

Standard Development Timeline

This section is maintained by the drafting team during the development of the standard and will be removed when the standard is adopted by the NERC Board of Trustees (Board).

Description of Current Draft

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	March 22, 2019
SAR posted for comment	March 28, 2019 – April 26, 2019
45-day formal comment period with ballot	December 20, 2019 – February 3, 2020

Anticipated Actions	Date
45-day formal or informal comment period with ballot	July 2020
10-day final ballot	September 2020
Board adoption	November 2020

New or Modified Term(s) Used in NERC Reliability Standards

This section includes all new or modified terms used in the proposed standard that will be included in the *Glossary of Terms Used in NERC Reliability Standards* upon applicable regulatory approval. Terms used in the proposed standard that are already defined and are not being modified can be found in the *Glossary of Terms Used in NERC Reliability Standards*. The new or revised terms listed below will be presented for approval with the proposed standard. Upon Board adoption, this section will be removed.

Term(s):

None.

A. Introduction

1. **Title:** Cyber Security — Information Protection
2. **Number:** CIP-011-3
3. **Purpose:** To prevent unauthorized access to BES Cyber System Information (BCSI) by specifying information protection requirements in support of protecting BES Cyber Systems against compromise that could lead to misoperation or instability in the Bulk Electric System (BES).
4. **Applicability:**
 - 4.1. **Functional Entities:** For the purpose of the requirements contained herein, the following list of functional entities will be collectively referred to as “Responsible Entities.” For requirements in this standard where a specific functional entity or subset of functional entities are the applicable entity or entities, the functional entity or entities are specified explicitly.
 - 4.1.1 **Balancing Authority**
 - 4.1.2 **Distribution Provider** that owns one or more of the following Facilities, systems, and equipment for the protection or restoration of the BES:
 - 4.1.2.1 Each underfrequency Load shedding (UFLS) or undervoltage Load shedding (UVLS) system that:
 - 4.1.2.1.1 is part of a Load shedding program that is subject to one or more requirements in a NERC or Regional Reliability Standard; and
 - 4.1.2.1.2 performs automatic Load shedding under a common control system owned by the Responsible Entity, without human operator initiation, of 300 MW or more.
 - 4.1.2.2 Each Remedial Action Scheme (RAS) where the RAS is subject to one or more requirements in a NERC or Regional Reliability Standard.
 - 4.1.2.3 Each Protection System (excluding UFLS and UVLS) that applies to Transmission where the Protection System is subject to one or more requirements in a NERC or Regional Reliability Standard.
 - 4.1.2.4 Each Cranking Path and group of Elements meeting the initial switching requirements from a Blackstart Resource up to and including the first interconnection point of the starting station service of the next generation unit(s) to be started.
 - 4.1.3 **Generator Operator**
 - 4.1.4 **Generator Owner**
 - 4.1.5 **Reliability Coordinator**
 - 4.1.6 **Transmission Operator**

4.1.7 Transmission Owner

4.2. Facilities: For the purpose of the requirements contained herein, the following Facilities, systems, and equipment owned by each Responsible Entity in 4.1 above are those to which these requirements are applicable. For requirements in this standard where a specific type of Facilities, system, or equipment or subset of Facilities, systems, and equipment are applicable, these are specified explicitly.

4.2.1 Distribution Provider: One or more of the following Facilities, systems and equipment owned by the Distribution Provider for the protection or restoration of the BES:

4.2.1.1 Each UFLS or UVLS System that:

4.2.1.1.1 is part of a Load shedding program that is subject to one or more requirements in a NERC or Regional Reliability Standard; and

4.2.1.1.2 performs automatic Load shedding under a common control system owned by the Responsible Entity, without human operator initiation, of 300 MW or more.

4.2.1.2 Each RAS where the RAS is subject to one or more requirements in a NERC or Regional Reliability Standard.

4.2.1.3 Each Protection System (excluding UFLS and UVLS) that applies to Transmission where the Protection System is subject to one or more requirements in a NERC or Regional Reliability Standard.

4.2.1.4 Each Cranking Path and group of Elements meeting the initial switching requirements from a Blackstart Resource up to and including the first interconnection point of the starting station service of the next generation unit(s) to be started.

4.2.2 Responsible Entities listed in 4.1 other than Distribution Providers:

All BES Facilities.

4.2.3 Exemptions: The following are exempt from Standard CIP-011-3:

4.2.3.1 Cyber Assets at Facilities regulated by the Canadian Nuclear Safety Commission.

4.2.3.2 Cyber Assets associated with communication networks and data communication links between discrete Electronic Security Perimeters.

4.2.3.3 The systems, structures, and components that are regulated by the Nuclear Regulatory Commission under a cyber security plan pursuant to 10 C.F.R. Section 73.54.

