

**Reliability Standard Audit Worksheet[[1]](#footnote-1)**

# CIP-008-5 – Cyber Security — Incident Reporting and Response Planning

***This section to be completed by the Compliance Enforcement Authority.***

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| **Audit ID:** | Audit ID if available; or REG-NCRnnnnn-YYYYMMDD |
| **Registered Entity:** | Registered name of entity being audited |
| **NCR Number:** | NCRnnnnn |
| **Compliance Enforcement Authority:** | Region or NERC performing audit |
| **Compliance Assessment Date(s)[[2]](#footnote-2):** | Month DD, YYYY, to Month DD, YYYY |
| **Compliance Monitoring Method:** | [On-site Audit | Off-site Audit | Spot Check] |
| **Names of Auditors:** | Supplied by CEA |

# **Applicability of Requirements**

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| **R1** | X | X | X | X | X |  |  |  | X |  |  | X | X |  |  |
| **R2** | X | X | X | X | X |  |  |  | X |  |  | X | X |  |  |
| **R3** | X | X | X | X | X |  |  |  | X |  |  | X | X |  |  |

**Legend:**

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| Text with blue background: | Fixed text – do not edit |
| Text entry area with Green background: | Entity-supplied information |
| Text entry area with white background: | Auditor-supplied information |

Findings

**(This section to be completed by the Compliance Enforcement Authority)**

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| **Req.** | **Finding** | **Summary and Documentation** | **Functions Monitored** |
| **R1** |  |  |  |
| P1.1 |  |  |  |
| P1.2 |  |  |  |
| P1.3 |  |  |  |
| P1.4 |  |  |  |
| **R2** |  |  |  |
| P2.1 |  |  |  |
| P2.2 |  |  |  |
| P2.3 |  |  |  |
| **R3** |  |  |  |
| P3.1 |  |  |  |
| P3.2 |  |  |  |

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| **Req.** | **Areas of Concern** |
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| **Req.** | **Recommendations** |
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| **Req.** | **Positive Observations** |
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Subject Matter Experts

Identify the Subject Matter Expert(s) responsible for this Reliability Standard.

**Registered Entity Response (Required; Insert additional rows if needed):**

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| **SME Name** | **Title** | **Organization** | **Requirement(s)** |
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R1 Supporting Evidence and Documentation

**R1.** Each Responsible Entity shall document one or more Cyber Security Incident response plan(s) that collectively include each of the applicable requirement parts in CIP-008-5 Table R1 – Cyber Security Incident Response Plan Specifications. *[Violation Risk Factor: Lower] [Time Horizon: Long Term Planning].*

**M1.** Evidence must include each of the documented plan(s) that collectively include each of the applicable requirement parts in *CIP-008-5 Table R1 – Cyber Security Incident Response Plan Specifications*.

R1 Part 1.1

| **CIP-008-5 Table R1 – Cyber Security Incident Response Plan Specifications** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.1 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | One or more processes to identify, classify, and respond to Cyber Security Incidents. | An example of evidence may include, but is not limited to, dated documentation of Cyber Security Incident response plan(s) that include the process to identify, classify, and respond to Cyber Security Incidents. |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
| **File Name** | **Document Title** | **Revision or Version** | **Document Date** | **Relevant Page(s) or Section(s)** | **Description of Applicability of Document** |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R1, Part 1.1

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the Responsible Entity has documented one or more Cyber Security Incident response plans which include one or more processes to identify, classify, and respond to Cyber Security Incidents. |

Auditor Notes:

R1 Part 1.2

| **CIP-008-5 Table R1 – Cyber Security Incident Response Plan Specifications** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.2 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | One or more processes to determine if an identified Cyber Security Incident is a Reportable Cyber Security Incident and notify the Electricity Sector Information Sharing and Analysis Center (ES-ISAC), unless prohibited by law. Initial notification to the ES-ISAC, which may be only a preliminary notice, shall not exceed one hour from the determination of a Reportable Cyber Security Incident. | Examples of evidence may include, but are not limited to, dated documentation of Cyber Security Incident response plan(s) that provide guidance or thresholds for determining which Cyber Security Incidents are also Reportable Cyber Security Incidents and documentation of initial notices to the Electricity Sector Information Sharing and Analysis Center (ES-ISAC). |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R1, Part 1.2

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the Responsible Entity has documented one or more Cyber Security Incident response plans which include one or more processes to determine if an identified Cyber Security Incident is a Reportable Cyber Security Incident and notify the Electricity Sector Information Sharing and Analysis Center (ES-ISAC), unless prohibited by law. Initial notification to the ES-ISAC, which may be only a preliminary notice, shall not exceed one hour from the determination of a Reportable Cyber Security Incident. |
| **Note to Auditor:**  If the Responsible Entity is prohibited by law from reporting to the ES-ISAC, then the process need not include a provision for reporting to the ES-ISAC. If this provision is invoked, the audit team should verify that the Responsible Entity is prohibited by law from reporting to the ES-ISAC. | |

Auditor Notes:

