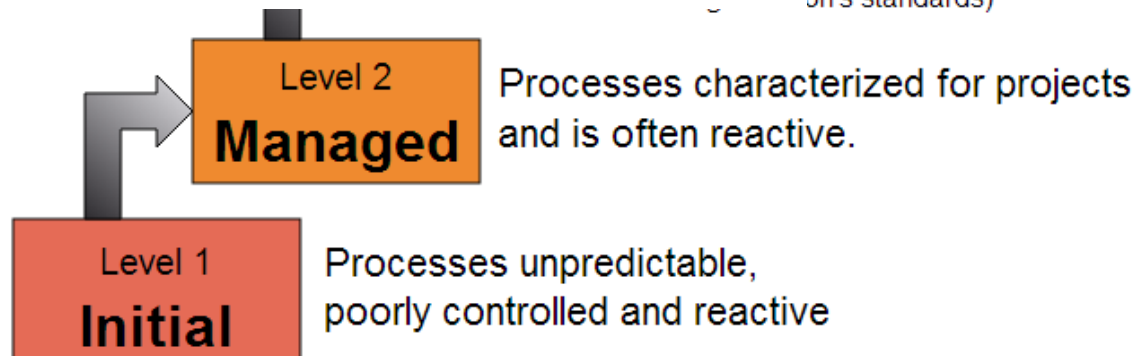
## Maturity levels

**Level 5 Optimizing** Focus on process improvement

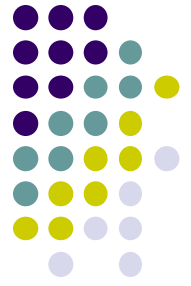
**Level 4 Managed** Processes measured and controlled

Processes characterized for the organization and is proactive.

(tailor their processes from organization's standards)

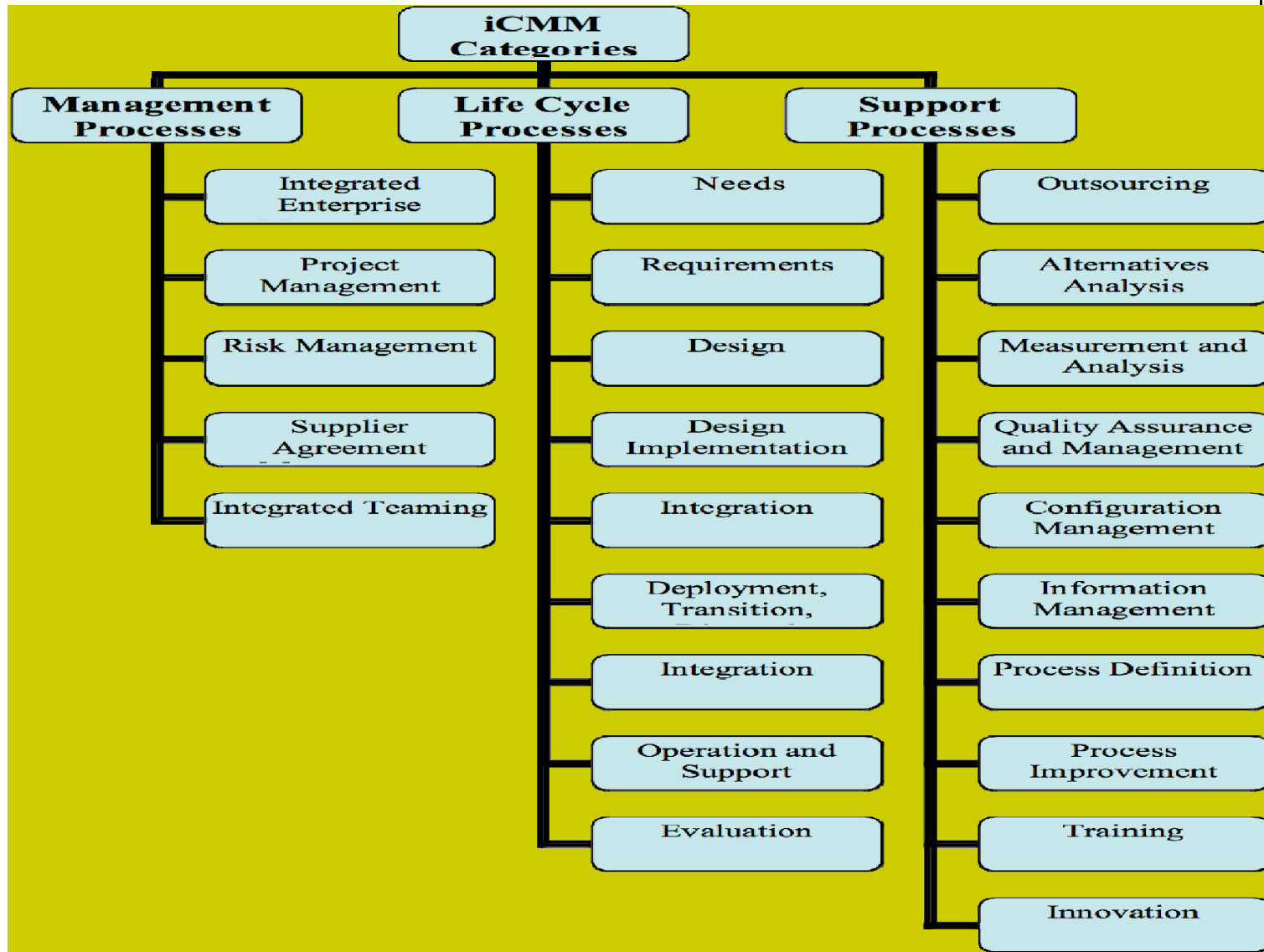
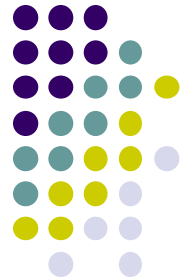


# Integrated CMM



- iCMM is widely used in the Federal Aviation Administration (FAA-iCMM)
  - Provides a single model for **enterprise-wide improvement**
- integrates the following standards and models:
  - ISO 9001:2000, EIA/IS 731,
  - Malcolm Baldrige National Quality Award and President's Quality Award criteria,
  - CMMI-SE/SW/IPPD and
  - CMMI-A, ISO/IEC TR 15504, ISO/IEC 12207, and ISO/IEC CD 15288.

# Integrated CMM





# Trusted CMM

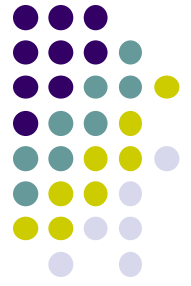
- Trusted CMM
  - Early 1990 -Trusted Software Methodology (TSM)
  - TSM defines trust levels
    - *Low* emphasizes resistance to unintentional vulnerabilities
    - *High* adding processes to counter malicious developers
  - TSM was later harmonized with CMM
    - Not much in use

# Systems Security Engineering CMM



- The SSE-CMM

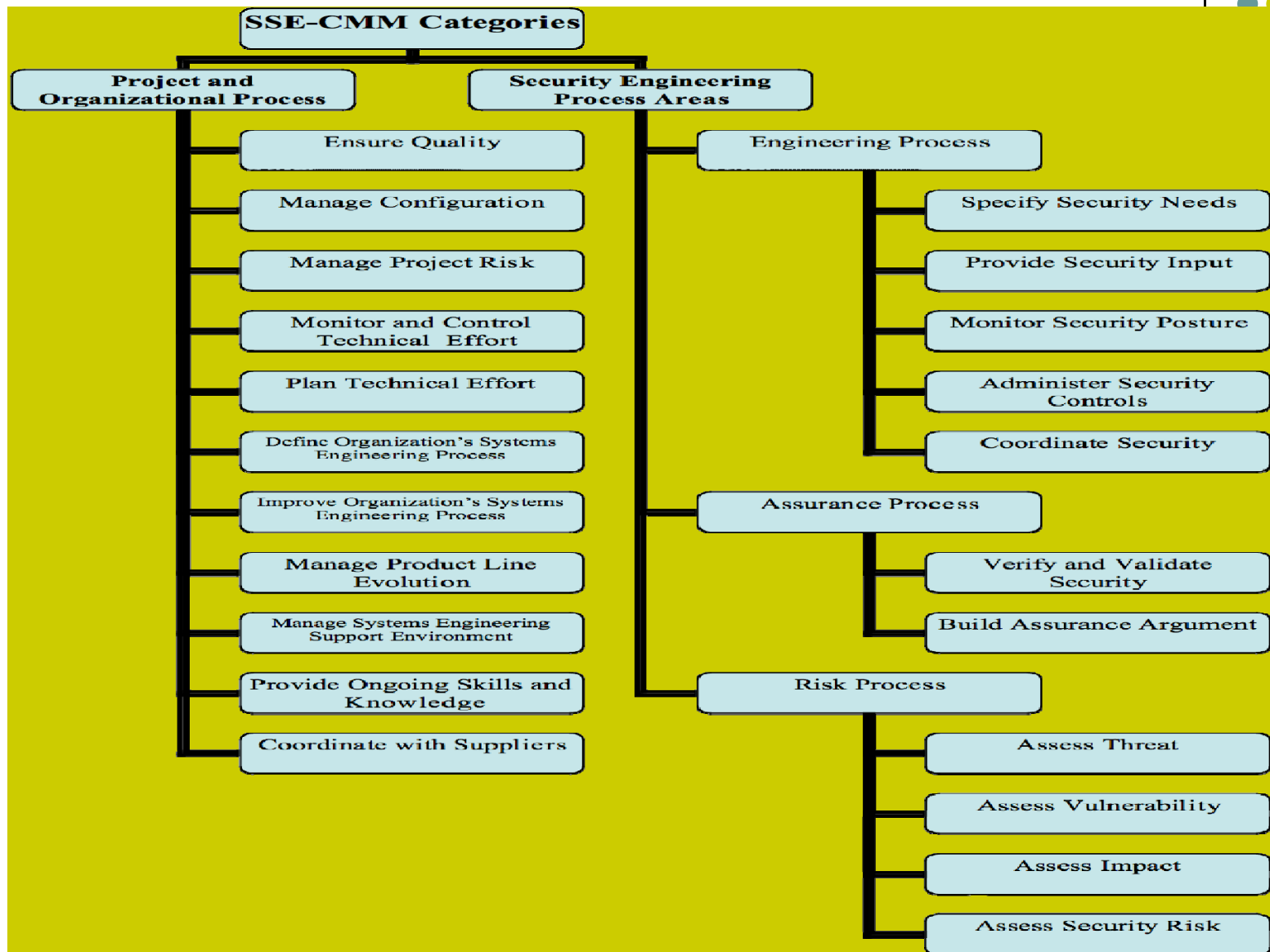
- To improve and assess the ***security engineering capability*** of an organization
- provides a comprehensive framework
  - **evaluating** security engineering practices against the generally accepted security engineering principles.
- provides a way to
  - **measure** and **improve** performance in the application of security engineering principles.

