



## SWGDE Recommended Guidelines for Validation Testing Version 1.0

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## SWGDE Recommended Guidelines for Validation Testing Version 1.0

### Introduction:

Validation testing is critical to the outcome of the entire examination process. Validation, based on sound scientific principles, is required to demonstrate that examination tools (hardware and software), techniques and procedures are suitable for their intended purpose. Tools, techniques and procedures should be validated prior to initial use in digital forensic processes. Failure to implement a validation program can have detrimental effects.

### Target Audience:

All organizations performing digital forensic examinations.

### Definition of Validation Testing:

An evaluation to determine if a tool, technique or procedure functions correctly and as intended.

### Scope of Testing:

Validation testing should be applied to all tools, techniques and procedures utilized in the performance of digital forensics.

**Special note of consideration:** Tools, techniques and procedures, which by virtue of their widespread use, duration of use, and acceptability by the larger information technology community are generally acknowledged as reliable and trustworthy. Consideration may be given to the general acceptance of a tool, technique or procedure in its determination of whether validation is required.



**When:**

Validation testing should be performed whenever new, revised, or reconfigured tools, techniques or procedures are introduced into the forensic process. While media and operating systems are not generally considered tools for the purposes of this document, these may exhibit characteristics that might not remain consistent when used with different tools, techniques, and procedures. These situations may require additional testing. Editorial changes or changes made for clarification purposes only will not require revalidation.

**Why:**

To ensure the integrity of the components utilized in the forensic process.

**Process:**

1. Develop and document test plan before testing begins. The test plan should contain the following:
  - a. Purpose and scope
  - b. Requirements to be tested - what does the tool have to do?
  - c. Methodology - how to test? (Identify support tools required to assist in evaluation of results when applicable)
  - d. Test scenarios
    - Condition or environment required for test scenario
    - Actions to perform during utilization of the tool, technique or procedure
    - Expected results - determine pass/fail criteria



- One test may be sufficient depending on the tool, technique or procedure being tested. The number of test scenarios should be sufficient to cover the various environments encountered – for example, different file systems, media sizes, platforms, device types, etc.
  - Different options may need to be tested such as user configurable option settings, switch settings, etc., in accordance with purpose and scope.
- e. Test data to fulfill conditions of test scenarios – can the existing reference data set be used? (Identify support tools required to assist in the development of test data when applicable)
- f. Document test data used

**Note:** Be sure each requirement is assigned to at least one test scenario.

2. Perform test scenario(s) and document results in test report

- a. Use media and/or other sample materials that are in a known state or condition
- b. Use test equipment with known configuration which corresponds to your examination environment
- c. If anomaly occurs then:
  - Attempt to identify conditions causing anomaly
  - Attempt to independently verify conditions causing anomaly
  - If feasible, implement alternative procedure and re-test
- d. If re-tests are performed, results of all tests must be documented
- e. Be sure pass/fail status for each requirement is annotated in test report.



- f. Ensure to annotate all testers and dates assigned to test scenario
- g. Individual test scenario(s) must be documented separately, but a summary report should be written which states the overall pass/fail status of the tool, technique or procedure, along with any recommendations, concerns, etc.
- h. Validation of results: comparison between actual and expected results must be performed and discrepancies between the two must be documented

### **Test Plan Template**

The validation testing process shall be documented in detail to enable independent replication and shall be written before testing begins. There is no standard format or title for this document, but a typical format might include:

1. Purpose and scope
2. Requirements: what does the tool have to do?
3. Description of methodology: how to test?
4. Expected results: global view of pass/fail
5. Test Scenarios for each:
  - a. Conditions: test environment (hardware/software configurations, etc.)
  - b. Actions: specific actions
  - c. Assigned requirements
  - d. Expected results: specific pass/fail
6. Description of test data



## Test Scenario Report Template

Individual test scenario(s) must be documented and a summary report should be written which states the overall pass/fail status of the tool, technique or procedure along with any recommendations, concerns, etc.