R1 Part 1.3

| **CIP-008-5 Table R1 – Cyber Security Incident Response Plan Specifications** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.3 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | The roles and responsibilities of Cyber Security Incident response groups or individuals. | An example of evidence may include, but is not limited to, dated Cyber Security Incident response process(es) or procedure(s) that define roles and responsibilities (e.g., monitoring, reporting, initiating, documenting, etc.) of Cyber Security Incident response groups or individuals. |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R1, Part 1.3

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the Responsible Entity has documented one or more Cyber Security Incident response plans which define the roles and responsibilities of Cyber Security Incident response groups or individuals. |

Auditor Notes:

R1 Part 1.4

| **CIP-008-5 Table R1 – Cyber Security Incident Response Plan Specifications** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.4 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | Incident handling procedures for Cyber Security Incidents. | An example of evidence may include, but is not limited to, dated Cyber Security Incident response process(es) or procedure(s) that address incident handling (e.g., containment, eradication, recovery/incident resolution). |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R1, Part 1.4

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the Responsible Entity has documented one or more Cyber Security Incident response plans which include incident handling procedures for Cyber Security Incidents. |

Auditor Notes:

R2 Supporting Evidence and Documentation

**R2.** Each Responsible Entity shall implement each of its documented Cyber Security Incident response plans to collectively include each of the applicable requirement parts in *CIP-008-5 Table R2 – Cyber Security Incident Response Plan Implementation and Testing. [Violation Risk Factor: Lower] [Time Horizon: Operations Planning and Real-Time Operations].*

**M2.** Evidence must include, but is not limited to, documentation that collectively demonstrates implementation of each of the applicable requirement parts in *CIP-008-5 Table R2 – Cyber Security Incident Response Plan Implementation and Testing.*

R2 Part 2.1

| **CIP-008-5 Table R2 – Cyber Security Incident Response Plan Implementation and Testing** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 2.1 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | Test each Cyber Security Incident response plan(s) at least once every 15 calendar months:   * By responding to an actual Reportable Cyber Security Incident; * With a paper drill or tabletop exercise of a Reportable Cyber Security Incident; or * With an operational exercise of a Reportable Cyber Security Incident. | Examples of evidence may include, but are not limited to, dated evidence of a lessons-learned report that includes a summary of the test or a compilation of notes, logs, and communication resulting from the test. Types of exercises may include discussion or operations based exercises. |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R2, Part 2.1

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the Responsible Entity has tested each Cyber Security Incident response plan(s) at least once every 15 calendar months:   * By responding to an actual Reportable Cyber Security Incident; * with a paper drill or tabletop exercise of a Reportable Cyber Security Incident; or * with an operational exercise of a Reportable Cyber Security Incident. |

Auditor Notes:

R2 Part 2.2

| **CIP-008-5 Table R2 – Cyber Security Incident Response Plan Implementation and Testing** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 2.2 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | Use the Cyber Security Incident response plan(s) under Requirement R1 when responding to a Reportable Cyber Security Incident or performing an exercise of a Reportable Cyber Security Incident. Document deviations from the plan(s) taken during the response to the incident or exercise. | Examples of evidence may include, but are not limited to, incident reports, logs, and notes that were kept during the incident response process, and follow-up documentation that describes deviations taken from the plan during the incident or exercise. |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5 R2 Part 2.2

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the Responsible Entity used the Cyber Security Incident response plan(s) under Requirement R1 when responding to a Reportable Cyber Security Incident or performing an exercise of a Reportable Cyber Security Incident. |
|  | Verify the Responsible Entity has documented deviations from the plan(s), if any, taken during the response to the Reportable Cyber Security Incident or the performance of an exercise of a Reportable Cyber Security Incident. |
|  | If there were any Reportable Cyber Security Incidents, and if the Responsible Entity is not prohibited by law from reporting to the ES-ISAC, verify that the initial notification to the ES-ISAC, which may be only a preliminary notice, did not exceed one hour from the determination of a Reportable Cyber Security Incident. |

Auditor Notes:

R2 Part 2.3

| **CIP-008-5 Table R2 – Cyber Security Incident Response Plan Implementation and Testing** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 2.3 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | Retain records related to Reportable Cyber Security Incidents. | An example of evidence may include, but is not limited to, dated documentation, such as security logs, police reports, emails, response forms or checklists, forensic analysis results, restoration records, and post-incident review notes related to Reportable Cyber Security Incidents. |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R2, Part 2.3

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the Responsible Entity has retained records related to Reportable Cyber Security Incidents. |

Auditor Notes:

R3 Supporting Evidence and Documentation

**R3.** Each Responsible Entity shall maintain each of its Cyber Security Incident response plans according to each of the applicable requirement parts in *CIP-008-5 Table R3 – Cyber Security Incident Response Plan Review, Update, and Communication. [Violation Risk Factor: Lower] [Time Horizon: Operations Assessment].*

**M3.** Evidence must include, but is not limited to, documentation that collectively demonstrates maintenance of each Cyber Security Incident response plan according to the applicable requirement parts in *CIP-008-5 Table R3 – Cyber Security Incident.*

