

A. Introduction

1. **Title:** Cyber Security — Electronic Security Perimeter(s)
2. **Number:** CIP-005-4
3. **Purpose:** Standard CIP-005-4 requires the identification and protection of the Electronic Security Perimeter(s) inside which all Critical Cyber Assets reside, as well as all access points on the perimeter. Standard CIP-005-4 should be read as part of a group of standards numbered Standards CIP-002-4 through CIP-009-3.
4. **Applicability**
 - 4.1. Within the text of Standard CIP-005-4, “Responsible Entity” shall mean:
 - 4.1.1 Reliability Coordinator.
 - 4.1.2 Balancing Authority.
 - 4.1.3 Interchange Authority.
 - 4.1.4 Transmission Service Provider.
 - 4.1.5 Transmission Owner.
 - 4.1.6 Transmission Operator.
 - 4.1.7 Generator Owner.
 - 4.1.8 Generator Operator.
 - 4.1.9 Load Serving Entity.
 - 4.1.10 NERC.
 - 4.1.11 Regional Entity
 - 4.2. The following are exempt from Standard CIP-005-4:
 - 4.2.1 Cyber Assets associated with communication networks and data communication links between discrete Electronic Security Perimeters.
 - 4.2.2 Responsible Entities that, in compliance with Standard CIP-002-4, identify that they have no Critical Cyber Assets.
5. **Effective Date:** The first day of the third calendar quarter after applicable regulatory approvals have been received (or the Reliability Standard otherwise becomes effective the first day of the third calendar quarter after BOT in those jurisdictions where regulatory approval is not required).
Responsible Entities will be required to be compliant with CIP-005-4 Requirement R6 six months after the effective date of the standard.

B. Requirements

- R1. Electronic Security Perimeter — The Responsible Entity shall ensure that every Critical Cyber Asset resides within an Electronic Security Perimeter. The Responsible Entity shall identify and document the Electronic Security Perimeter(s) and all access points to the perimeter(s).
 - R1.1. Access points to the Electronic Security Perimeter(s) shall include any externally connected communication end point (for example, dial-up modems) terminating at any device within the Electronic Security Perimeter(s).
 - R1.2. For a dial-up accessible Critical Cyber Asset that uses a non-routable protocol, the Responsible Entity shall define an Electronic Security Perimeter for that single access point at the dial-up device.

- R1.3.** Communication links connecting discrete Electronic Security Perimeters shall not be considered part of the Electronic Security Perimeter. However, end points of these communication links within the Electronic Security Perimeter(s) shall be considered access points to the Electronic Security Perimeter(s).
 - R1.4.** Any non-critical Cyber Asset within a defined Electronic Security Perimeter shall be identified and protected pursuant to the requirements of Standard CIP-005-4.
 - R1.5.** Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) shall be afforded the protective measures as a specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4 Requirements R2 and R3; Standard CIP-006-4 Requirement R3; Standard CIP-007-4 Requirements R1 and R3 through R9; Standard CIP-008-4; and Standard CIP-009-4.
 - R1.6.** The Responsible Entity shall maintain documentation of Electronic Security Perimeter(s), all interconnected Critical and non-critical Cyber Assets within the Electronic Security Perimeter(s), all electronic access points to the Electronic Security Perimeter(s) and the Cyber Assets deployed for the access control and monitoring of these access points.
- R2.** Electronic Access Controls — The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).
- R2.1.** These processes and mechanisms shall use an access control model that denies access by default, such that explicit access permissions must be specified.
 - R2.2.** At all access points to the Electronic Security Perimeter(s), the Responsible Entity shall enable only ports and services required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter, and shall document, individually or by specified grouping, the configuration of those ports and services.
 - R2.3.** The Responsible Entity shall implement and maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s).
 - R2.4.** The required documentation shall, at least, identify and describe:
 - R2.4.1.** The processes for access request and authorization.
 - R2.4.2.** The authentication methods.
 - R2.4.3.** The review process for authorization rights, in accordance with Standard CIP-004-4 Requirement R4.
 - R2.4.4.** The controls used to secure dial-up accessible connections.
 - R2.5.** Appropriate Use Banner — Where technically feasible, electronic access control devices shall display an appropriate use banner on the user screen upon all interactive access attempts. The Responsible Entity shall maintain a document identifying the content of the banner.
- R3.** Monitoring Electronic Access — The Responsible Entity shall implement and document an electronic or manual process(es) for monitoring and logging access at access points to the Electronic Security Perimeter(s) twenty-four hours a day, seven days a week.
- R3.1.** For dial-up accessible Critical Cyber Assets that use non-routable protocols, the Responsible Entity shall implement and document monitoring process(es) at each access point to the dial-up device, where technically feasible.
 - R3.2.** Where technically feasible, the security monitoring process(es) shall detect and alert for attempts at or actual unauthorized accesses. These alerts shall provide for appropriate notification to designated response personnel. Where alerting is not technically

