

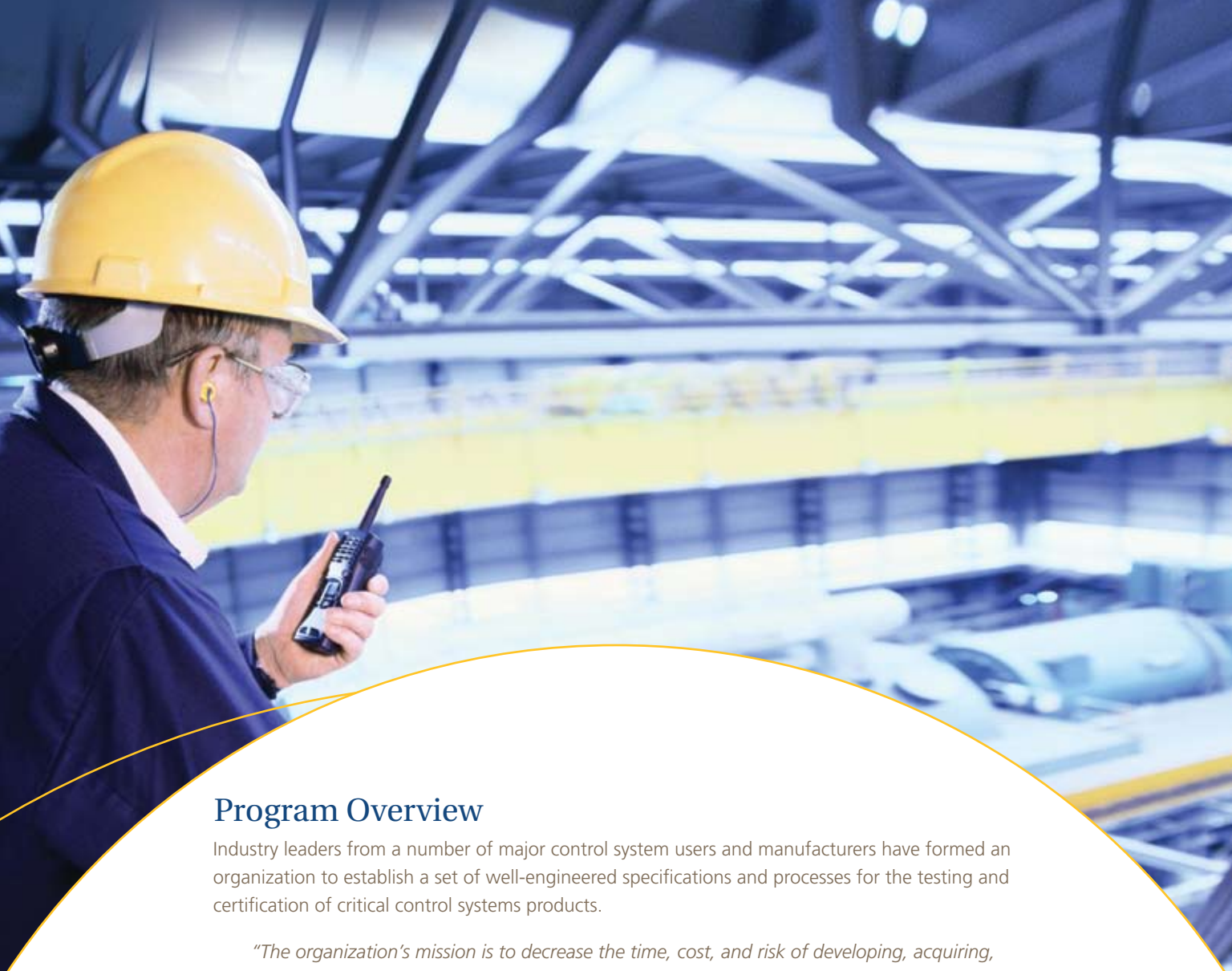


# ISA Security Compliance Institute

*Providing Industrial Control Systems  
Security Standards Compliance*

This prospectus is a solicitation to suppliers and users of automation controls to participate in an industry consortium that ensures compliance to consensus security standards for automation controls. The prospectus summarizes the ISASecure program, its benefits, and your commitments.





