

Technical Report

**Systems and software engineering—
Systems and software assurance**

Part 1: Concepts and vocabulary



SA/SNZ TR 15026.1:2013

This Joint Australian/New Zealand Technical Report was prepared by Joint Technical Committee IT-015, Software and Systems Engineering. It was approved on behalf of the Council of Standards Australia on 2 May 2013 and on behalf of the Council of Standards New Zealand on 29 April 2013.

This Technical Report was published on 24 May 2013.

The following are represented on Committee IT-015:

Australian Computer Society
Australian Society for Technical Communication, NSW
Charles Sturt University
Department of Defence, Australia
Griffith University
Quantitative Enterprise Software Performance
La Trobe University
National Association of Testing Authorities Australia
National ICT Australia
New Zealand Organisation for Quality
NSW Business Chamber
Systems Engineering Society of Australia
University of Auckland
University of Technology, Sydney
Vendor Interests, New Zealand

Keeping Standards up-to-date

Standards are living documents which reflect progress in science, technology and systems. To maintain their currency, all Standards are periodically reviewed, and new editions are published. Between editions, amendments may be issued. Standards may also be withdrawn. It is important that readers assure themselves they are using a current Standard, which should include any amendments which may have been published since the Standard was purchased.

Detailed information about joint Australian/New Zealand Standards can be found by visiting the Standards Web Shop at www.saiglobal.com.au or Standards New Zealand web site at www.standards.co.nz and looking up the relevant Standard in the on-line catalogue.

For more frequent listings or notification of revisions, amendments and withdrawals, Standards Australia and Standards New Zealand offer a number of update options. For information about these services, users should contact their respective national standards organization.

We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Please address your comments to the Chief Executive of either Standards Australia or Standards New Zealand at the address shown on the back cover.

This Standard was issued in draft form for comment as DR AS/NZS ISO/IEC 10526.1.

Technical Report

Systems and software engineering— Systems and software assurance

Part 1: Concepts and vocabulary

First published as SA/SNZ TR 15026.1:2013.

COPYRIGHT

© Standards Australia Limited/Standards New Zealand

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher, unless otherwise permitted under the Copyright Act 1968 (Australia) or the Copyright Act 1994 (New Zealand).

Jointly published by SAI Global Limited under licence from Standards Australia Limited, GPO Box 476, Sydney, NSW 2001 and by Standards New Zealand, Private Bag 2439, Wellington 6140.

ISBN 978 1 74342 449 0

PREFACE

This Technical Report was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-015, Software and Systems Engineering.

The objective of this Technical Report is to define terms and establish an extensive and organized set of concepts and their relationships, thereby establishing a basis for shared understanding of the concepts and principles central to the AS/NZS ISO/IEC 15026 series across its user communities. It provides information to users of the subsequent parts of AS/NZS ISO/IEC 15026, including the use of each part and the combined use of multiple parts.

This Technical Report is identical with, and has been reproduced from ISO/IEC TR 15026-1:2010, *Systems and software engineering—Systems and software assurance—Part 1: Concepts and vocabulary*, and its Corrigendum 1 (2012) which has been added at the end of the source text.

As this Technical Report is reproduced from an International Technical Report, the following applies:

- (a) In the source text ‘this part of ISO/IEC 15026’ should read ‘this Technical Report’.
- (b) A full point substitutes for a comma when referring to a decimal marker.

The term ‘informative’ has been used in this Technical Report to define the application of the annex to which it applies. An ‘informative’ annex is only for information and guidance.

