

## Implementation Plan for Version 5 CIP Cyber Security Standards

October 26, 2012

### Prerequisite Approvals

All Version 5 CIP Cyber Security Standards and the proposed additions, modifications, and retirements of terms to the *Glossary of Terms used in NERC Reliability Standards* must be approved before these standards can become effective.

### Applicable Standards

The following standards and definitions, collectively referred to as “Version 5 CIP Cyber Security Standards,”<sup>1</sup> are covered by this Implementation Plan:

- CIP-002-5 — Cyber Security — BES Cyber System Categorization
- CIP-003-5 — Cyber Security — Security Management Controls
- CIP-004-5 — Cyber Security — Personnel and Training
- CIP-005-5 — Cyber Security — Electronic Security Perimeter(s)
- CIP-006-5 — Cyber Security — Physical Security of BES Cyber Systems
- CIP-007-5 — Cyber Security — Systems Security Management
- CIP-008-5 — Cyber Security — Incident Reporting and Response Planning
- CIP-009-5 — Cyber Security — Recovery Plans for BES Cyber Systems
- CIP-010-1 — Cyber Security — Configuration Change Management and Vulnerability Assessments
- CIP-011-1 — Cyber Security — Information Protection

“Definitions of Terms used in Version 5 CIP Cyber Security Standards” document, which includes proposed additions, modifications, and retirements of terms to the *Glossary of Terms used in NERC Reliability Standards*.

These standards and Definitions of Terms used in Version 5 CIP Cyber Security Standards are posted for ballot by NERC concurrently with this Implementation Plan.

When these standards and Definitions of Terms used in Version 5 CIP Cyber Security Standards become effective, all prior versions of these standards are retired.

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<sup>1</sup> Although CIP-010-1 and CIP-011-1 are proposed as first versions, any reference to “Version 5 CIP Cyber Security Standards” includes CIP-010-1 and CIP-011-1, in addition to CIP-002-5 through CIP-009-5, because CIP-010-1 and CIP-011-1 were developed as part of the “Version 5 CIP Cyber Security Standards” development process.

### Compliance with Standards

Once these standards and Definitions of Terms used in Version 5 CIP Cyber Security Standards become effective, the responsible entities identified in the Applicability Section of the standard must comply with the requirements.

### Proposed Effective Date for Version 5 CIP Cyber Security Standards

Responsible entities shall comply with all requirements in CIP-002-5, CIP-003-5, CIP-004-5, CIP-005-5, CIP-006-5, CIP-007-5, CIP-008-5, CIP-009-5, CIP-010-1, and CIP-011-1 as follows:

1. **24 Months Minimum** – The Version 5 CIP Cyber Security Standards, except for CIP-003-5 R2, shall become effective on the later of July 1, 2015, or the first calendar day of the ninth calendar quarter after the effective date of the order providing applicable regulatory approval. CIP-003-5, Requirement R2, shall become effective on the later of July 1, 2016, or the first calendar day of the 13th calendar quarter after the effective date of the order providing applicable regulatory approval. Notwithstanding any order to the contrary, CIP-002-4 through CIP-009-4 do not become effective, and CIP-002-3 through CIP-009-3 remain in effect and are not retired until the effective date of the Version 5 CIP Cyber Security Standards under this implementation plan.<sup>2</sup>
2. In those jurisdictions where no regulatory approval is required, the Version 5 CIP Cyber Security Standards, except for CIP-003-5 R2, shall become effective on the first day of the ninth calendar quarter following Board of Trustees' approval, and CIP-003-5 R2 shall become effective on the first day of the 13th calendar quarter following Board of Trustees' approval, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

### Initial Performance of Certain Periodic Requirements

Specific Version 5 CIP Cyber Security Standards have periodic requirements that contain time parameters for subsequent and recurring iterations of the requirement, such as, but not limited to, “. . . at least once every 15 calendar months . . .”, and responsible entities shall comply initially with those periodic requirements as follows:

1. On or before the Effective Date of the Version 5 CIP Cyber Security Standards for the following requirements:
  - CIP-002-5, Requirement R2
  - CIP-003-5, Requirement R1
2. On or before the Effective Date of CIP-003-5, Requirement R2 for the following requirement:
  - CIP-003-5, Requirement R2

<sup>2</sup> In jurisdictions where CIP-002-4 through CIP-009-4 have not yet become effective according to their implementation plan (even if approved by order), this implementation plan and the Version 5 CIP Cyber Security Standards supersede and replace the implementation plan and standards for CIP-002-4 through CIP-009-4.

3. Within 14 calendar days after the Effective Date of the Version 5 CIP Cyber Security Standards for the following requirements:
  - CIP-007-5, Requirement R4, Part 4.4
4. Within 35 calendar days after the Effective Date of the Version 5 CIP Cyber Security Standards for the following requirements:
  - CIP-010-1, Requirement R2, Part 2.1
5. Within three calendar months after the Effective Date of the Version 5 CIP Cyber Security Standards for the following requirements:
  - CIP-004-5, Requirement R4, Part 4.2
6. Within 12 calendar months after the Effective Date of the Version 5 CIP Cyber Security Standards for the following requirements:
  - CIP-004-5, Requirement R2, Part 2.3
  - CIP-004-5, Requirement R4, Parts 4.3 and 4.4
  - CIP-006-5, Requirement R3, Part 3.1
  - CIP-008-5, Requirement R2, Part 2.1
  - CIP-009-5, Requirement R2, Parts 2.1, 2.2
  - CIP-010-1, Requirement R3, Parts 3.1
7. Within 24 calendar months after the Effective Date of the Version 5 CIP Cyber Security Standards for the following requirements:
  - CIP-009-5, Requirement R2, Part 2.3
  - CIP-010-1, Requirement R3, Part 3.2
8. Within 7 years after the last personnel risk assessment that was performed pursuant to a previous version of the CIP Cyber Security Standards for a personnel risk assessment for the following requirement:
  - CIP-004-5, Requirement R3, Part 3.5.