There is no standard format or title for a Test Scenario Report, but a typical format might include:

1. Test number/identification: Each test should have a unique identifier for referral, indexing, etc.
2. Test title
3. Test date
4. Test person
5. Test designer/reviewer when applicable: Test reviewer should be independent of the designer and the tester
6. Test description
7. Test result (overall pass/fail result)
8. Configuration of test platform: Document both hardware and software configurations as well as any preference or option settings when test is performed
9. Tool being tested
  - a. Title
  - b. Manufacturer
  - c. Version or date
10. Notes regarding test data set



11. Test notes

- Notes of tool or test being performed

12. Procedures

- a. Procedures should be written granular enough to allow exact replication by independent party
- b. Document options or switches used if applicable

13. Observations

14. Results

- a. Expected results
- b. Actual results

15. Validation results – comparison between actual and expected results must be performed and discrepancies between the two must be documented

The Summary Report should state the overall pass/fail status of the tool, technique or procedure along with any recommendations, concerns, etc. There is no standard format or title for this report, but a typical format might include:

1. Test report title and number/identification
2. Test date
3. Test description
4. Title, manufacturer and version/date of tool, technique or procedure tested
5. Test result (overall pass/fail result)
  - List each requirement and its result



6. Observations, concerns, limitations
7. Recommendations (optional)

**Note regarding included samples:** The attached samples are in an abbreviated form and are included for demonstration purposes only. Actual documentation of these types may include steps not delineated here.



# Sample Test Plan

**Test Number:** SWWB -04-01

**Test Title:** Software Write-Block (Software WB)

## **Purpose and Scope:**

This test plan will test the ability of the Software WB to write-protect supported hard disks attached to a system during operational usage. The plan will consist of four test scenarios.

## **Requirements:**

1. The Software WB forensic tool should allow normal operation to unprotected disks (i.e., the system drive).
2. The Software WB forensic tool should block all modifications to protected disks.
3. The before-test and after-test md5sums should match for the protected disks.
4. The Software WB forensic tool should provide feedback to the user as to the status of the tool and the disks that the tool can affect.

## **Description of Methodology:**

Various supported hard drives will be attached to standard forensic computer configuration and system will be booted. The Software WB utility must protect all non-system devices and not allow modifications from taking place. Modifications shall be attempted by executing functions that should write to protected and unprotected drives.



### Expected Results:

1. The Software WB forensic tool allows normal operation to unprotected disks (i.e., the system drive)
2. The Software WB forensic tool should block all modifications to protected disks
3. The before-test and after-test md5sums match on protected disks
4. The Software WB forensic tool provides feedback to the user as to the status of the tool and the disks that the tool can affect

### Test Scenarios:

Test Number	Environment:	Actions:	Assigned Req't's:	Expected Results:
04-01-01	ATA drive, primary slave SCSI drive, ID0	Copy/create/e dit/ erase file	All	No modification to protected disks
04-01-02	ATA drive, secondary	Copy/create/e dit/ erase file	All	No modification to protected disks
04-01-03	SCSI drive, ID0	Copy/create/e dit/ erase file	All	No modification to protected disks
04-01-04	SCSI drive, ID1	Copy/create/e dit/ erase file	All	No modification to protected disk

### Test Data Description:

Test Data Set:

Maxtor 541DX Model 2B010H1 (ATA)

Md5sum: d0aeab1c1ace0234ee50b6b2f65791a7

Seagate Barracuda Model ST318437LW 18.4 GB (SCSI)

Md5sum: ecdb8df03e39e11ab67e8cd1dc235387



## Sample Test Scenario Report

**Test Number:** SWWB -04-01-01 (a similar report will be created for all test scenarios)  
**Test Title:** Software Write-Block during Operational Testing  
**Test Date:** 8/07/2003  
**Tester:** John Doe

### Test Description:

This test procedure will test the ability of the Software WB to write-protect an ATA hard drive and a SCSI hard drive attached to a system during operational usage. The procedure will consist of one case. The case consists of attaching a wiped ATA hard drive as a primary drive and attaching the SCSI hard drive on a SCSI chain. The system will then be booted, the system status confirmed and then shutdown.

### Test Result:

**Passed.** The Software WB write-protected the SCSI and the ATA hard drives.

### Hardware:

#### Test System:

OS Name & Version: Microsoft Windows 2000 Professional  
5.0.2195 Service Pack 2 Build 2195  
System Manufacturer: Dell  
System Model: Precision Workstation 530MT  
Processors: x86 Family 15 Model 2 GenuineIntel ~37202 Mhz (as indicated by System Information)  
x86 Family 15 Model 2 GenuineIntel ~37202 Mhz (as indicated by System Information)  
BIOS Version: 2/25/2002  
SCSI Adapter: Adaptec 2940

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## Forensic Tool:

Title: Software WB

Manufacturer: Umpty-phrat Technologies Inc.