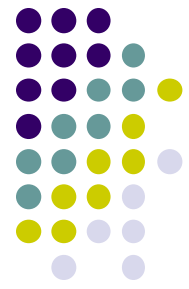


# SSE-CMM: ISO/IEC 21827

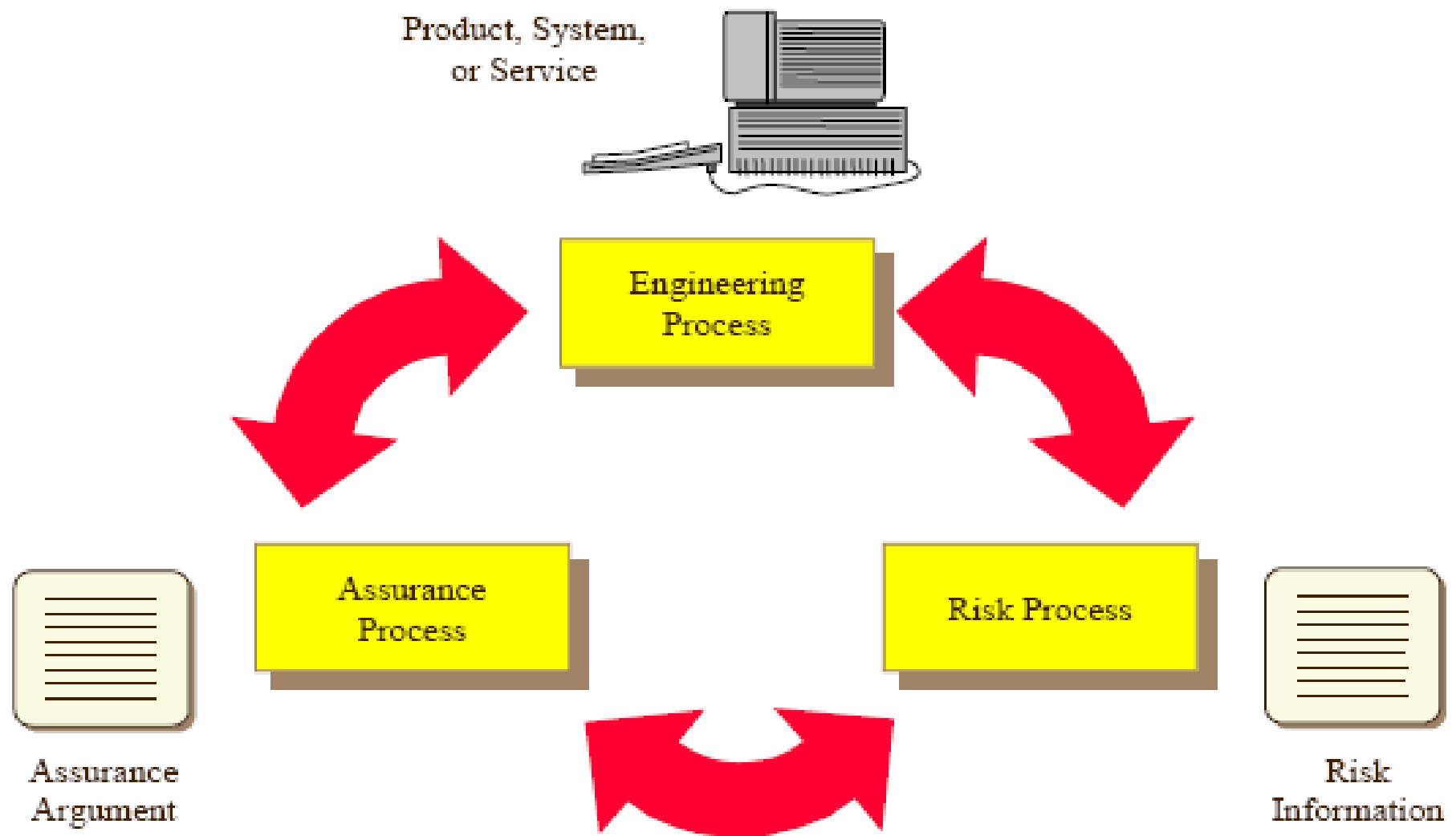
- Purpose for SSE-CMM
  - To fill the **lack of a comprehensive framework** for evaluating security engineering practices against the principles
  - Helps
    - Identify Security Goals
    - Assess Security Posture
    - Support Security Life Cycle
- The SSE-CMM also
  - describes the essential characteristics of an organization's security engineering processes.
  - The SSE-CMM is now ISO/IEC 21827 standard
    - (See <https://www.iso.org/standard/44716.html>)

