

Keywords: anti-malware; accreditation; assessment; testing; test plan; template

AMTSO 2020
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Version 2.4

<Tester Logo>

Test Plan Template and Usage Directions

Sponsored by:

The Anti-Malware Testing Standards Organization, Inc.

Abstract:

This Test Plan Template provides the structure for constructing a Test Plan that is compliant with the AMTSO Testing Protocol Standards. This document is an informative reference to the AMTSO Testing Protocol Standard for the Testing of Anti-Malware Solutions (the “Standard”), and specifically to the requirements within such Standard for Test Plan construction and presentation. Wherever conflicts might exist between this Template and the Live Standards Version 1.3, the Testing Protocol Standards will provide the prevailing rule.

Legal Notice:

Capitalized terms not defined in this document are defined in the Standard, and if any conflicts exist between this document and the Standard, the Standard controls. **The section entitled “Notice and Disclaimer of Liability Concerning this Document” included in the Standard is hereby incorporated by reference into this Test Plan Template. Please note that the submission of an application to establish that a Test complies with the Standard, even if such application follows this form of Test Plan Template, does not guarantee that AMTSO will approve such application, which determination will be made in AMTSO’s sole discretion.**



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SAMPLE COVER PAGE FOR TEST PLAN

Keywords: Selected keywords for documentation searches based on vendor preference

Test Plan Creation Date

Version X.Y

<Tester Logo>

Tester's Test Plan Title

AMTSO Standard Compliance Statement

This Test has been designed to comply with the Anti-Malware Testing Standards Organization, Inc. ("AMTSO") Testing Protocol Standard for the Testing of Anti-Malware Solutions, Version [1.3] (the "Standard"). This Test Plan has been prepared using the AMTSO Test Plan Template and Usage Directions, Version [2.4]. [Name of Testing Lab] is solely responsible for the content of this Test Plan.

Foreword

This Test Plan Template was developed in concert with the AMTSO Testing Protocol Standards to provide a consistent test plan presentation format and process to support a Tester's submission of an anti-malware test for AMTSO accreditation covering both compliance and endorsement. Further, this Template was designed to help Vendors, both Participants and Test Subject Vendors, identify their needed involvement in a test.

Test Plan Template Usage Directions

This document provides a test plan template, section descriptions, document change history, and usage guidelines. When this Test Plan Template is employed by a Tester with the goal of earning AMTSO Compliance, the following modifications and customization should be made to this framework.

Cover Page, Page 2, and Footer: The Cover Page to the Test Plan Template should not be included in the final Test Plan. The Tester may follow the format of the "Sample Cover Page," that appears on page 2 in this Template, and must include the AMTSO Standard Compliance Statement on the cover page to the Test Plan. The Tester is encouraged to include their logo or other suitable attribution on the cover page as needed. The Footer and AMTSO copyright must be removed and may be replaced with the Tester copyright and license limitations.

Pages 3 - 5: The Tester may delete the following sections: "Forward," "Test Plan Template Usage Directions," and "Change History." The Tester must retain the "Statement of Adherence."

Page 5: The Table of Contents should be updated to reflect the revised page numbers for the Tester's Test Plan. All numbered sections within the Table of Contents must be retained for consistency. Additional sections that the Tester would like to include should appear as Appendices to the document. These Appendix Sections should be included in the Table of Contents.

Other: Each individually numbered section addresses required Test Plan Template elements. The Tester should complete these sections, replacing the default text with an appropriate level of detail to address the selected point(s). If an external website is used to point the reader to the responses needed in an individual section, the Tester should maintain that website as part of their normal operating procedures.

Tester Self-Compliance Check Directions

Any Tester can choose to self-validate their Compliance Check with AMTSO Standards at the conclusion of a Test. Testers should contact the AMTSO Standards Working Group for details on this validation process.