feasible, the Responsible Entity shall review or otherwise assess access logs for attempts at or actual unauthorized accesses at least every ninety calendar days.

R4. Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of the electronic access points to the Electronic Security Perimeter(s) at least annually. The vulnerability assessment shall include, at a minimum, the following:

- R4.1.** A document identifying the vulnerability assessment process;
- R4.2.** A review to verify that only ports and services required for operations at these access points are enabled;
- R4.3.** The discovery of all access points to the Electronic Security Perimeter;
- R4.4.** A review of controls for default accounts, passwords, and network management community strings;
- R4.5.** Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.

R5. Documentation Review and Maintenance — The Responsible Entity shall review, update, and maintain all documentation to support compliance with the requirements of Standard CIP-005-4.

- R5.1.** The Responsible Entity shall ensure that all documentation required by Standard CIP-005-4 reflect current configurations and processes and shall review the documents and procedures referenced in Standard CIP-005-4 at least annually.
- R5.2.** The Responsible Entity shall update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.
- R5.3.** The Responsible Entity shall retain electronic access logs for at least ninety calendar days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008-4.

R6. Remote Access Controls — The Responsible Entity that ~~elects to allow~~ remote access to Cyber Assets within ~~of the network(s) protected by their its~~ Electronic Security Perimeter(s) ~~(or the Cyber Assets comprising the Electronic Security Perimeter's access points)~~ shall first implement the controls in the following ~~Parts subrequirements:~~

~~Remote access, for the purpose of this requirement and its sub requirements, is user interactive access by a person, used for monitoring, support, and maintenance, which originates from a Cyber Asset not located within any of the Responsible Entity's Electronic Security Perimeter(s). Remote access can be initiated from: 1) Cyber Assets owned by the Responsible Entity, 2) Cyber Assets owned by employees or contractors, and 3) Cyber Assets owned by vendors, contractors, or consultants.~~

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Support and maintenance, for the purpose of CIP-005-4 Requirement R6~~this requirement~~ and its sub-requirements, includes the activities associated with the upkeep, testing and modification of Cyber Assets or networks within the Electronic Security Perimeter. Examples of support and maintenance activities include configuration changes, power system model maintenance, vulnerability assessments, incident response, and application of