# SSE-CMM

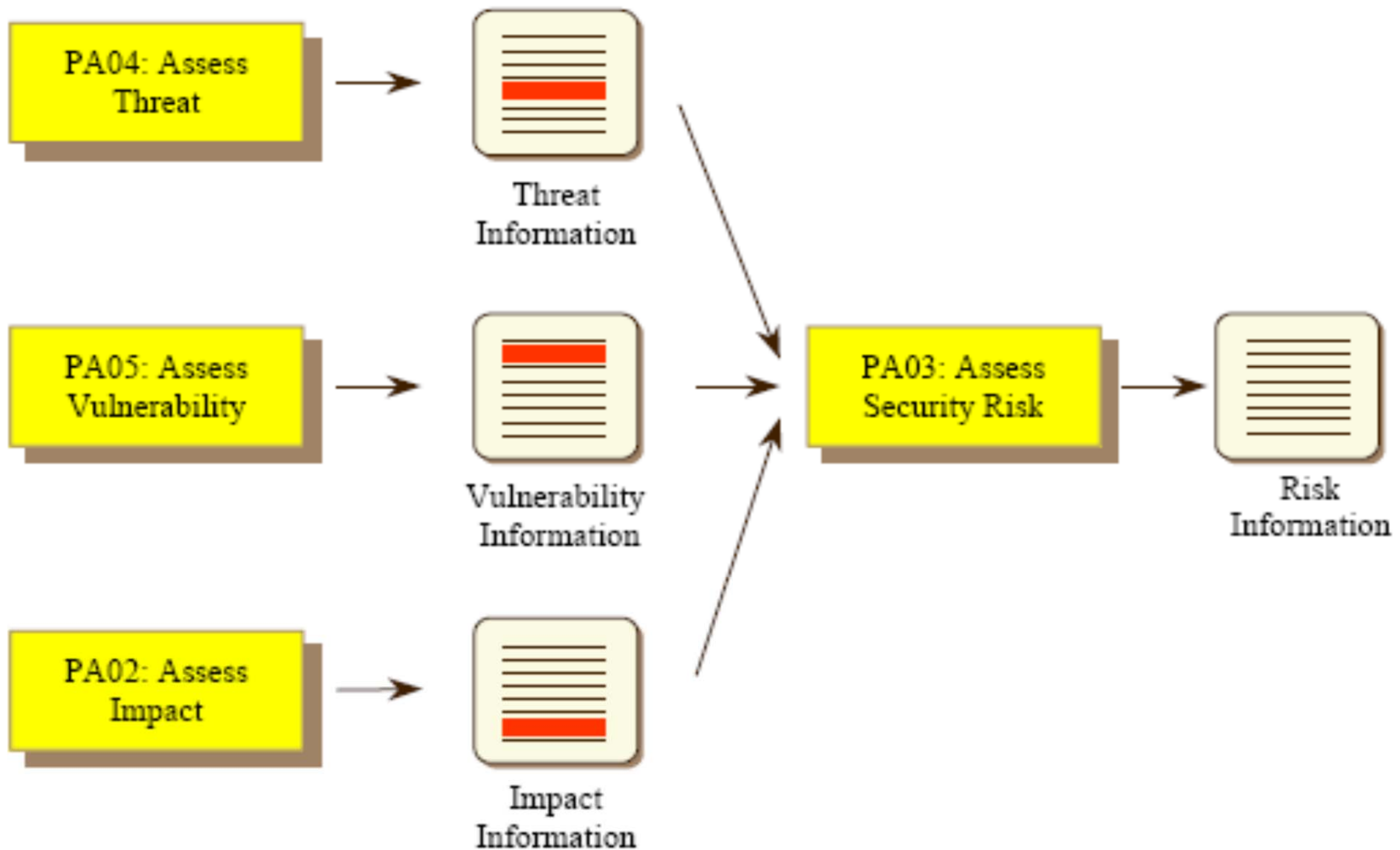




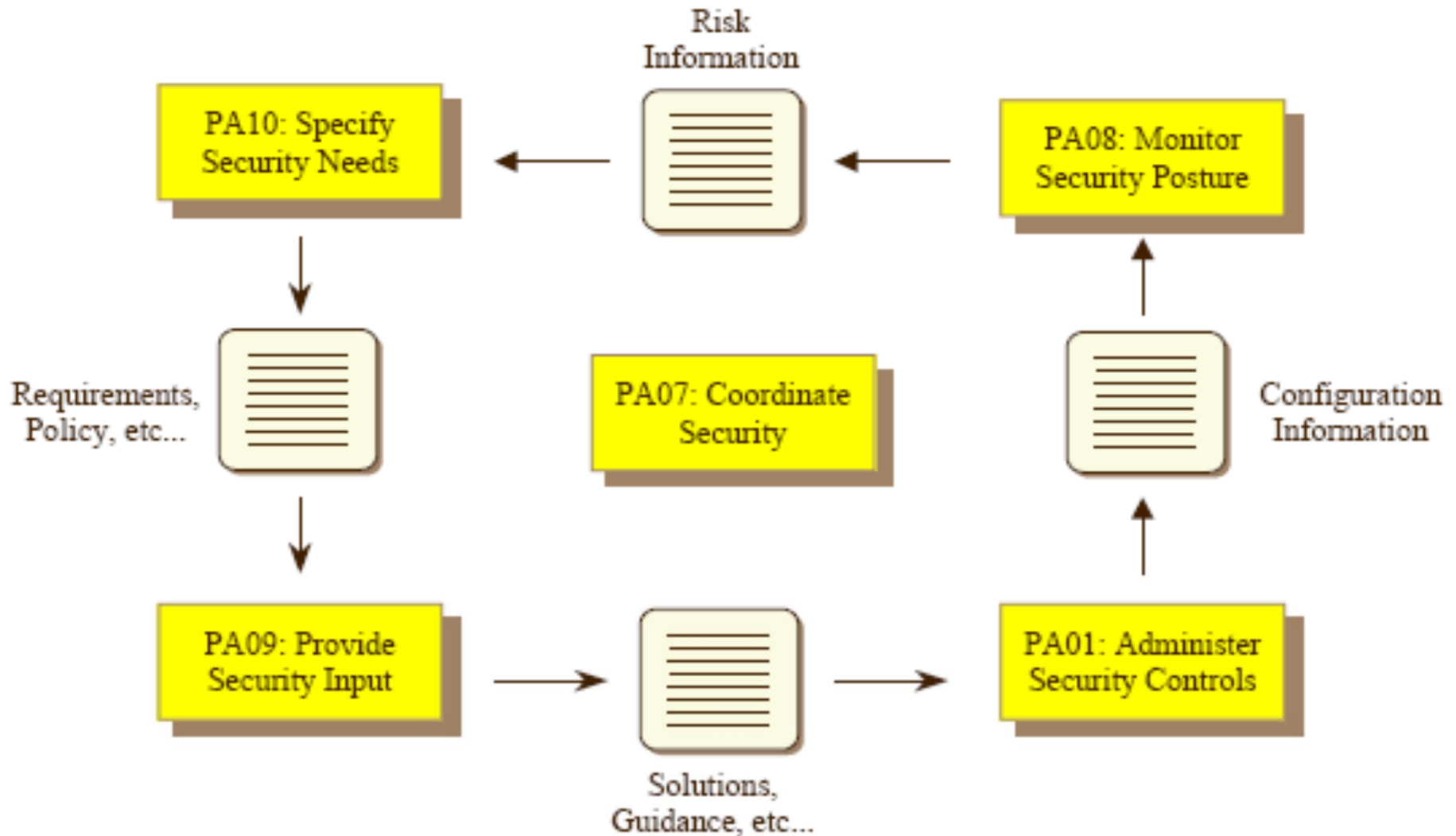
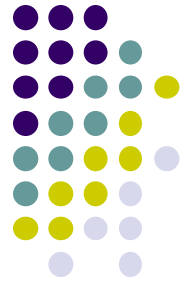
# Security Engineering Process



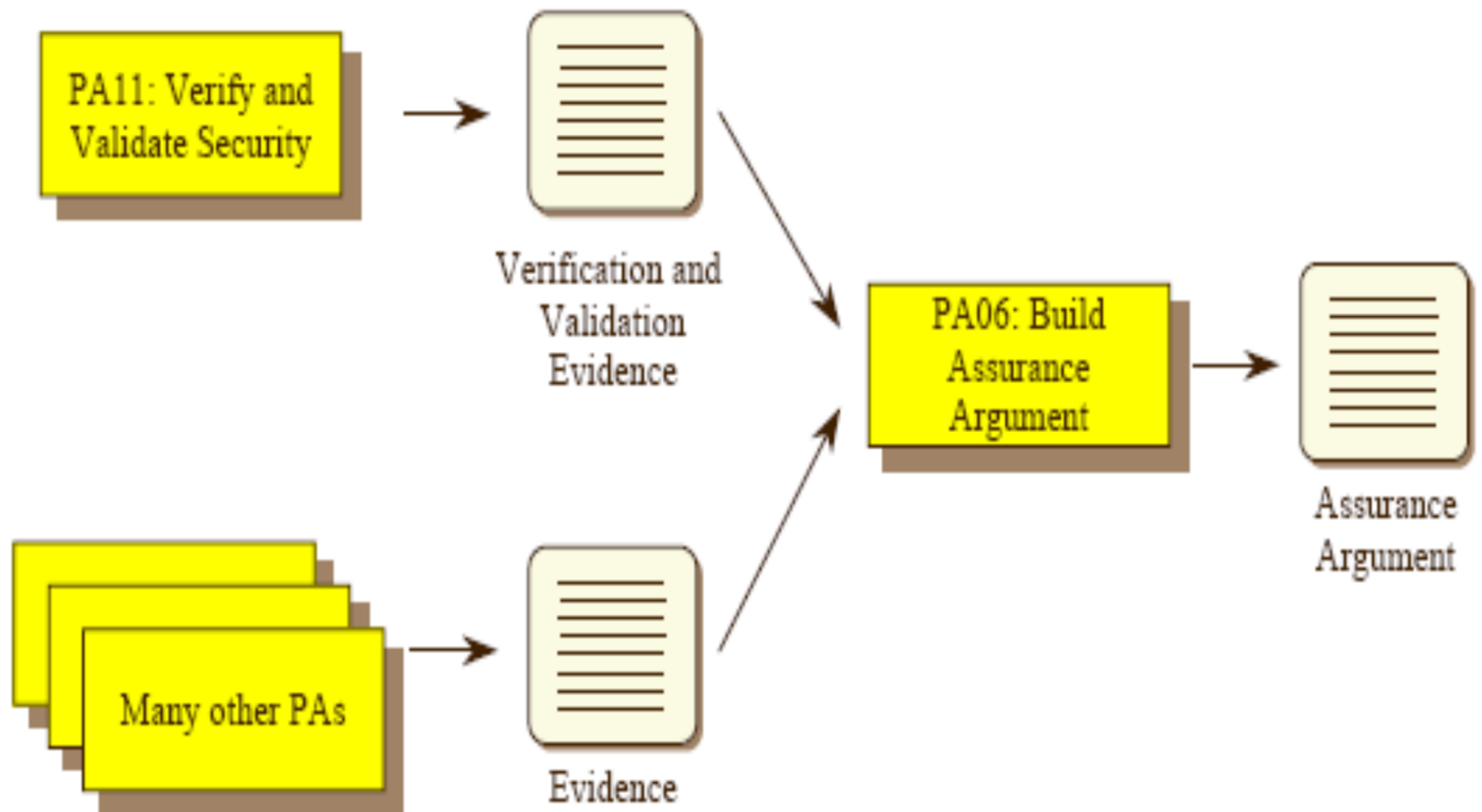
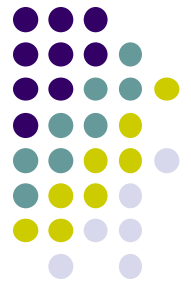
# Security Risk Process