Change History

Version	Date	Changes and Updates
2.4	January 23, 2020	<p>General update to align with Standards V1.3. Updated the footer for copyright and reserved rights.</p> <p>Section 2 : Updated Scope section to clarify how products intended for testing can be identified, either by category, latest version available, or by specific version numbers.</p> <p>Section 5 : Removed reference to Voluntary Participants in favor of current terminology : Participants and Test Subject Vendors.</p> <p>Section 10 : The Evidence Sharing section will now be considered part of the standard test plan format.</p>
2.3	December 17, 2018	<p>General: Document synchronized with Live Standards V1.1 approved by membership in Iceland, October 2018.</p> <p>Forward: Added material indicating that Testers wishing to self-Compliance Check can have that option in concert with the AMTSO team.</p> <p>Section 10: Evidence sharing policy (currently optional) has been added to the Dispute Process section.</p>
2.2	July 26, 2018	<p>Legal Review and Updates, Revised Legal Notice</p> <p>Sample Cover Page: The Test Plan cover page has been provided as a template on Page 2 of this Guideline.</p> <p>Template Usage Instructions: Revised instructions for building the Tester’s edition are provided on Page 3.</p> <p>Section 11: Attestation correction to account for latest language in the Live Standard V1.0.</p>
2.1	June 11, 2018	<p>General: Document synchronized with Live Standards V1.0 approved by membership in Portland, Oregon, May 2018.</p>
2.0	April 9, 2018	<p>General: This edition is synchronized to the Standards Version 7.0 Draft including new terminology for Participants, Test Subject Vendors (products), and other incremental improvements in clarity.</p>
1.6	January 26, 2018	<p>Section 2: Clarified that all participants and product versions might not be known at point of Test Plan issuance in a Public Test Notification.</p> <p>Section 4: Included additional language in the Opt-Out section defining how a set of results might not appear in a final Test Report.</p> <p>Footer: Copyright date updated to 2018.</p>
1.5	November 22, 2017	<p>Additional Legal Changes Introduced after External Review.</p>

Cover Page: Legal Notice included.
Footer: Copyright notification added to page footers.
About AMTSO: Corrected language where required.

1.4 November 1, 2017 Changes requested following AMTSO Legal Review. Active voice has been introduced as opposed to passive construction. Template Usage Directions: Usage of the term Publisher and various clarifications have been provided without change in functionality.
Section 11: Significantly revised Attestation section accounting for appropriate legal language.

1.31 September 5, 2017 Section 4: Added a Conflict of Interest disclosure element to support the Attestations.
Section 11: Guaranteed that all Attestations reference specific sections within the Test Plan Template. Changed the voice on the attestations to be in line with the test plan author.

1.2 August 25, 2017 Section 4: Added a Funding disclosure element which was put in place during the Operational Pilot period using the Test Plan Template V1.1.

1.1 May 13, 2017 First publicly used edition, served as the template baseline for all test plans created during the Operational Pilot period from June through August 2017.

1.0 May 8, 2017 Original Draft Edition for SWG Review. This edition was not used as a baseline for any AMTSO compliant test plans.

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AMTSO Test Plan Template

1. Introduction

This section must introduce the Test Plan objectives to the reader.

The Test Plan author must provide a statement of intent to follow the AMTSO Testing Protocol Standard in this introduction. AMTSO encourages Testers to submit each Test for a compliance assessment with the Standard and encourages all Test Subject Vendors to be Participants.

2. Scope

This section clearly identifies the types of Test Subjects that will be included in the Test and an approach for selecting the version or edition that shall be tested. The actual Test Subject Vendors and Participants might not be finalized at the point of the Test Plan's publication. The following table is provided as a suggestive, rather than prescriptive, format as to how information might be included in the Test Plan.

Product Vendor	Product Name	Version Selected or Process Used
<i>Company X</i>	<i>Product X</i>	<i>Test will use the Latest Consumer Version available by Test Commencement Date.</i>
<i>Company Y</i>	<i>Product Y</i>	<i>Alternatively, a Test can name the specific product that will be tested.</i>

The purpose of the Test must be defined here if substantially different from the objectives already stated. The threat type(s) of against which the products will be tested must be enumerated. Configuration approach per product along with functionality to be tested must be defined. Examples might include using the default settings or vendor supplied customizations.