## Program Overview

Industry leaders from a number of major control system users and manufacturers have formed an organization to establish a set of well-engineered specifications and processes for the testing and certification of critical control systems products.

*"The organization's mission is to decrease the time, cost, and risk of developing, acquiring, and deploying control systems by establishing a collaborative industry-based program among asset owners, suppliers, and other stakeholders to:*

- *Facilitate the independent testing and certification of control system products to a defined set of control system security standards;*
- *Use existing control system security industry standards, where available, develop or facilitate development of interim standards where they don't already exist, and adopt new standards when they become available;*
- *Accelerate the development of industry standards that can be used to certify that control systems products meet a common set of security requirements.*

*The standards, tests, and conformance processes for control systems products will allow the products to be securely integrated. An ultimate goal is to push the conformance testing into the product development life cycle so that the products are intrinsically secure."*

For more details on the ISA Security Compliance Institute, including history, operations, scope, budget, membership terms, and how to join visit <http://www.isa.org/ISASecure>.

## Compliance Program Benefits

The rewards to the automation controls industry and your company are significant.

For **asset owners**, a well designed and managed product security certification process results in reduced costs and time commitment in product selection and deployment. Key benefits include:

- Certification saves time and costs for validation and verification of security capabilities.
- Certification provides assurances that ISASecure products are more secure 'out of the box', leading to improved process reliability and safety.
- The ISASecure security certification stamp provides instant recognition of product security characteristics and capabilities.
- Asset owners are able to specify and successfully procure ISASecure compliant products that interoperate.
- Certification can mitigate government security compliance regulation with full industry participation.
- Organizations are positioned favorably for insurance requirements that may be emerging for security compliance levels.
- The same kind of assurance "stamp" that exists for safety will exist for security via ISASecure.
- The ISASecure program leverages industry capabilities for reduced overall cost of delivery.



For **suppliers and integrators**, the certification process provides a single compliance framework and an ISASecure industry stamp of approval, resulting in faster time to market and lower development and integration costs. Key benefits include:

- Suppliers are able to make and substantiate clear claims of compliance to a consensus open, industry standard via the ISASecure designation.
- Certification responds to a common need for a shared security vision to be executed by suppliers, asset owners, and consultants. ISASecure profiles help suppliers build what users want.
- The program provides security requirements guidance from industry to suppliers based on ISASecure testing standards.
- The ISASecure program addresses the security characteristics of the product that allow it to be integrated into a larger system.

Finally, for the standards bodies and government agencies developing industrial security specifications, ISASecure promotes better, field-tested standards that are clearly being followed by industry.

## Program Description

The ISA Security Compliance Institute establishes an ISASecure designation which identifies and promotes security standards compliant products and systems. Certification provides the formal recognition of a product's compliance to an industry standard security specification, creating a key differentiator for the product. Compliant products are entitled to carry the ISASecure designation, providing instant recognition of the product's security characteristics to asset owners, integrators, and the buying public.

### Compliance Testing Process

ISA Security Compliance Institute members, working with technical staff retained by the ISA Security Compliance Institute, will develop a set of compliance requirements based on ISA99 security standards and other relevant standards (such as IEC or DHS recommendations). Using the compliance requirements, the ISA Security Compliance Institute will derive and publish ISASecure compliance test specifications.

In addition to establishing a way of certifying compliant products, the ISA Security Compliance Institute will establish a means of certifying compliant tests and agencies. Options include self-assessments by suppliers as well as testing by independent test agencies.

The ISA Security Compliance Institute will establish a means for registration of compliant products and tests, such as a web portal listing ISASecure compliant products.