Version: Version 4.10.00

## Test Data Notes:

**Test Data Set:** Maxtor 541DX Model 2B010H1

**Md5sum:** d0aeab1c1ace0234ee50b6b2f65791a7

Seagate Barracuda Model ST318437LW 18.4 GB

**Md5sum:** ecdb8df03e39e11ab67e8cd1dc235387

## Test Notes:

1. Since the Software WB is a Windows 2000 application, the hard drive is unprotected until the application starts during initial boot up
2. The Software WB application is loaded on the test system before the procedure is run. Automatically lock local and Network drives was selected during the Software WB install
3. The test system boot sequence is 1) Hard-disk drive c:, 2) IDE CD-ROM device, and 3) Diskette drive
4. The ATA test hard drive is attached to the test system as the primary slave. The SCSI is attached to the test system via a SCSI chain with ID0
5. A Linux bootable CD-ROM, version 3.99, is utilized to perform the validation tests

## Procedures:

1. The test system is shutdown
2. Press the "On/Off" switch on the test system
  - Step Result: The system boots up
3. Double-click the "SoftwareWB" icon



- Step Result: The Software WB application opens with the Media tab having focus. The following table is on the tab:

Physical Media:	Partitions:	Write Blocked:
System Partition	C	No
FloppyDrive0	A	Yes
CDRomDrive0	E	Yes
HardDrive0	C	No
HardDrive1	D, I, J	Yes
HardDrive2	F, G, H	Yes

4. Close the Software WB window
  - Step Result: The Software WB window closes
5. Press the **“Start”** button and select **“Settings”, “Control Panel”**
  - Step Result: The **“Control Panel”** window opens
6. Double-click **“Administrative Tools”**
  - Step Result: The **“Administrative Tools”** window opens
7. Double-click **“Computer Management”** button
  - Step Result: An independent **“Computer Management”** window opens
8. Select **“Disk Management”**
  - Step Result: The right side panel changes to display the attached drives information

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Device	Partition
Disk 0	C:
Disk 1	D: I: J: Healthy Unallocated
Disk 2	F: G: H: Healthy
CDROM0	E

9. Close the **“Computer Management”** window
  - Step Result: The window closes
10. Close the **“Administrative Tools”** window
  - Step Result: The window closes
11. Launch **“Windows Explorer”**
  - Step Result: The **“Windows Explorer”** window opens
12. Select text file **“Test.txt”** from system drive C:
13. Right-Click on file and choose **“Copy”** option
14. Select D: drive (Disk 1, first partition)
15. Right-Click and choose **“Paste”** option
  - Step Result: Dialog box appears with message **“Unable to copy the file ‘test.txt’. The media is write-protected”**
16. Press **“OK”** to close the dialogue box



- Step result: The dialogue box closes
17. In **“Windows Explorer”** window, highlight text file **“Dataset.doc”** from Disk 1, first partition path D:\
18. Press delete key
- Step Result: Dialog box appears with message **“Are you sure you want to delete ‘Dataset.doc’?”**
19. Press **“Yes”** at dialog box
- Step Result: Dialog box appears with message **“Unable to delete the file ‘Dataset.doc’. The media is write-protected”**
20. Press **“OK”** to close the dialogue box
- Step result: The dialogue box closes
21. Close the **“Windows Explorer”** window
- Step result: The window closes

### **System Shutdown:**

1. Click the **“Start”** button and select **“Shutdown”**
  - Step Result: The Windows shutdown dialog box opens
2. Select **“Shutdown”** and press the **“OK”** button
  - Step Result: The test system shuts down
3. Remove the test hard drives from the test system

### **Expected/Actual Results:**



**Expected:**

1. The Software WB forensic tools should allow normal operation to unprotected disks (i.e., the system drive)
2. The Software WB forensic tools should block all modifications to protected disks
3. The before-test and after-test md5sums should match
4. The Software WB forensic tool should provide feedback to the user as to the status of the tool and the disks that the tool can affect

**Actual:**

The actual results were the expected results

**Validation Results:**

1. Connect an Acard to the ATA test drive and boot test machine with a Linux bootable CD-ROM. Run the md5sum utility to produce an md5sum for the test drive. The following command should be used:

➤ `tty1:/# md5sum /dev/hda`

- Step Result: The md5sum before and after test md5sums match

Test Drive	md5sum
Maxtor 541DX Model 2B010H1 (ATA)	d0aeab1c1ace0234ee50b6b2f65791a7

2. Connect an Acard to the SCSI test drive and boot test machine with a Linux bootable CD-ROM. Run the md5sum utility to produce an md5sum for the test drive. The following command should be used:

➤ `tty1:/# md5sum /dev/sda`

- Step Result: The md5sum matches the before test md5sum.