# Security is part of Engineering



# Assurance

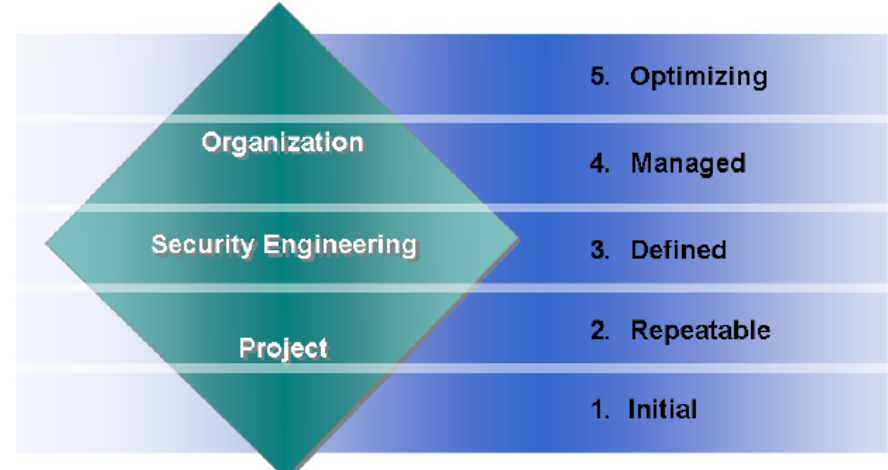


# SSE-CMM Dimensions

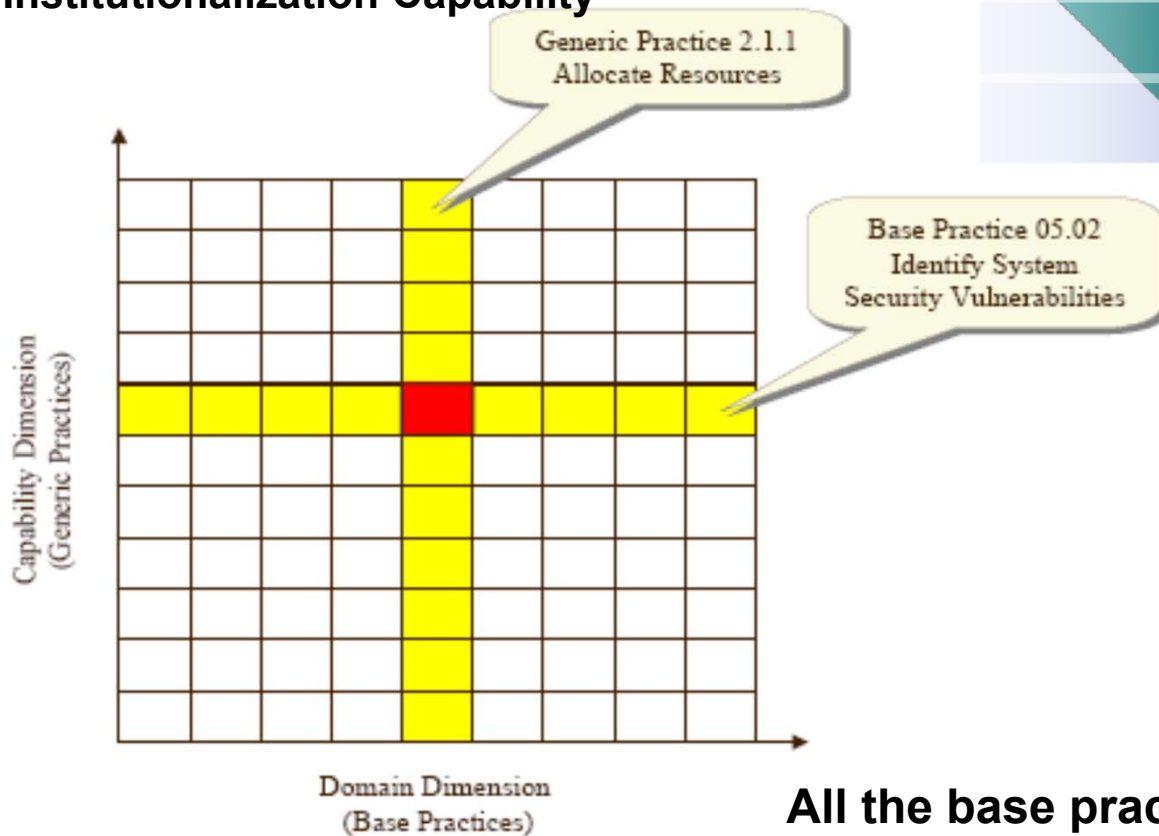


**DOMAIN**  
(Process Areas)

**CAPABILITY LEVEL**  
(Common Features)

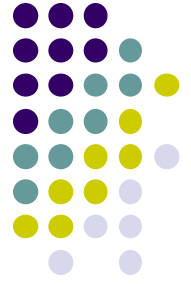


Practices (generic) that indicate  
Process Management &  
Institutionalization Capability

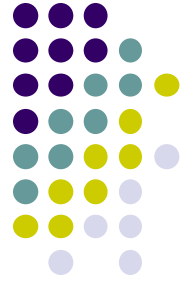


All the base practices

# SSE-CMM



- 129 base practices **organized** into 22 process areas
  - *Security engineering* : 61 of these - organized in 11 process areas
  - *Project* and *Organization* domains : remaining
- Base practice
  - Applies across the life cycle of the enterprise
  - Does not overlap with other base practices
  - Represents a “*best practice*” of the security community
  - Does not simply reflect a state of the art technique
  - Is applicable using multiple methods in multiple business context
  - Does not specify a particular method or tool



# Process Area

- Assembles related activities in one area for ease of use
- Relates to valuable security engineering services
- Applies across the life cycle of the enterprise
- Can be implemented in multiple organization and product contexts
- Can be improved as a distinct process
- Can be improved by a group with similar interests in the process
- Includes all base practices that are required to meet the goals of the process area



# Process Areas

Security Engineering Process Areas	# of Base Practices
Administer Security Controls	4
Assess Impact	6
Assess Security Risk	6
Assess Threat	6
Assess Vulnerability	5
Build Assurance Argument	5
Coordinate Security	4
Monitor Security Posture	7
Provide Security Input	6
Specify Security Needs	7
Verify and Validate Security	5

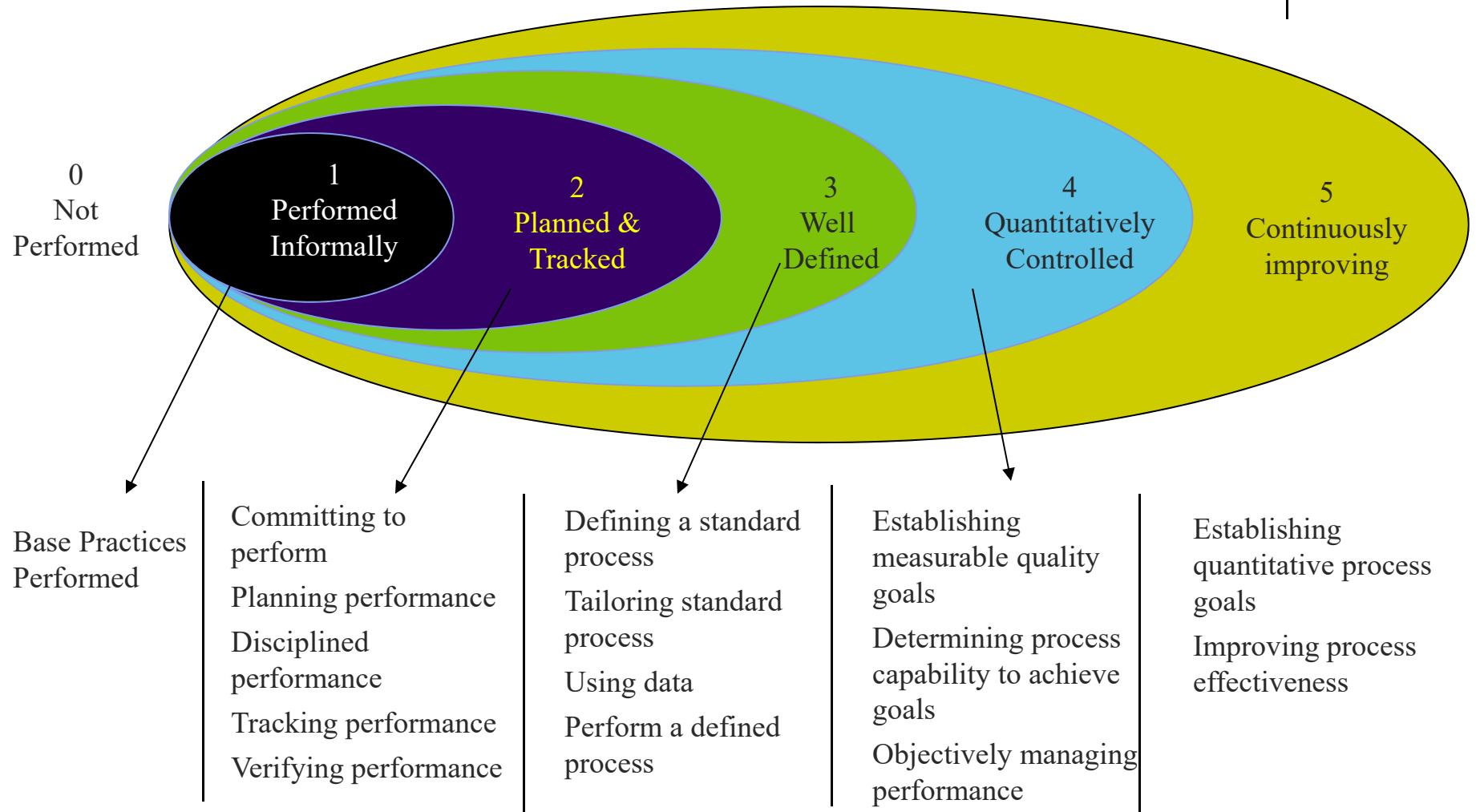
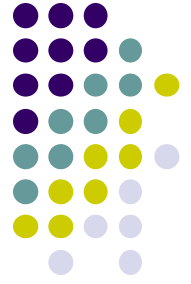
Project and Organizational Process Areas	# of Base Practices
Ensure Quality	8
Manage Configuration	5
Manage Project Risk	6
Monitor and Control Technical Effort	6
Plan Technical Effort	10
Define Organization's Security Engineering Process	4
Improve Organization's Security Engineering Process	4
Manage Product Line Evolution	5
Manage Systems Engineering Support Environment	7
Provide Ongoing Skills and Knowledge	8
Coordinate with Suppliers	5



# Generic Process Areas

- Activities that apply to all processes
- They are used during
  - Measurement and institutionalization
- Capability levels
  - Organize common features
  - Ordered according to maturity