### **Previous Identity Verification**

A documented identity verification performed pursuant to a previous version of the CIP Cyber Security Standards does not need to be reperfomed under CIP-004-5, Requirement R3, Part 3.1.

### **Planned or Unplanned Changes Resulting in a Higher Categorization**

*Planned* changes refer to any changes of the electric system or BES Cyber System as identified through the annual assessment under CIP-002-5, Requirement R2, which were planned and implemented by the responsible entity.

For example, if an automation modernization activity is performed at a transmission substation, whereby Cyber Assets are installed that meet the criteria in CIP-002-5, Attachment 1, then the new BES Cyber System has been implemented as a result of a planned change, and must, therefore, be in compliance with the Version 5 CIP Cyber Security Standards upon the commissioning of the modernized transmission substation.

In contrast, *unplanned* changes refer to any changes of the electric system or BES Cyber System, as identified through the annual assessment under CIP-002-5, Requirement R2, which were not planned by the responsible entity. Consider the scenario where a particular BES Cyber System at a transmission substation does not meet the criteria in CIP-002-5, Attachment 1, then, later, an action is performed outside of that particular transmission substation; such as, a transmission line is constructed or retired, a generation plant is modified, changing its rated output, and that unchanged BES Cyber System may become a medium impact BES Cyber System based on the CIP-002-5, Attachment 1, criteria.

For *planned* changes resulting in a higher categorization, the responsible entity shall comply with all applicable requirements in the Version 5 CIP Cyber Security Standards on the update of the identification and categorization of the affected BES Cyber System and any applicable and associated Physical Access Control Systems, Electronic Access Control and Monitoring Systems and Protected Cyber Assets, with additional time to comply for requirements in the same manner as those timelines specified in the section *Initial Performance of Certain Periodic Requirements* above.

For *unplanned* changes resulting in a higher categorization, the responsible entity shall comply with all applicable requirements in the Version 5 CIP Cyber Security Standards, according to the following timelines, following the identification and categorization of the affected BES Cyber System and any applicable and associated Physical Access Control Systems, Electronic Access Control and Monitoring Systems and Protected Cyber Assets, with additional time to comply for requirements in the same manner as those timelines specified in the section *Initial Performance of Certain Periodic Requirements* above.

Scenario of Unplanned Changes After the Effective Date	Compliance Implementation
New high impact BES Cyber System	12 months
New medium impact BES Cyber System	12 months
Newly categorized high impact BES Cyber System from medium impact BES Cyber System	12 months for requirements not applicable to Medium-Impact BES Cyber Systems

Scenario of Unplanned Changes After the Effective Date	Compliance Implementation
Newly categorized medium impact BES Cyber System	12 months
Responsible entity identifies first medium impact or high impact BES Cyber System (i.e., the responsible entity previously had no BES Cyber Systems categorized as high impact or medium impact according to the CIP-002-5 identification and categorization processes)	24 months

**Applicability Reference Tables**

The following tables are provided as a convenient reference to show which requirements in the Version 5 CIP Cyber Security Standards apply to specific Cyber Assets.

		Associated Electronic Access Control or Monitoring Systems	Physical Access Control System	Protected Cyber Assets
CIP-004-5 R2	Cyber Security Training Program	X	X	
CIP-004-5 R3	Personnel Risk Assessment Program	X	X	
CIP-004-5 R4	Access Management Program	X	X	
CIP-004-5 R5	Access Revocation	X	X	
CIP-005-5 R1 Part 1.2	Electronic Security Perimeter			X
CIP-005-5 R2	Remote Access Management			X
CIP-006-5 R1	Physical Security Plan	X	X	X
CIP-006-5 R2	Visitor Control Program	X		X
CIP-006-5 R3	Maintenance and Testing Program		X	

		<b>Associated Electronic Access Control or Monitoring Systems</b>	<b>Physical Access Control System</b>	<b>Protected Cyber Assets</b>
CIP-007-5 R1	Ports and Services	X	X	X
CIP-007-5 R2	Security Patch Management	X	X	X
CIP-007-5 R3	Malicious Code Prevention	X	X	X
CIP-007-5 R4	Security Event Monitoring	X	X	X
CIP-007-5 R5	System Access Control	X	X	X
CIP-010-1 R1	Configuration Change Management	X	X	X
CIP-010-1 R2	Configuration Monitoring	X	X	X
CIP-010-1 R3	Vulnerability Assessments	X	X	X
CIP-011-1 R1	Information Protection	X	X	
CIP-011-1 R2	BES Cyber Asset Reuse and Disposal	X	X	X