3. Methodology and Strategy

A clear definition of the methodology of the Test, which shall include an overview description of the testing environment and what the Test is intending to achieve.

When running a test over a period of time, version information might change as various components are updated. A policy as to how this case is handled should be specified in the Methodology section.

4. Participation

This section will provide instructions from the Tester as to how a Test Subject Vendor may become a Participant with respect to each Product that is intended to be included in the Test. Note that a Test may still comply with this standard regardless of the number of Test Subject Vendors that accept the option to become Participants as opposed to just being Included in the Test. AMTSO's goal with having Participants is that in exchange for cooperating (engaging with Testers and following disclosure requirements), Participants have additional rights to audit their configuration and provide commentary on Test results. There must be no additional cost to a Test Subject Vendor to be a Participant. If a Tester charges to participate in a Public Test or any related services, and a Test Subject Vendor chooses to not pay the fee, that Vendor must be able to choose to be a Participant and follow this AMTSO standard.

Opt-Out Policy: This section can optionally provide instructions as to how Vendors may opt out of a Public Test. If the Test Plan includes this option and a Vendor chooses to opt out, the Tester shall not include the Vendor in that specific Test. Testers are encouraged to disclose circumstances under which a Participant or Test Subject Vendor can be dropped from a public final Test Report.

Conflict of Interest Disclosure: If material conflicts of interest or other could materially impact the reliability of the Test or Results, such must be disclosed in this section.

Funding: This heading requires disclosure of the funding details for the test itself or overviews the revenue gains that follow from consultancy or usage of test results.

5. Environment

This section must include test configuration details. The Test's physical configuration must be defined along with sufficient information covering sample provenance and sample Collection strategy.

Physical Configuration: Elements relevant to the physical configuration of the Test can include network connectivity, cloud access, hardware including CPU, Memory, and hard disk configurations, virtual machine environments, and Test Tools. The detail should be sufficient to allow a Test Subject Vendor to reasonably replicate the environment in their own test labs.

Sample Relevance: The Tester should provide sufficient information for the Test Subject Vendor to understand why the samples are relevant to this particular Test, but not so much information as to be administratively burdensome for the Tester or allow Test Subject Vendors to unfairly influence their results. Further, the defined approach should not allow any Test Subject Vendor to unfairly understand the set of Curated samples to be used in the test. Testers must be clear on the approach they will use to ensure relevancy of the samples.

Geographic Limitations: If a particular Test focuses on a particular global area (such as a Country, Continent or similar), this should be specified to allow for Sample Relevance to be validated.

Curation Process: A clear description of how samples will be Curated must be provided. Coupled to this should be an explanation as to how and when feedback will be solicited regarding the Curation Process. Testers may limit Vendor participation in sample Curation to only include Participants rather than Test Subject Vendors. If this limitation is provided, then all Participants

must be given equal opportunities to participate in such Curation and feedback processes for all their respective Products.

Distribution of Test Data: The process for procuring Test Data after a particular test should be specified. Testers should select only samples and Test Cases which can be provided to Participants for independent validation, or for which all Participants can be provided with both adequate evidence of accurate Curation, and adequate information to enable the Participant to remediate any shortcomings in their Product.

6. Schedule

Start Date Range: The Commencement Date or a range of dates during which the Test may commence must be provided. This will allow Test Subject Vendors to verify that the appropriate version of the Product would be available for the Test.

Test Duration and Calculated End Date: The anticipated duration and end date of the test should also be provided. This will allow for Testers to notify Test Subject Vendors that the Product would need to remain operational for the needed period of time to complete the Test.

Milestones: Interim milestones that can be reviewed by Participants, including the anticipated delivery of a Test Report, should be specified where applicable. The following Sample Schedule Summary can be used as a reference.