As part of the process, the technical committees may uncover gaps, deficiencies, and/or clarifications needed in existing security standards used to derive the ISASecure compliance requirements. Through the use of appropriate technical experts retained by the ISA Security Compliance Institute, the findings and recommendations will be conveyed to the appropriate standards organizations, including ISA99 with the goal of more rapidly facilitating development of relevant, comprehensive international consensus standards.

### ISASecure Milestones

The ISA Security Compliance Institute's programs are being structured and launched over a 21 month timeframe. Program milestones and dates for the launch and operations phases are:

<b>Milestone Date</b>	<b>Milestone</b>
December 31, 2007	Founding Strategic Membership Close Date
January 30, 2008	ISA Security Compliance Institute Formal Launch
May 30, 2008	Technical Direction, Scope, and Approach Affirmed
August 31, 2008	Compliance Profiles Completed
November 30, 2008	Certification Program Operations, Policies, and Processes Complete
May 30, 2009	Certification Program Operational
June 1, 2009	Start Processing Certification Requests
June 1, 2010	ISASecure in Procurement Requirements



## Technical Scope of ISA Security Compliance Institute Compliance Testing

Strategically, the technical scope of the ISASecure program extends from the device level to the gateways (Level 0 to Level 3 plus the gateway interface between Level 3 and Level 4) as reflected by this ISA99 reference model.

### ISA99 Reference Model



Industrial Automation & Control Systems

ISA Security Compliance Institute compliance requirements development and testing will be initiated in phases starting with the following devices in priority sequence:

1. Wired IP network devices
2. Wireless IP network devices
3. Windows-based devices

Commencing with the second year of operations, ISASecure compliance profiles will be expanded based on tactical (near term) and strategic (long term) compliance topics.

# Membership Levels and Fees

This prospectus is for all organizations who desire to join the ISA Security Compliance Institute at any level. Those who join before December 31, 2007 at the Strategic Membership level with a two year commitment are designated as Founding Strategic Members. Members joining at the Founding Strategic Membership Level are voting members on the ISA Security Compliance Institute Governing Board and participate in setting the strategic objectives and operating policies of the consortium.

The ISA Security Compliance Institute strives to represent a fair cross section of the automation controls community, using policies and guidelines to ensure that the organization maintains a balance of asset owners, suppliers, and other significant stakeholders.

## Strategic Member

**Voting Member**—Appeals to companies who wish to set the strategic objectives of the consortium.

### Entitlements

- Strategic Members establish and direct the Institute’s market strategy, overall objectives, and operating policies and procedures.
- Strategic Members have voting rights and a guaranteed seat on the Governing Board.
- Strategic Members enjoy all privileges of lower categories of membership.

Founding Strategic Members are those who sign up by December 31, 2007 with an initial two year commitment. They influence the initial direction of the Institute and determine how to achieve a balanced view of asset owners and suppliers. No limit will be set on the size of the initial Governing Board comprised of Founding Strategic Members.

### Annual Dues

\$50,000	Corporate Membership regardless of company revenues
\$133,650	Discounted multi-year Corporate Membership for 3 years paid in full

The annual membership fee for a Founding Strategic Member is \$50,000 with an initial two year commitment.

Strategic Members may commit to a 3 year membership for \$133,650, reflecting a nominal discount for the multi-year commitment.



## Technical Member

**Voting Member**—Appeals to companies who wish to influence compliance specifications and processes. Technical members determine and manage the detailed tasks necessary to develop specifications for compliance profiles, develop procedures and software tools needed for compliance testing, establish technical support programs for suppliers and asset owners, and other outreach activities necessary to operate the ISASecure compliance program.