CONTENTS

1	Scope	1
2	Terms and definitions	1
3	Document purpose and audience	4
4	Organization of report	4
5	Basic concepts	4
5.1	Introduction	4
5.2	Stakeholders	4
5.3	System and Product	6
5.4	Uncertainty	6
5.5	Assurance	6
6	How to use multiple parts of ISO/IEC 15026	7
6.1	Introduction	7
6.2	Initial usage concerns	7
6.3	Internal structure of parts	8
6.4	Relationships among parts of ISO/IEC 15026	9
6.5	Authorities	9
6.6	Mitigation of ambiguity	9
7	Assurance Case	10
7.1	Introduction	10
7.2	Claims	13
7.3	Arguments	23
7.4	Evidence	34
7.5	Management and life cycle of assurance case	39
7.6	Decision making using the assurance case	40
8	ISO/IEC 15026 and integrity levels	42
8.1	Introduction	42
8.2	Defining integrity levels	43
8.3	Establishing integrity levels	44
8.4	Planning and performing	45
8.5	Conditions and their initiating or transitioning events	46
8.6	Issues	46
8.7	Outcomes	48
8.8	Summary	48
9	ISO/IEC 15026 and life cycle processes: 15288/12207	49
9.1	Introduction	49
9.2	Technical processes	50
9.3	Transition, Operation, Maintenance and Disposal	55
9.4	Organizational processes	56
10	Summary	57
	Annex A (informative) Frequently asked questions	58
	Annex B (informative) Difficulties with terms and concepts	59
	Annex C (informative) ISO/IEC 15026 relationships to standards	61
	Annex D (informative) Phenomena	64

Annex E (informative) Security	68
Annex F (informative) Selected Related Standards	79
Bibliography	85

Tables

Table 1 — Examples of Stakeholders	5
Table 2 — Some time- and resource-related properties	21
Table 3 — Example ways of showing something is true	24
Table 4 — Communities with different viewpoints and approaches to reasoning	25
Table 5 — Relationship aspects that are possible bases for or relevant to arguments	30
Table D-1 — Some kinds and sources of phenomena	64

List of Figures

Figure 1 — Fragment of Structure	11
Figure 2 — Claim	16
Figure 3 — Argument Context	23
Figure 4 — Simple State Model	28
Figure 5 — Simplified "cause and effect" chains	28
Figure 6 — System and Environment	42
Figure 7 — Two actors cause transitions	47
Figure 8 — Life cycle process groups	49
Figure C-1 — Some relationships among standards	63

INTRODUCTION

Within software and systems assurance and closely related fields, many specialties and subspecialties share concepts but have differing vocabularies and perspectives. This part of ISO/IEC 15026 provides a unifying set of underlying concepts and an unambiguous use of terminology across these various fields. It provides a basis for elaboration, discussion, and recording agreement and rationale regarding concepts and the vocabulary used uniformly across all parts of ISO/IEC 15026.

This part of ISO/IEC 15026 clarifies concepts needed for understanding software and systems assurance and, in particular, those central to the use of subsequent parts of ISO/IEC 15026. This part of ISO/IEC 15026 supports intellectual mastery of software and systems assurance primarily at the level of shared concepts, issues and terminology applicable across a range of properties, application domains, and technologies.

The appreciation of the contents of this part of ISO/IEC 15026 might undergo change as work proceeds on the other parts of ISO/IEC 15026. A revision of this part of ISO/IEC 15026 reflecting any such changes is expected to be later published as an International Standard.

TECHNICAL REPORT

Systems and software engineering—Systems and software assurance**Part 1:
Concepts and vocabulary****1 Scope**

This part of ISO/IEC 15026 defines terms and establishes an extensive and organized set of concepts and their relationships, thereby establishing a basis for shared understanding of the concepts and principles central to ISO/IEC 15026 across its user communities. It provides information to users of the subsequent parts of ISO/IEC 15026, including the use of each part and the combined use of multiple parts.

Coverage of assurance for a service being operated and managed on an ongoing basis is not covered in ISO/IEC 15026.

2 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

2.1**assurance**

grounds for justified confidence that a claim has been or will be achieved

2.2**assurance case**

representation of a claim or claims, and the support for these claims

NOTE An assurance case is a reasoned, auditable artefact created to support the contention its claim or claims are satisfied. It contains the following and their relationships:

- one or more claims about properties;
- arguments that logically link the evidence and any assumptions to the claim(s);
- a body of evidence and possibly assumptions supporting these arguments for the claim(s).

2.3**approval authority**

entity with the authority to decide that the assurance case and the extent of assurance it provides are satisfactory

NOTE 1 The approval authority may include multiple entities, e.g. individuals or organizations. These can include different entities with different levels of approval and/or different areas of interest.

NOTE 2 In two-party situations, approval authority often rests with the acquirer. In regulatory situations, the approval authority may be a third party such as a governmental organization or its agent. In other situations, e.g. the purchase of off-the-shelf products developed by a single-party, the independence of the approval authority can be a relevant issue to the acquirer.