<i>Sample Schedule Summary for Test Project</i>			
Index	Test Activity	Start Date Range	Dependencies
<i>1</i>	<i>Test Commencement</i>	<i>January 1, 1900 - January 15, 1900</i>	
<i>2</i>	<i>Confirm Vendor Configuration Feedback</i>	<i>January 10, 1900</i>	
<i>3</i>	<i>Milestone 1 – Preliminary Results</i>	<i>February 15, 1900 - February 20, 1900</i>	<i>(1), (2)</i>
<i>4</i>	<i>Milestone 2 – Test Report First Edition – End of Testing Period</i>	<i>March 1, 1900 - March 5, 1900</i>	<i>(3)</i>
<i>5</i>	<i>Feedback and Dispute Resolution Time – Retests as Needed</i>	<i>March 5, 1900 - March 10, 1900</i>	<i>(4)</i>
<i>6</i>	<i>Milestone 3 – Issue Final Report – End Date for Test</i>	<i>March 15, 1900</i>	<i>(5)</i>

Communications: Testers must notify all Test Subject Vendors of any significant deviations from

the Schedule. The thresholds which trigger the update notification should be included here.

Risks and Risk Management: Any known risks anticipated in running a Test should be included.

7. Control Procedures

The Test Plan may include instructions for potential Participants to provide Specific Data regarding the Product(s) to be included in the test. These elements are included in the Control Procedures section.

Connectivity Validation: Each Product included in the test capable of transmitting data to the Cloud should be enumerated. Connectivity details should be defined by the Tester. A means for confirming whether a Product's Cloud connectivity or other features are functioning can be provided by the Vendor.

Logging: Instructions for enabling logging within the Product must be provided by the Participant upon request. The communication process for the exchange of this information should be specified by the Tester.

Updates: Any configuration information needed for product updates to take place during the Testing Period should be disclosed by the Participant.

8. Dependencies

Participant and Test Subject Vendors Required Actions: If the Test Plan requires Vendors to perform any specific actions to participate, the Test Plan must provide a schedule with dates or ranges of dates for each required Vendor action.

9. Scoring Process

An overview of the Test's scoring and certification plan is required. Details on the scalar score associated with a Test can be defined to provide greater transparency to the Test Subject.

10. Dispute Process

Instructions on how the Test's results can be disputed must be included. The Test Plan may include a requirement that any disputes from a Participant must be accompanied by an element of proof, or evidence that the dispute is legitimate, rather than just the Participant's statement of disagreement.

Evidence Sharing Policy: Testers may provide evidence as a free service or a value-add consultancy based offering. Basic evidence will support claims (required) to back up conclusions from the published Test Report. Advanced evidence supports deeper vendor triage and debugging (optionally provided at Tester's discretion).

11. Attestations

I understand and agree that I am submitting this Test Plan, and the following Attestations, on

behalf of the entity listed below, and I represent and warrant that I have authority to bind such entity to these Attestations. All references to “I” or “me” or similar language refer to such entity. I represent and warrant that the following Attestations are true, to the best of my knowledge and belief, and each of the following commitments will be upheld to the best of my ability.

1. I will provide public notification on the AMTSO website covering my obligation for notification of a Public Test, regardless of whether a potential Participant is in actual receipt of such notification prior to the Commencement Date of a Test. (Section 1, Section 4, Section 6)
2. All products included in this Test will be analyzed fairly and equally. (Section 2, Section 3, Section 5)
3. I will disclose any anticipated or known imbalance or inequity in the Test design to all Participants in the Test. (Section 2, Section 3)
4. Although I may charge for participation in a Test, I will not charge any additional fees for a vendor to be a test subject under the Standards. (Section 4)
5. I will disclose any material conflicts of interest or other information that could materially impact the reliability of the Test. (Section 4)
6. I will disclose how the Test was funded. (Section 4)

I hereby affirm, to the best of my knowledge and belief that this Test Plan complies with the AMTSO Testing Standards, as of the date hereof.

Signature: /s/

Name:

Test Lab:

AMTSO Test ID: [AMTSO-LS1-TPxxx]