### Entitlements

Technical Committee Members receive full, voting participation in all technical processes and enjoy all privileges of all categories of membership other than Strategic Membership. Annual membership dues are based on corporate revenues according to the table below:

Annual Dues	Annual Corporate Revenues
\$25,000	Over \$1,000,000,000
\$20,000	\$500,000,000 – \$1,000,000,000
\$15,000	\$100,000,000 – \$500,000,000
\$10,000	\$ 50,000,000 – \$100,000,000
\$ 5,000	Less than \$50,000,000

## Informational Member

**Non-voting Member**—Appeals to academics, consultants, analysts, and individuals

### Entitlements

Informational Members receive periodic information regarding technical specifications and other ISASecure program updates, but may not actively engage in formal technical meetings of the ISA Security Compliance Institute.

### Annual Dues

\$1,500

# Membership Entitlements

In addition to the overall benefits realized by the automation controls community at large, ISASecure program members are entitled to the following benefits:

1. **ISASecure Logo Usage**—Members are entitled to use the ISASecure logo on products and systems that meet the ISASecure compliance specifications. Logo style guides will be available to members for guidance in using the ISASecure logo, on products, in literature, displays and, other customer facing communications.
2. **Membership Directory**—Institute member organizations will be listed in the member directory and on the ISA Security Compliance Institute website. The listing will include descriptions of your products and services and identify ISASecure offerings. Your company will be recognized for contributions to ISASecure programs and objectives.
3. **Boards and Committees**—Depending upon your membership level both asset owners and suppliers have the opportunity to provide leadership and direction to the Institute by participating on the Governing Board, Technical Committees, and Marketing Committees. Asset owners and suppliers will have the opportunity to influence the strategic direction of ISASecure technology advancements and to gain advance notification of changes and enhancements to ISASecure profiles.
4. **Intellectual Property Rights**—Voting members may use the Intellectual Property Rights (IPR) of the ISA Security Compliance Institute for design, deployment, manufacturing, and integration engineering of products using ISASecure technology. Members will receive continuous updates of ISASecure technical specifications.
5. **Voting**—Strategic Members and Technical Members are voting membership levels who are encouraged to participate in annual elections of Governing Board positions and periodic elections of Technical Steering Committee leaders.
6. **Member Discounts**—Institute members are entitled to discounts for products and services offered by the ISA Security Compliance Institute including technical support, training, development tools, and consulting services.
7. **Member Outreach Programs**—The Institute facilitates ISASecure community programs including online forums to exchange ideas on best practices, technical issues, and other topics. In addition, the Institute facilitates regional technical exchanges and technology demonstrations for educational purposes and to promote the use of ISASecure technology.
8. **Promotional Activities**—In addition to ISASecure logo usage, members are offered opportunities to promote their companies and products through sponsorships, joint marketing and advertising, seminars, publishing, technology expositions, and an email newsletter.



## About ISA, ASCI, and The Open Group

The Automation Standards Compliance Institute (ASCI) is a non-profit organization incorporated by ISA in 2006 to provide a home for certification, conformance, and compliance assessment activities in the automation arena. ASCI extends the work that ISA has done for 50 years in standards development by facilitating the effective implementation of automation industry standards. ISA provides professional management services to ASCI drawing on the extensive staffing, financial, and administrative infrastructure.

The ISA Security Compliance Institute functions as an operational group within the (ASCI). ASCI bylaws share the open constructs of ISA, while accounting for compliance organization requirements. Operating the ISA Security Compliance Institute within ASCI allows the organization to efficiently leverage the organizational infrastructure of ASCI.

ASCI, in partnership with ISA and The Open Group, a global consortium management organization, developed the specific actions necessary to formally launch the ISA Security Compliance Institute. The Open Group is a vendor and technology-neutral consortium that facilitates access to integrated information within and between enterprises based on open standards and global interoperability.

For more information about ISA, ASCI, and The Open Group, including key staff engaged in this initiative, visit: <http://www.isa.org/isasecure/about>.

## How to Join

Contact us for more information on this prospectus. Interested organizations may join at any time. Organizations who desire to join at the Founding Strategic Membership level must return completed membership applications with payment to ASCI by December 31, 2007.

Membership application forms, showing member fees and mailing instructions, are available for download at

<http://www.isa.org/ISASecure/join>.

## Contact Information

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