# Capability Levels



## Summary Chart.

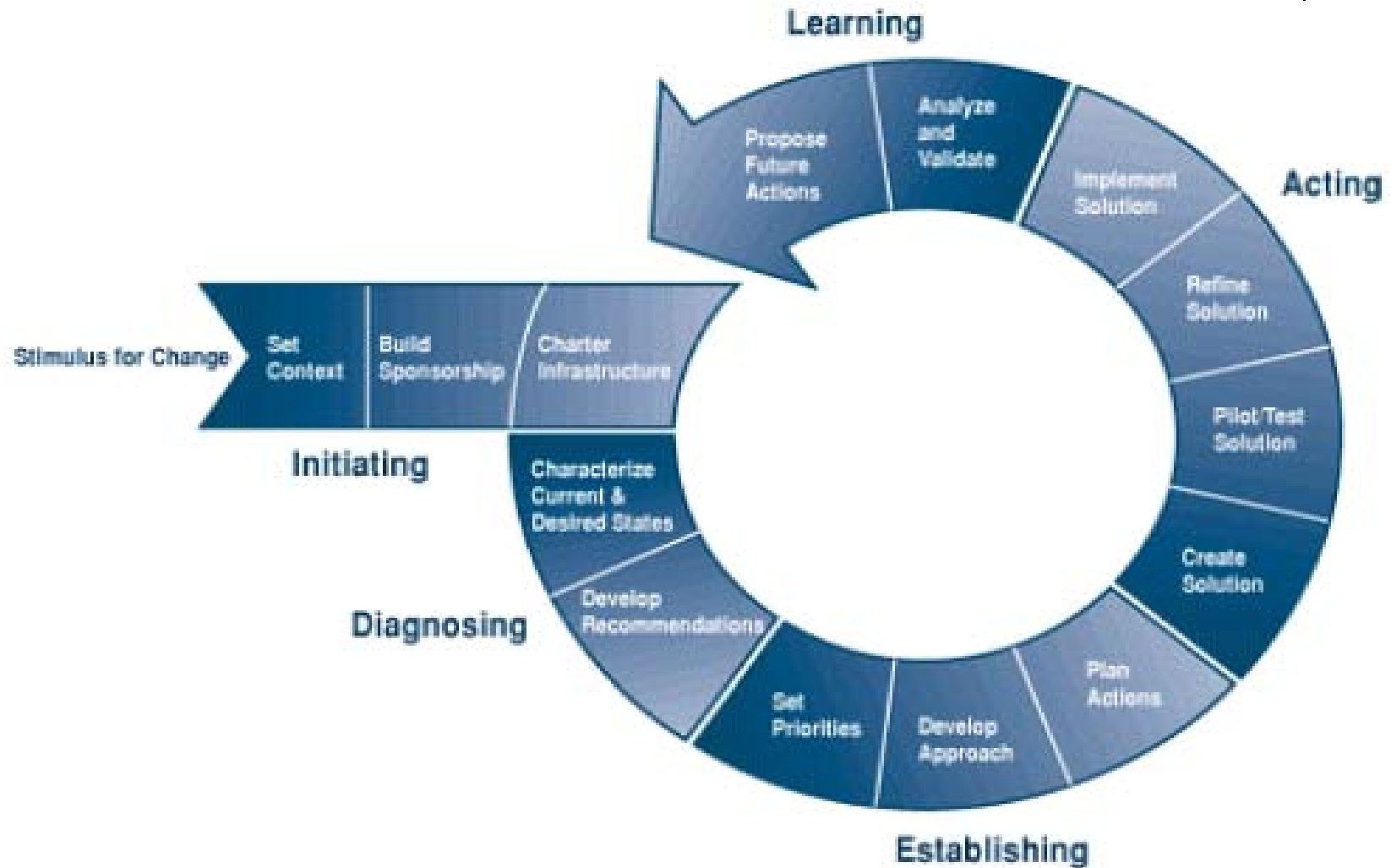
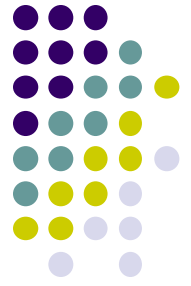
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# Using SSE-CMM

- Can be used in one of the three ways
  - Process improvement
    - Facilitates understanding of the level of security engineering process capability
  - Capability evaluation
    - Allows a consumer organization to understand the security engineering process capability of a provider
  - Assurance
    - Increases the confidence that product/system/service is trustworthy

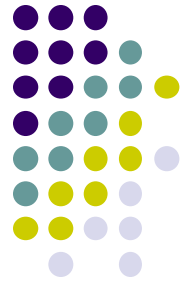
# Process Improvement





# Capability Evaluation

- No need to use any particular appraisal method
- SSE-CMM Appraisal (SSAM) method has been developed if needed
- SSAM purpose
  - Obtain the baseline or benchmark of actual practice related to security engineering within the organization or project
  - Create or support momentum for improvement within multiple levels of the organizational structure



# SSAM Overview

- Planning phase
  - Establish appraisal framework
- Preparation phase
  - Prepare team for onsite phase through information gathering (questionnaire)
  - Preliminary data analysis indicate what to look for / ask for
- Onsite phase
  - Data gathering and validation with the practitioner interviews
- Post-appraisal
  - Present final data analysis to the sponsor

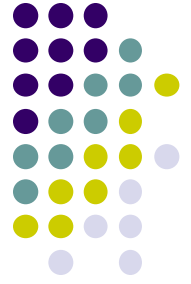




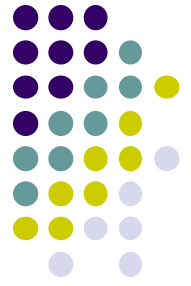
# Assurance

- A mature organization
  - more likely to create a product or system with appropriate assurance
- Process evidence
  - to support claims for the product trustworthiness
- It is conceivable that
  - An immature organization could produce high assurance product.

# CMMI/iCMM/SSE-CMM

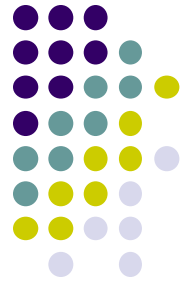


- CMMI / iCMM used by more organizations than the SSE-CMM
  - Because of the integration of process disciplines and coverage of enterprise issues,
- One weakness CMMI and iCMM
  - have gaps in their coverage of safety and security.
- Joint effort sponsored by FAA and the DoD
  - to identify *best safety and security* practices for use in combination with the iCMM and the CMMI.



# Safety/Security additions

- The proposed Safety and Security additions include the following four goals:
  - **Goal 1** – An *infrastructure* for safety and security is established and maintained.
  - **Goal 2** – Safety and security *risks* are identified and managed.
  - **Goal 3** – Safety and security *requirements* are satisfied.
  - **Goal 4** – Activities and products are *managed* to achieve safety and security requirements and objectives.



# Goal 1 related practices

1. Ensure safety and **security awareness**, guidance, and competency.
2. Establish and maintain a **qualified work environment** that meets safety and security needs.
3. Ensure integrity of information by providing for its **storage and protection**, and **controlling access** and distribution of information.
4. **Monitor, report and analyze** safety and security **incidents** and identify potential corrective actions.
5. Plan and provide for **continuity of activities** with contingencies for threats and hazards to operations and the infrastructure

**Goal 1 – An infrastructure for safety and security is established and maintained.**

# Goal 2 related practices



1. **Identify risks** and sources of risks attributable to vulnerabilities, security threats, and safety hazards.
2. For each risk associated with safety or security, determine the causal **factors**, estimate the consequence and **likelihood** of an occurrence, and determine relative priority.
3. For each risk associated with safety or security, determine, implement and monitor the **risk mitigation** plan to achieve an acceptable level of risk.

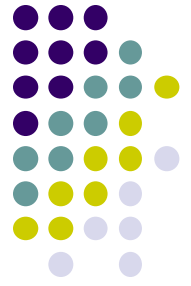
Goal 2 – Safety and security risks are identified and managed.



## Goal 3 related practices

1. Identify and document applicable **regulatory** requirements, laws, standards, policies, and acceptable levels of safety and security.
2. Establish and maintain **safety and security requirements**, including integrity levels, and design the product or service to meet them.
3. Objectively **verify** and validate work products and delivered products and services to assure safety and security requirements have been achieved and fulfill intended use.
4. Establish and maintain safety and security **assurance** arguments and supporting evidence throughout the lifecycle.

**Goal 3 – Safety and security requirements are satisfied.**



## Goal 4 related practices

1. Establish and maintain **independent reporting** of safety and security status and issues.
2. Establish and maintain a **plan to achieve** safety and security requirements and objectives.
3. **Select and manage products** and suppliers using safety and security criteria.
4. **Measure, monitor and review** safety and security activities against plans, control products, take corrective action, and improve processes.

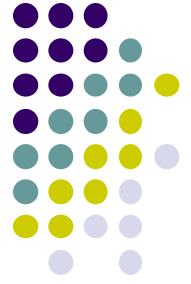
**Goal 4 – Activities and products are managed to achieve safety and security requirements and objectives.**

# Team Software Process for Secure SW/Dev



- TSP
  - provides a framework, a set of processes, and disciplined methods for applying software engineering principles at the team and individual level
- TSP for Secure Software Development (TSP-Secure)
  - focus more directly on the security of software applications.

# Team Software Process for Secure SW/Dev



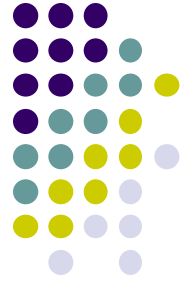
- TSP-Secure addresses secure software development (three ways).
  1. **“Secure software is not built by accident”**
    - **Plan**: TSP-Secure addresses planning for security.
    - **Self-direct**: Since schedule pressures and people issues get in the way of implementing best practices, TSP-Secure helps to build **self-directed development teams**, and then put these teams in charge of their own work.

# TSP-Secure

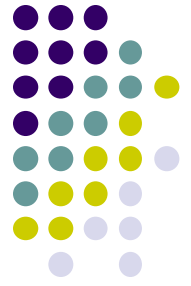


1. Since security and quality are closely related,
  - TSP-Secure helps manage **quality** throughout the product development life cycle.
2. Since people building secure software must have an awareness of software security issues,
  - TSP-Secure includes **security awareness training for developers**.

# TSP-Secure

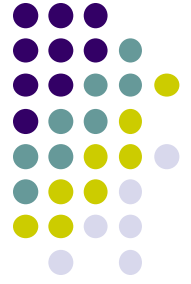


- Teams
  - Develop their own plans
  - Make their own commitments
  - Track and manage their own work
  - Take corrective action when needed



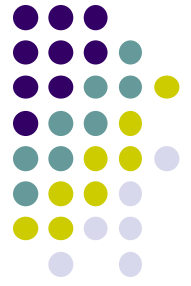
# TSP-Secure

- Initial planning – “Project Launch” (3-4 days)
  - Tasks include
    - identifying security risks,
    - eliciting and defining security requirement, secure design, and code reviews,
    - use of static analysis tools, unit tests, and Fuzz testing.
- Next, the team executes its plan, and ensures all security related activities are taking place.
  - Security status is presented and discussed during every management status briefing.