R3 Part 3.1

| **CIP-008-5 Table R3 – Cyber Security Incident Response Plan**  **Review, Update, and Communication** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 3.1 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | No later than 90 calendar days after completion of a Cyber Security Incident response plan(s) test or actual Reportable Cyber Security Incident response:   1. Document any lessons learned or document the absence of any lessons learned; 2. Update the Cyber Security Incident response plan based on any documented lessons learned associated with the plan; and 3. Notify each person or group with a defined role in the Cyber Security Incident response plan of the updates to the Cyber Security Incident response plan based on any documented lessons learned. | An example of evidence may include, but is not limited to, all of the following:   1. Dated documentation of post incident(s) review meeting notes or follow-up report showing lessons learned associated with the Cyber Security Incident response plan(s) test or actual Reportable Cyber Security Incident response or dated documentation stating there were no lessons learned; 2. Dated and revised Cyber Security Incident response plan showing any changes based on the lessons learned; and 3. Evidence of plan update distribution including, but not limited to:    * Emails;    * USPS or other mail service;    * Electronic distribution system; or    * Training sign-in sheets. |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R3, Part 3.1

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify that no later than 90 calendar days after completion of a Cyber Security Incident response plan(s) test or actual Reportable Cyber Security Incident response, the Responsible Entity has:   1. Documented any lessons learned or documented the absence of any lessons learned; 2. updated the Cyber Security Incident response plan based on any documented lessons learned associated with the plan; and 3. notified each person or group with a defined role in the Cyber Security Incident response plan of the updates to the Cyber Security Incident response plan based on any documented lessons learned. |

Auditor Notes:

R3 Part 3.2

| **CIP-008-5 Table R3 – Cyber Security Incident Response Plan**  **Review, Update, and Communication** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 3.2 | High Impact BES Cyber Systems  Medium Impact BES Cyber Systems | No later than 60 calendar days after a change to the roles or responsibilities, Cyber Security Incident response groups or individuals, or technology that the Responsible Entity determines would impact the ability to execute the plan:   1. Update the Cyber Security Incident response plan(s); and 2. Notify each person or group with a defined role in the Cyber Security Incident response plan of the updates. | An example of evidence may include, but is not limited to:   1. Dated and revised Cyber Security Incident response plan with changes to the roles or responsibilities, responders or technology; and 2. Evidence of plan update distribution including, but not limited to:    * Emails;    * USPS or other mail service;    * Electronic distribution system; or    * Training sign-in sheets. |

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to CIP-008-5, R3, Part 3.2

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify that no later than 60 calendar days after a change to the roles or responsibilities, Cyber Security Incident response groups or individuals, or technology that the Responsible Entity determines would impact the ability to execute the plan, the Responsible Entity has:   1. Updated the Cyber Security Incident response plan(s); and 2. notified each person or group with a defined role in the Cyber Security Incident response plan of the updates. |

Auditor Notes:

Additional Information:

Reliability Standard

The full text of CIP-008-5 may be found on the NERC Web Site (www.nerc.com) under “Program Areas & Departments”, “Reliability Standards.”

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site.

In addition to the Reliability Standard, there is background information available on the NERC Web Site.

Capitalized terms in the Reliability Standard refer to terms in the NERC Glossary, which may be found on the NERC Web Site.

Sampling Methodology

Sampling is essential for auditing compliance with NERC Reliability Standards since it is not always possible or practical to test 100% of either the equipment, documentation, or both, associated with the full suite of enforceable standards. The Sampling Methodology Guidelines and Criteria (see NERC website), or sample guidelines, provided by the Electric Reliability Organization help to establish a minimum sample set for monitoring and enforcement uses in audits of NERC Reliability Standards.

Regulatory Language

See FERC Order 706

See FERC Order 791

Revision History for RSAW

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| DRAFT1v0 | 06/17/2014 | Posted for Industry Comment | New Document |
| DRAFT2v0 | 09/17/2014 | CIP RSAW Development Team | Address comments received in response to DRAFT1v0. |
| DRAFT3v0 | 12/10/2014 | CIP RSAW Development Team | Address comments received in response to DRAFT2v0. |
| DRAFT4v0 | 02/06/2015 | CIP RSAW Development Team | Address comments from V5R SDT and address comments in response to DRAFT3v0. |
| DRAFT4v1 | 03/10/2015 | CIP RSAW Development Team | Address comments from V5R SDT meeting on March 3-4, 2015. |
| FINALv1 | 05/08/2015 | CIP RSAW Development Team | Address comments from final posting; review and address comments of V5R SDT. |

1. NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

   The NERC RSAW language contained within this document provides a non‑exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserves the right to request additional evidence from the registered entity that is not included in this RSAW. Additionally, this RSAW includes excerpts from FERC Orders and other regulatory references. The FERC Order cites are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail. [↑](#footnote-ref-1)
2. Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs. [↑](#footnote-ref-2)