Test Drive	md5sum
Seagate Barracuda Model ST318437LW 18.4 GB (SCSI)	ecdb8df03e39e11ab67e8cd1dc235387

This test procedure validated the test criteria for the Software WB. The criteria and a validation statement are given below:

1. The Software WB forensic tool shall not block any requests to unprotected disks
  - The system was able to boot from the unprotected system drive and the system drive was used throughout the procedure
2. Following the installation of the Software WB forensic tool, all attempts to write to the write-protected ATA hard drive shall be unsuccessful
  - The unchanged before-test and after-test md5sums show that the ATA and the SCSI hard drive was not changed by the execution of the procedure
3. The Software WB forensic tool shall provide feedback to the user as to the status of the tool and the disks that the tool can affect
  - Throughout the procedure, the Software WB application provided the status of the tool relative to the disk the tool could affect
4. The unchanged before-test and after-test md5sums show that the ATA and the SCSI hard drive was not changed by the execution of these procedures

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# Sample Summary Report

**Test Number:** SWWB -04-01  
**Test Title:** Software Write-Block (Software WB)  
**Test Date:** 8/07/2003 – 08/16/2003

## Test Description:

This documents the results of testing the ability of the Software WB to write-protect supported hard disks attached to a system during operational usage. The test plan consists of four test scenarios including ATA and SCSI hard disks.

## Forensic Tool:

Title: Software WB  
Manufacturer: Umpty-phrat Technologies Inc.  
Version: Version 4.10.00

## Test Results:

Test Number	Environment	Req't 1	Req't 2	Req't 3	Req't 4
04-01-01	ATA drive, primary SCSI drive, ID0	Pass	Pass	Pass	Pass
04-01-02	ATA drive, secondary	Pass	Fail	Fail	Pass
04-01-03	SCSI drive, ID0	Pass	Pass	Pass	Pass
04-01-04	SCSI drive, ID1	Pass	Pass	Pass	Pass

## Requirements:

1. The Software WB forensic tool should allow normal operation to unprotected disks (i.e., the system drive).
2. The Software WB forensic tool should block all modifications to protected disks.



3. The before-test and after-test md5sums should match for the protected disks.
4. The Software WB forensic tool should provide feedback to the user as to the status of the tool and the disks that the tool can affect.

**Observations/Concerns:**

N/A

**Limitations:**

Not to be used with ATA drive attached to secondary IDE channel.

**Recommendations:**

To be used with SCSI drives, and ATA drives connected to primary IDE channel only.

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## History: SWGDE Recommended Guidelines for Validation Testing

Revision	Issue Date	Section	History
	08/20/2004	All	<b>Draft document created</b>
1	Approved 02/04/2004	p. 4	Changed "Test Report Template" (original document, p. 4) to <b>"Test Scenario Report Template"</b>
2	Approved 02/04/2004	p. 5	Added <b>"Note Regarding Included Samples"</b> after No. 7 ("Recommendations (optional)")
3	Approved 02/04/2004	p. 6	Changed (under "Test Scenarios, Test Number 04-01-01, Environment:) <b>"ATA drive, primary"</b> to <b>"ATA drive, primary slave, SCSI Drive, 100"</b>
4	Approved 02/04/2004	p. 8	Changed (under "Sample Test Scenario Report, Test Number): <b>"SWWB -04-01"</b> to <b>"SWWB -04-01-01 (a similar report will be created for all test scenarios)"</b>
5	Approved 02/04/2004	p. 9	Added (under "Test Notes") No. 5 ( <b>"A Linux bootable CD-ROM, version 3.99, is utilized to perform the validation tests"</b> )
6	Approved 02/04/2004	p. 9	Revised the table under "Procedures," No. 3: <b>"HardDrive 1/D,I,J/Yes"</b> changed to <b>"HardDrive0/C/No"</b> ; <b>"HardDrive2/K/Yes"</b> changed to <b>"HardDrive1/D,I,J/Yes"</b> ; <b>"HardDrive3/F,G,H/Yes"</b> changed to <b>"HardDrive2/FGH/Yes"</b>
7	Approved 02/04/2004	p. 9	Revised the table under "Procedures", No. 8: <b>"Disk 2/K"</b> changed to <b>"Disk 2/F:, G:, H:, Healthy"</b> ; replaced <b>"Disk 3/F:"</b> with <b>"CDROM0/E"</b>
8	Approved 02/04/2004	p. 9	Added, under "Procedures," No. 10: <b>Procedures Nos. 11-13 14-19, 20-21</b>
9	Approved 02/04/2004	p. 10	Under "Validation Results," No. 1: changed <b>"Connect the ATA test drive to a Linux system (using an Acard) and use the md5sum utility to produce an md5sum for the test"</b>