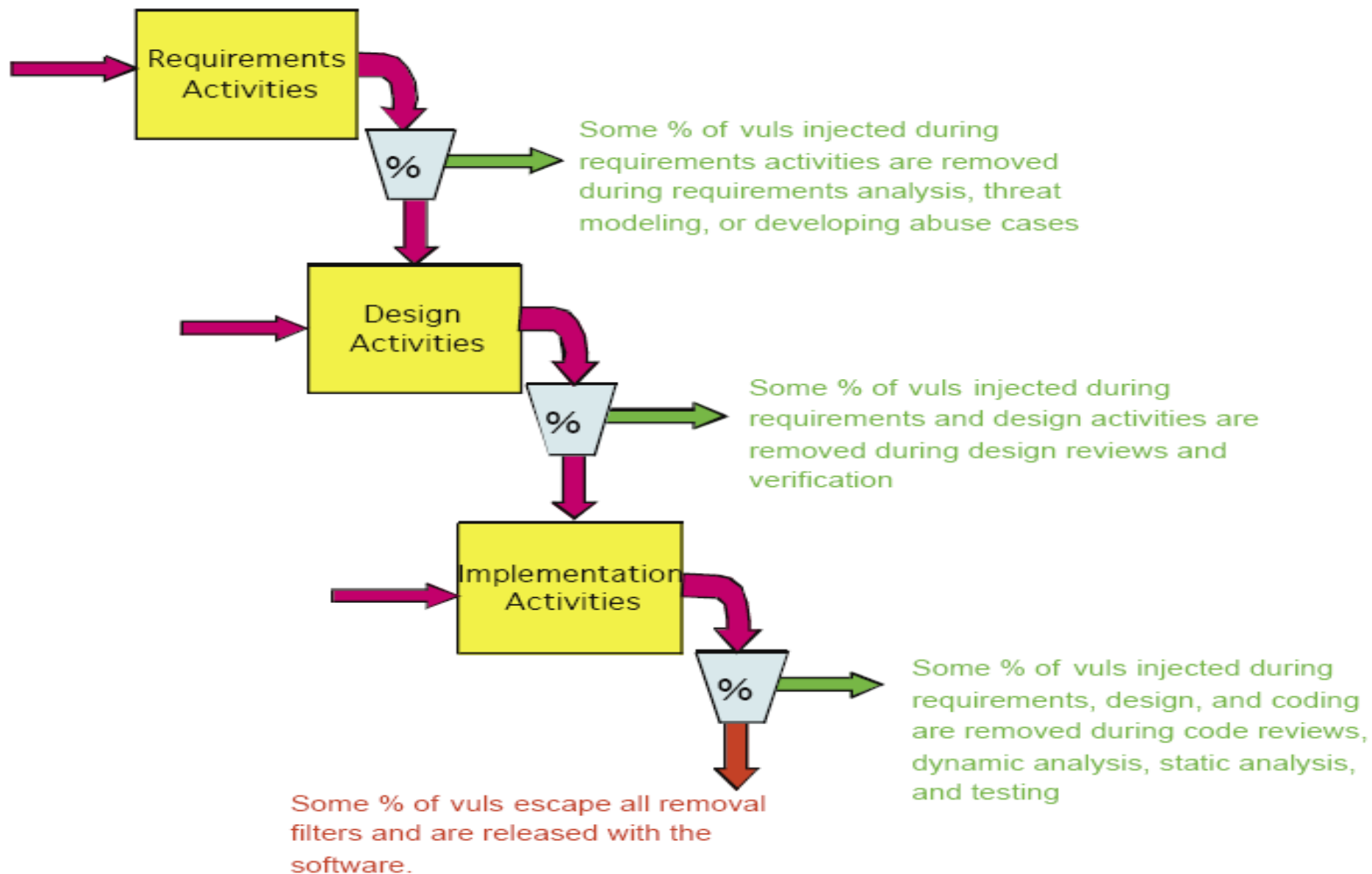
# TSP-Secure

- Basis
  - Defective software is seldom secure
  - Defective software is not inevitable
    - Consider cost of reducing defects
    - Manage defects throughout the lifecycle
  - Defects are leading cause of vulnerabilities
    - Use multiple defect removal points in the SD: *Defect filters*



# TSP-Secure

- Key questions in managing defects
  - What type of defects lead to security vulnerabilities?
  - Where in the software development life cycle should defects be measured?
  - What work products should be examined for defects?
  - What tools and methods should be used to measure the defects?
  - How many defects can be removed at each step?
  - How many estimated defects remain after each removal step?
- TSP-Secure includes training for developers, managers, and other team members.





# Correctness by Construction

- CbC Methodology from Praxis Critical Systems
  - Process for developing high integrity software
  - Has been successfully used to develop safety-critical systems
  - Removes defects at the earliest stages
- uses formal methods to specify behavioral, security and safety properties of the software.



# Correctness by Construction

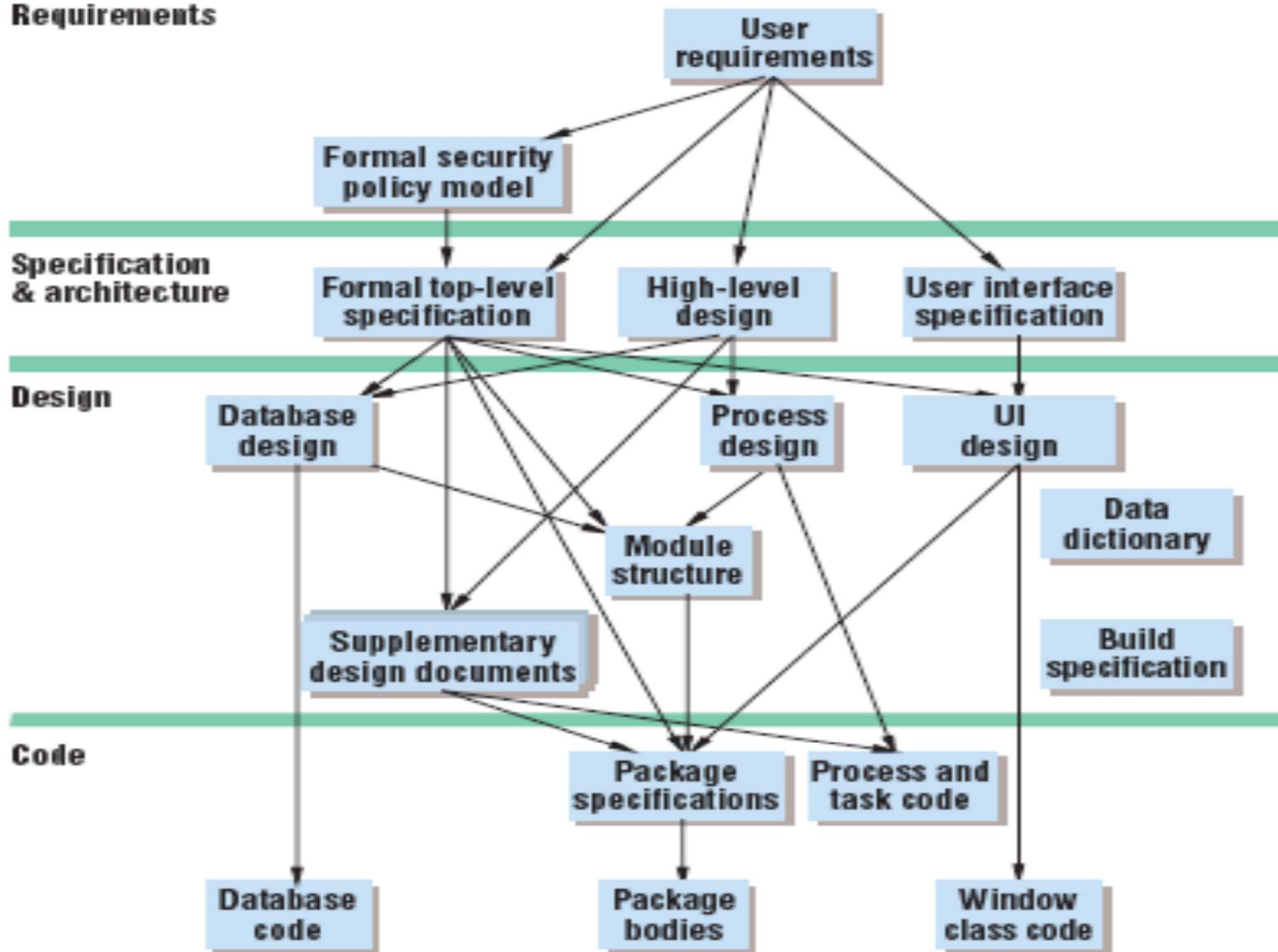
- The seven key principles of Correctness-by-Construction are:
  - Expect requirements to change
  - Know why you're testing (debug + verification)
  - Eliminate errors before testing
  - Write software that is easy to verify
  - Develop incrementally
  - Some aspects of software development are just plain hard
  - Software is not useful by itself