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- R6.1.** Implement an intermediate device or proxy system such that the Cyber Asset performing remote access does not have direct network access to Cyber Asset(s) within ~~an the~~ Electronic Security Perimeter.
- R6.2.** Implement the remote access system such that communications between the Cyber Asset performing remote access and the intermediate device are encrypted while the communications traverse a network outside the control of the Responsible Entity.
- R6.3.** Establish, implement, and document procedural controls for access authorization of remote access to the Electronic Security Perimeter that include the following:
 - R6.3.1.** Restrict remote access to authorized Responsible Entity personnel and vendors.
 - R6.3.2.** Maintain a record of all individuals authorized for remote access and review these records in accordance with CIP-004-4 Requirement R4.
 - R6.3.3.** Annually assess the implementation of the technical controls for remote access create an action plan to remediate or mitigate any findings and document the execution status of that action plan.
- R6.4.** Establish, implement, and document technical controls to ~~ensure prevent that only~~ unauthorized individuals ~~can from~~ establishing remote access.
 - R6.4.1.** Require the use of multifactor authentication for all remote access.
 - R6.4.2.** Implement and document the processes for producing and monitoring electronic access logs of remote access, which contain user identification, login time and logout or disconnect time of remote access, where technically feasible.
- R6.5.** Document a remote access user ~~agreement policy~~ regarding Cyber Assets used to initiate remote access that requires:
 - R6.5.1.** Updating anti-malware software and signatures
 - R6.5.2.** Updating patch levels for operating system and applications used for remote access
 - R6.5.3.** Prohibition of VPN “split-tunneling” and “dual-homed” workstations which can concurrently access multiple networks
 - R6.5.4.** Signed and dated acknowledgement of the remote access user agreement by all remote access users.

C. Measures

- M1.** The Responsible Entity shall make available documentation about the Electronic Security Perimeter as specified in Requirement R1.
- M2.** The Responsible Entity shall make available documentation of the electronic access controls to the Electronic Security Perimeter(s), as specified in Requirement R2.
- M3.** The Responsible Entity shall make available documentation of controls implemented to log and monitor access to the Electronic Security Perimeter(s) as specified in Requirement R3.
- M4.** The Responsible Entity shall make available documentation of its annual vulnerability assessment as specified in Requirement R4.

- M5.** The Responsible Entity shall make available access logs and documentation of review, changes, and log retention as specified in Requirement R5.
- M6.** The responsible Entity shall make available documentation of the remote access controls as specified in Requirement R6.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

- 1.1.1** Regional Entity for Responsible Entities that do not perform delegated tasks for their Regional Entity.
- 1.1.2** ERO for Regional Entity.
- 1.1.3** Third-party monitor without vested interest in the outcome for NERC.

1.2. Compliance Monitoring and Enforcement Processes

- Compliance Audits
- Self-Certifications
- Spot Checking
- Compliance Violation Investigations
- Self-Reporting
- Complaints

1.3. Data Retention

- 1.3.1** The Responsible Entity shall keep logs for a minimum of ninety calendar days, unless: a) longer retention is required pursuant to Standard CIP-008-4, Requirement R2; b) directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.
- 1.3.2** The Responsible Entity shall keep other documents and records required by Standard CIP-005-4 from the previous full calendar year. The Compliance Enforcement Authority in conjunction with the Registered Entity shall keep the last audit records and all requested and submitted subsequent audit records.

1.4. Additional Compliance Information

2. Violation Severity Levels (To be developed later.)

E. Regional Variances

None identified.

Version History

| Version | Date | Action | Change Tracking |
|----------------|-------------|---|------------------------|
| 1 | 01/16/06 | D.2.3.1 — Change “Critical Assets,” to “Critical Cyber Assets” as intended. | 03/24/06 |
| 2 | | Modifications to clarify the requirements and to bring the compliance elements into conformance with the latest guidelines for developing compliance elements of standards. Removal of reasonable business judgment. | |

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|---|----------|--|----------|
| | | <p>Replaced the RRO with the RE as a responsible entity. Rewording of Effective Date. Revised the wording of the Electronic Access Controls requirement stated in R2.3 to clarify that the Responsible Entity shall “implement and maintain” a procedure for securing dial-up access to the Electronic Security Perimeter(s). Changed compliance monitor to Compliance Enforcement Authority.</p> | |
| 3 | | Update version from -2 to -3 | |
| 3 | 12/16/09 | Approved by the NERC Board of Trustees | Update |
| 4 | TBD | Modifications to address remote access to Critical Assets for support staff maintenance | 8/5/2010 |
| 5 | | Update version from -3 to -4 | |