			<b>drive” to “Connect an Acard to the ATA test drive and boot test machine with a Linux bootable CD-ROM. Run the md5sum utility to produce an md5sum for the test drive”</b>
10	Approved 02/04/2004	p. 10	Under “Validation Results,” No. 1: changed content of table under “Test Drive” – added “(ATA)” after Maxtor <i>reference</i> (p.
11	Approved 02/04/2004	p.10	Under “Validation Results,” No. 2: changed “ <b>Connect the SCSI test drive to a Linux system and use the md5sum utility to produce an md5sum for the test drive</b> ” to “ <b>Connect an Acard to the SCSI test drive and boot test machine with a Linux bootable CD-ROM. Run the md5sum utility to produce an md5sum for the test drive</b> ”
12	Approved 02/04/2004	p. 10	Under “Validation Results,” No. 2: changed content of table under “Test Drive” – added “(SCSI)” after Seagate Barracuda Model reference
13	Approved 02/04/2004	p. 11	Under “ <b>This test procedure validated the test criteria</b> ”: No. 1: deleted; replaced by No. 2 No. 2: deleted; replaced by new No. 2 No. 3: retained No. 4: new
14	Approved 02/04/2004	All	Reformatted entire document (jb)
15	03/01/2004	pp. 7, 9, 10-15	Removed <b>highlights</b> from sections modified at the Feb. 2004 meeting
16	04/14/2004	p. 2	Added the following final three (3) sentences to paragraph under “ <b>When</b> ”
17	04/15/2004	p. 4	Under “ <b>Process</b> ,” deleted “ <b>Develop and document test plan</b> ”; replaced with “ <b>Develop and document test plan before testing begins. The test plan should contain the following</b> ”:
18	04/15/2004	p. 4	Under “ <b>Process</b> ,” deleted old 1.a (“ <b>Shall be written before testing begins</b> ”); replaced with new 1.a (“ <b>Purpose and scope</b> ”).
19	04/15/2004	p. 4	Under “ <b>Process</b> ”, replaced old 1.b (“ <b>Document’s purpose and scope</b> ”) with new bullet: “ <b>Requirements to be tested – what does the tool have to do?</b> ”



20	04/15/2004	p. 4	Under <b>"Process"</b> , replaced old 1.c ( <b>"Develop and document requirements to be tested - what does the tool have to do?"</b> ) with new bullet: <b>"Methodology - how to test? (Identify support tools required to assist with evaluation results when applicable)"</b>
21	04/15/2004	p. 4	Under <b>"Process"</b> , replaced old 1.d ( <b>"Describe and document methodology . . ."</b> ) with new bullet: <b>"Test scenarios"</b>
22	04/15/2004	p. 4	Under <b>"Process"</b> , replaced old 1.e ( <b>"Identify and document test scenarios"</b> ) with new bullet: <b>"Test data to fulfill conditions of test scenarios - can existing reference set data be used? (Identify support tools required to assist with developing test data when applicable)"</b>
23	04/15/2004	p. 4	Under <b>"Process"</b> , replaced old 1.f ( <b>"Develop or identify test data . . ."</b> ) with new bullet: <b>"Document test data utilized"</b>
24	04/15/2004	p. 4	Added <b>boxed note</b>
25	04/15/2004	p. 4	Under <b>"Process"</b> , replaced 2.a ( <b>"use media that is in a known state"</b> ) with new bullet: <b>"Use media and/or other sample materials that are in a known state or condition"</b>
26	04/15/2004	p. 5	Under <b>"Process"</b> , <b>deleted "workaround"</b> under Bullet 2.c and added <b>"alternative procedure"</b>
27	05/12/2004	pp. 10 - 17	Added <b>"SAMPLE"</b> to all <b>"Sample Test Plan"</b> pages
28	05/12/2004	All	Revised footer to read <b>"Final Version - Approved 04/15/2004"</b>
29	05/12/2004	p. 1	Revised cover page of document