# Correctness by Construction

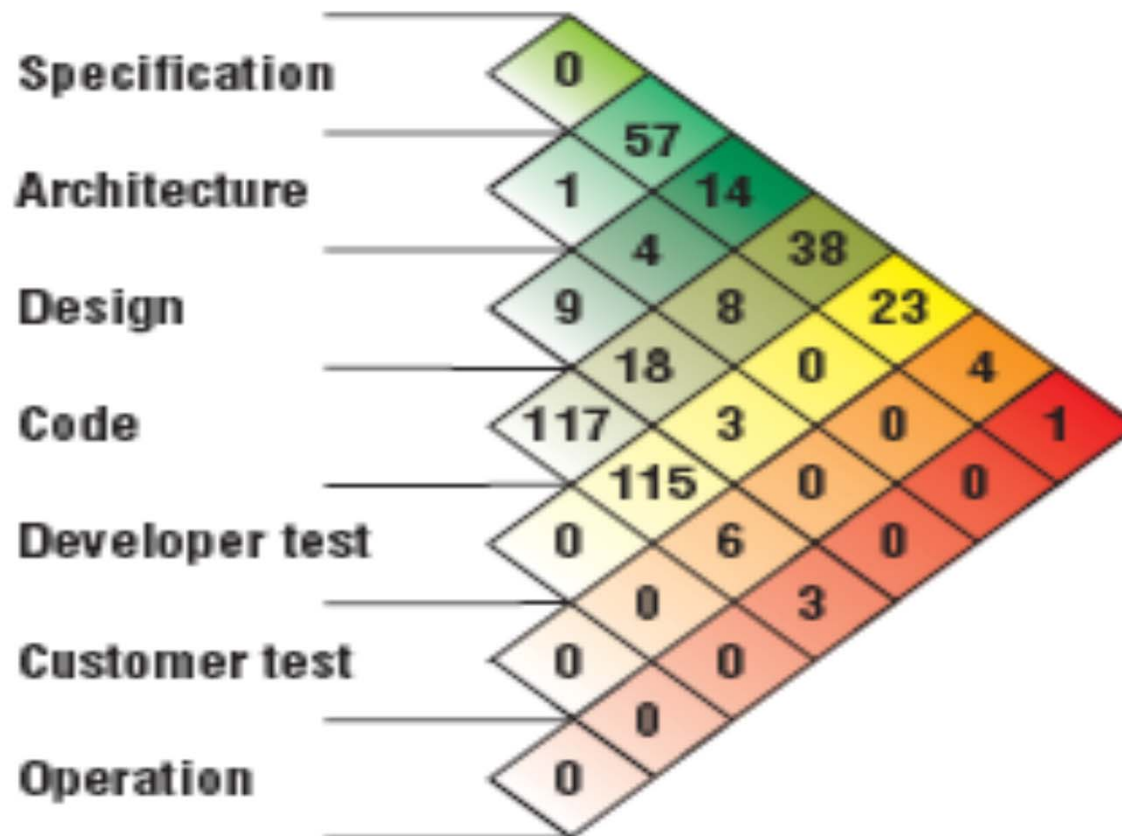
- Correctness-by-Construction is
  - one of the few secure SDLC processes that incorporate formal methods into many development activities.
  - Requirements are specified using Z, and verified.
  - Code (in Spark) is checked by verification software.

## Requirements



# Correctness by Construction

## Defect detection/Correction





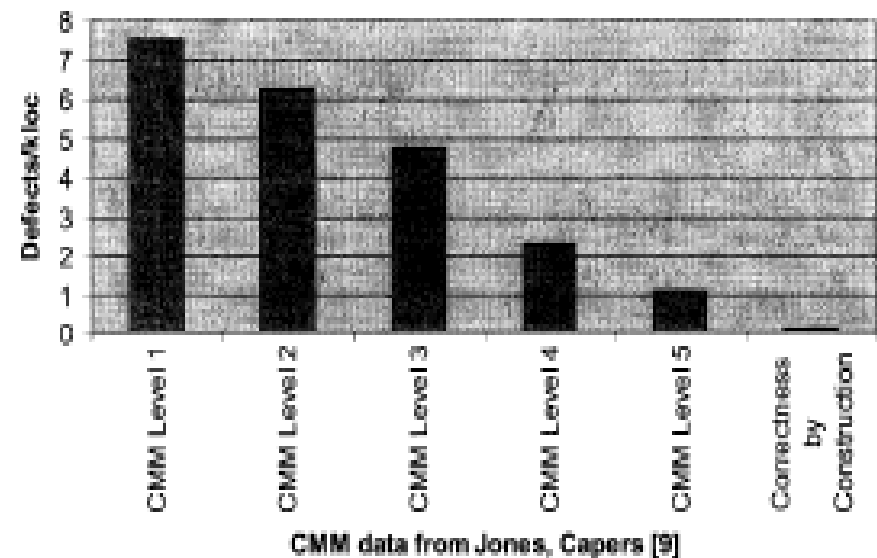
# Effort and Defect Rate

**Table 1**

## Distribution of effort.

Activity	Effort (%)
Requirements	2
Specification and architecture	25
Code	14
Test	34
Fault fixing	6
Project management	10
Training	3
Design authority	3
Development- and target-environment	3

Correctness by Construction defect rates compared to Capability Maturity Model data



# Agile Methods



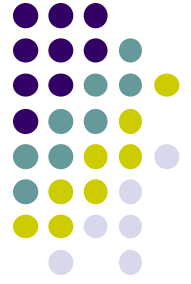
- Agile manifesto
  - “We are uncovering better ways of developing software by doing it and helping others do it. Through this work we have come to value:
    - *Individuals and interactions* over processes and tools
    - *Working software* over comprehensive documentation
    - *Customer collaboration* over contract negotiation
    - *Responding to change* over following a plan

# Agile manifesto principles



- Our highest priority is to satisfy the customer through early and continuous delivery of valuable software.
- Welcome changing requirements, even late in development. Agile processes harness change for the customer's competitive advantage.
- Deliver working software frequently, from a couple of weeks to a couple of months, with a preference to the shorter timescale.
- Business people and developers work together daily throughout the project.
- Build projects around motivated individuals. Give them the environment and support they need, and trust them to get the job done.
- The most efficient and effective method of conveying information to and within a development team is face-to-face conversation.
- Working software is the primary measure of progress.
- Agile processes promote sustainable development. The sponsors, developers and users should be able to maintain a constant pace indefinitely.
- Continuous attention to technical excellence and good design enhances agility.
- Simplicity—the art of maximizing the amount of work not done—is essential.
- The best architectures, requirements and designs emerge from self-organizing teams.
- At regular intervals, the team reflects on how to become more effective, then tunes and adjusts its behavior accordingly.

# Agile Processes



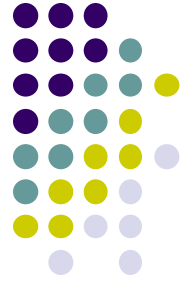
- Among many variations
  - Adaptive software development (ASP)
  - Extreme programming (XP)
  - Crystal
  - Rational Unified Process (RUP)

# TSP Revisited

## - How TSP Relates to Agile ..



- *Individuals and interactions* over processes and tools
- TSP holds that the individual is key to product quality and effective member interactions are necessary to the team's success.
  - Project launches strive to create gelled teams.
  - Weekly meetings and communication are essential to sustain them.
  - Teams define their own processes in the launch.



# How TSP Relates

- *Working software* over comprehensive documentation
- TSP teams can choose evolutionary or iterative lifecycle models to deliver early functionality—the focus is on high quality from the start. TSP does not require heavy documentation.
  - Documentation should merely be sufficient to facilitate effective reviews and information sharing.



# How TSP Relates

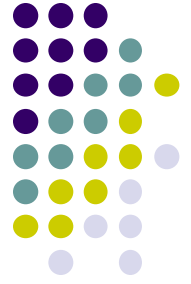
- *Customer collaboration over contract negotiation*
- Learning what the customer wants is a key focus of the “launch”. Sustaining customer contact is one reason for having a customer interface manager on the team.
  - Focus on negotiation of a contract is more a factor of the organization than of whether TSP is used.



# How TSP Relates

- *Responding to change* over following a plan
- TSP teams expect and plan for change by:
  - Adjusting the team's process through **process improvement proposals and weekly meetings**.
  - Periodically re-launching and re-planning **whenever the plan is no longer a useful guide**.
  - Adding new tasks as they are discovered; removing tasks that are no longer needed.
  - Dynamically rebalancing the team workload as required to finish faster.
  - Actively identifying and managing risks.

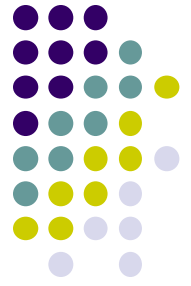
Security assurance method or technique		Match (2)	Independent (8)	(semi)-automated (4)	Mis-match (12)
Requirements	Guidelines		X		
	Specification analysis				X
	Review				X
Design	Application of specific architectural approaches		X		
	Use of secure design principles		X		
	Formal validation				X
	Informal validation				X
	Internal review	X			
	External review				X
Implementation	Informal correspondence analysis				X
	Requirements testing			X	
	Informal validation				X
	Formal validation				X
	Security testing			X	
	Vulnerability and penetration testing			X	
	Test depth analysis				X
	Security static analysis			X	
	High-level programming languages and tools		X		
	Adherence to implementation standards		X		
	Use of version control and change tracking		X		
	Change authorization				X
	Integration procedures		X		
	Use of product generation tools		X		
	Internal review	X			
	External review				X
	Security evaluation				X



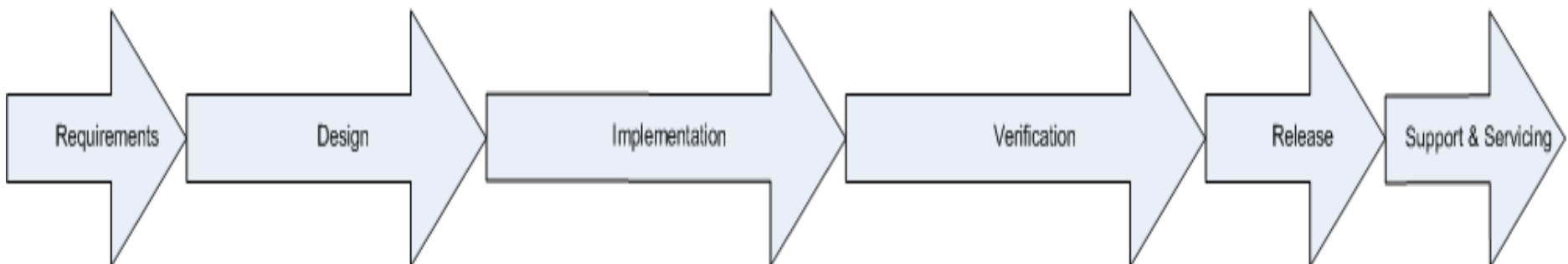
## Besosnov Comparison

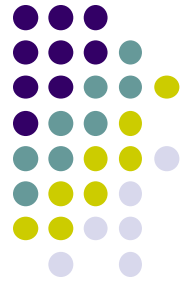
- 50% of traditional security assurance activities are not compatible with Agile methods (12 out of 26),
- less than 10% are natural fits (2 out of 26),
- about 30% are independent of development method, and
- slightly more than 10% (4 out of 26) could be semi-automated and thus integrated more easily into the Agile methods.

# Microsoft Trustworthy Computing SDLC



- Generally accepted SDL process at MS
- (actually spiral not “waterfall” as it indicates)





# SDL Overview

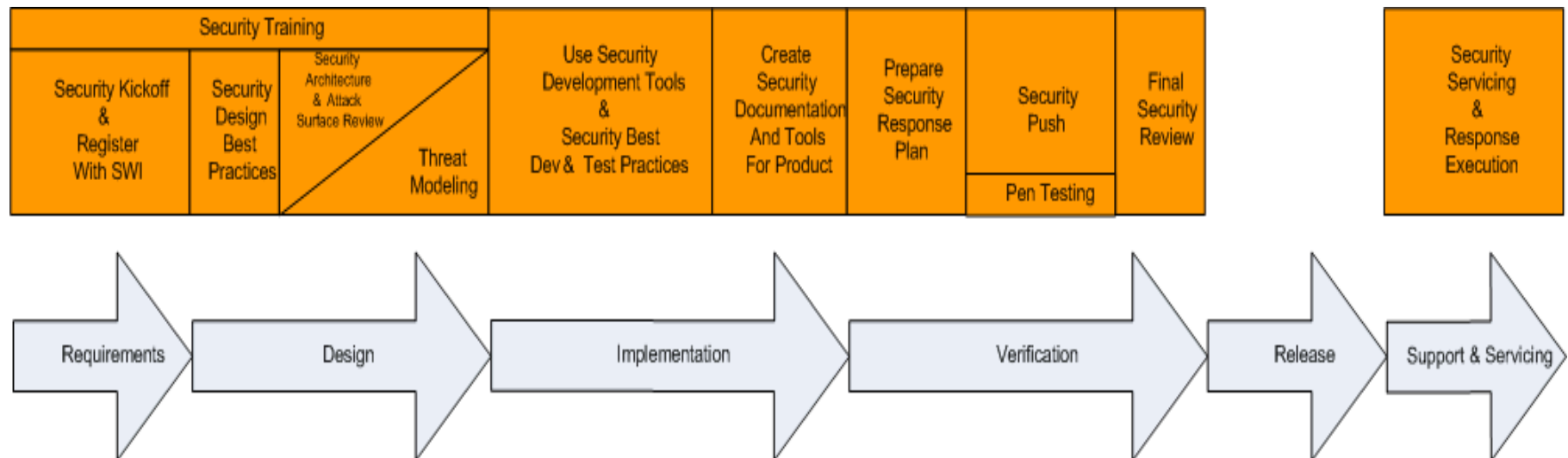
- MS's SD<sup>3</sup> + C paradigm
  - Secure by Design
  - Secure by Default
  - Secure by Deployment
  - Communications
    - software developers should be prepared for the discovery of product vulnerabilities and should communicate openly and responsibly

The SDL is updated as shown next



# SDL at MS

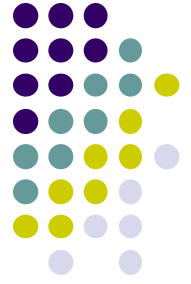
- Add the SD<sup>3</sup> + C praradigm





# Design Phase

- Define Security architecture and design guidelines
  - Identify tcb; use layering etc.
- Document the elements of the software attack surface
  - Find out default security
- Conduct threat modeling
- Define supplemental ship criteria



## Implementation phase

- Apply coding and testing standards
- Apply security testing tools including fuzzing tools
- Apply static analysis code scanning tools
- Conduct code reviews



# Verification Phase

- “Security push” for Windows server 2003
  - Includes code review beyond those in implementation phase and
  - Focused testing
- Two reasons for “security push”
  - Products had reached the verification phase
  - Opportunity to review both code that was developed or updated during the implementation phase and “legacy code” that was not modified

# Results

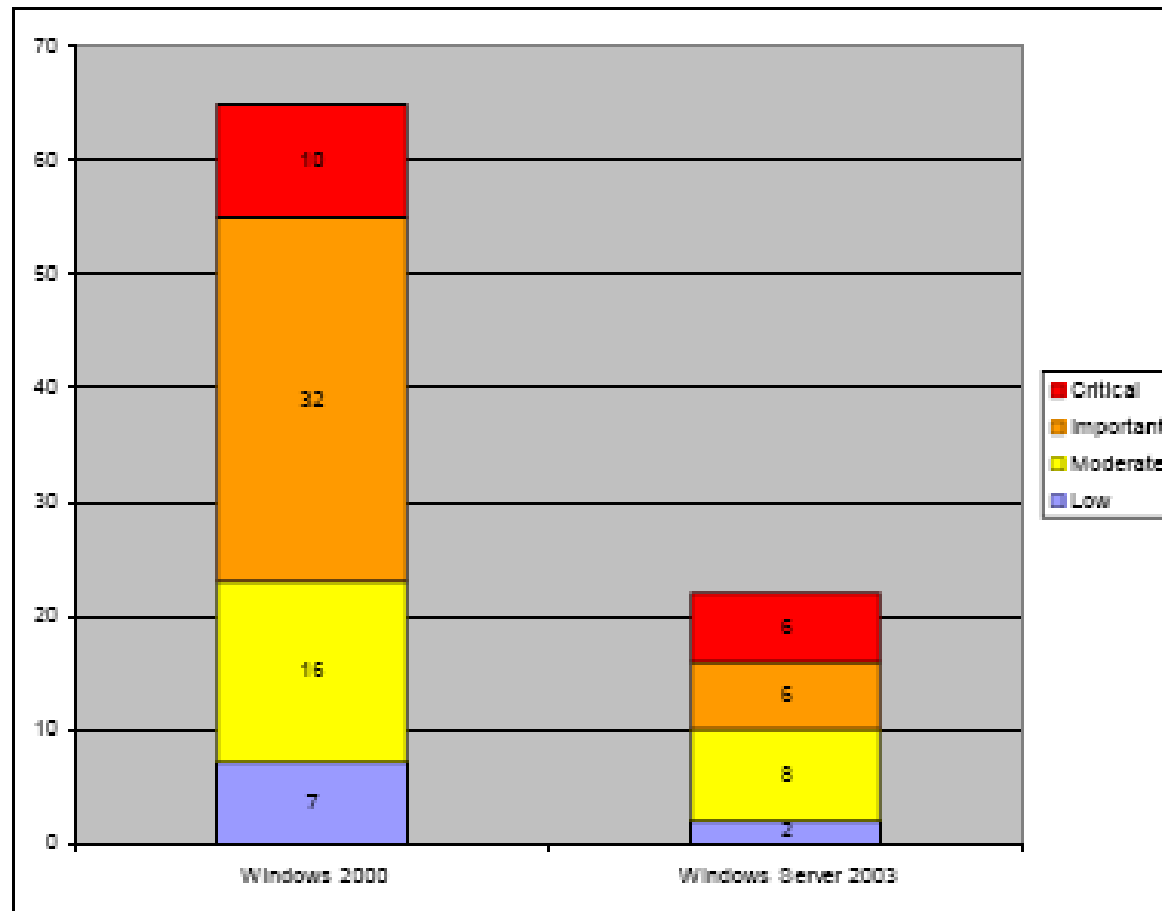
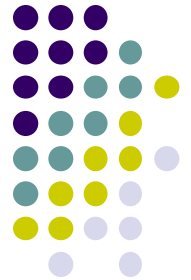
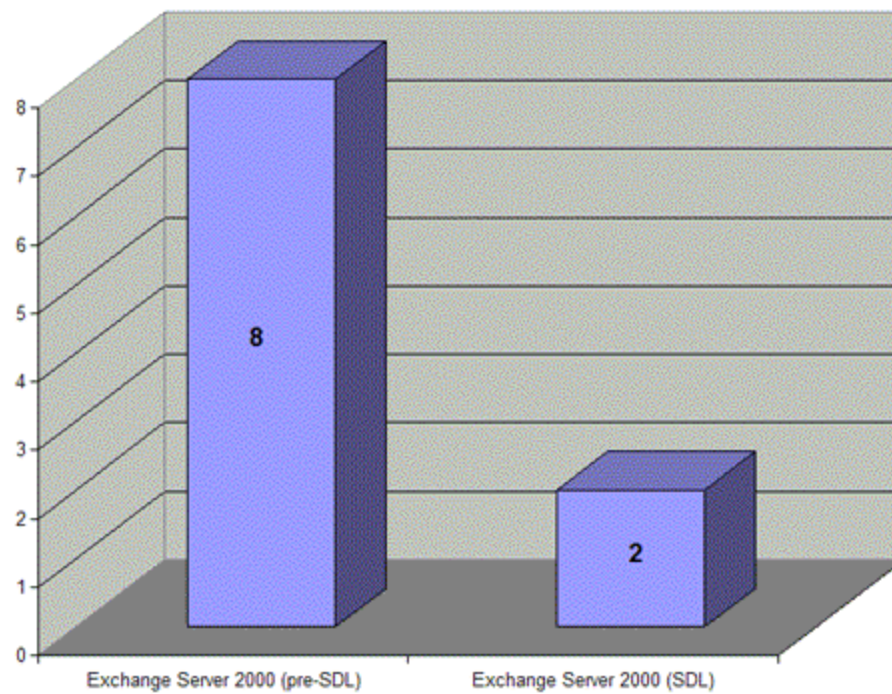
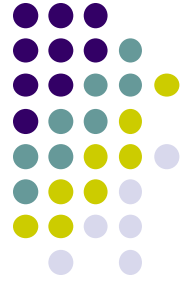


Figure 3. First Year Security Bulletins: Windows 2000 vs. Windows Server 2003

# Results





- Topic to be continued ...