4.2.3.4 For Distribution Providers, the systems and equipment that are not included in section 4.2.1 above.

4.2.3.5 Responsible Entities that identify that they have no BES Cyber Systems categorized as high impact or medium impact according to the CIP-002-5.1 identification and categorization processes.

5. Effective Dates:

See Implementation Plan for CIP-011-3.

6. Background:

Standard CIP-011 exists as part of a suite of CIP Standards related to cyber security, which require the initial identification and categorization of BES Cyber Systems and require a minimum level of organizational, operational, and procedural controls to mitigate risk to BES Cyber Systems.

Most requirements open with, “*Each Responsible Entity shall implement one or more documented [processes, plan, etc.] that include the applicable items in [Table Reference].*” The referenced table requires the applicable items in the procedures for the requirement’s common subject matter.

The term *documented processes* refers to a set of required instructions specific to the Responsible Entity and to achieve a specific outcome. This term does not imply any particular naming or approval structure beyond what is stated in the requirements. An entity should include as much as it believes necessary in its documented processes, but it must address the applicable requirements in the table.

The terms *program* and *plan* are sometimes used in place of *documented processes* where it makes sense and is commonly understood. For example, documented processes describing a response are typically referred to as *plans* (i.e., incident response plans and recovery plans). Likewise, a security plan can describe an approach involving multiple procedures to address a broad subject matter.

Similarly, the term *program* may refer to the organization’s overall implementation of its policies, plans and procedures involving a subject matter. Examples in the standards include the personnel risk assessment program and the personnel training program. The full implementation of the CIP Cyber Security Standards could also be referred to as a program. However, the terms *program* and *plan* do not imply any additional requirements beyond what is stated in the standards.

Responsible Entities can implement common controls that meet requirements for multiple high and medium impact BES Cyber Systems. For example, a single training program could meet the requirements for training personnel across multiple BES Cyber Systems.

Measures for the initial requirement are simply the documented processes themselves. Measures in the table rows provide examples of evidence to show documentation and implementation of applicable items in the documented processes. These measures serve to provide guidance to entities in acceptable records of compliance and should not be viewed as an all-inclusive list.

Throughout the standards, unless otherwise stated, bulleted items in the requirements and measures are items that are linked with an “or,” and numbered items are items that are linked with an “and.”

Many references in the Applicability section use a threshold of 300 MW for UFLS and UVLS. This particular threshold of 300 MW for UVLS and UFLS was provided in Version 1 of the CIP Cyber Security Standards. The threshold remains at 300 MW since it is specifically addressing UVLS and UFLS, which are last ditch efforts to save the BES. A review of UFLS tolerances defined within regional reliability standards for UFLS program requirements to date indicates that the historical value of 300 MW represents an adequate and reasonable threshold value for allowable UFLS operational tolerances.

“Applicable Systems” and “Applicability” Columns in Tables:

Each table has an “Applicable Systems” or “Applicability” column. The “Applicable Systems” column further defines the scope of systems to which a specific requirement row applies. The CSO706 SDT adapted this concept from the National Institute of Standards and Technology (“NIST”) Risk Management Framework as a way of applying requirements more appropriately based on impact and connectivity characteristics. The following conventions are used in the “Applicable Systems” column as described.

- **High Impact BES Cyber Systems** – Applies to BES Cyber Systems categorized as high impact according to the CIP-002-5.1 identification and categorization processes.
- **Medium Impact BES Cyber Systems** – Applies to BES Cyber Systems categorized as medium impact according to the CIP-002-5.1 identification and categorization processes.
- **Electronic Access Control or Monitoring Systems (EACMS)** – Applies to each Electronic Access Control or Monitoring System associated with a referenced high impact BES Cyber System or medium impact BES Cyber System. Examples may include, but are not limited to, firewalls, authentication servers, and log monitoring and alerting systems.
- **Physical Access Control Systems (PACS)** – Applies to each Physical Access Control System associated with a referenced high impact BES Cyber System or medium impact BES Cyber System with External Routable Connectivity.
- **Protected Cyber Assets (PCA)** – Applies to each Protected Cyber Asset associated with a referenced high impact BES Cyber System or medium impact BES Cyber System.

B. Requirements and Measures

- R1.** Each Responsible Entity shall implement one or more documented information protection program(s) that collectively includes each of the applicable requirement parts in *CIP-011-3 Table R1 – Information Protection Program*. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning*].
- M1.** Evidence for the information protection program must include the applicable requirement parts in *CIP-011-3 Table R1 – Information Protection Program* and additional evidence to demonstrate implementation as described in the Measures column of the table.

CIP-011-3 Table R1 – Information Protection Program			
Part	Applicability	Requirements	Measures
1.1	<p>BCSI pertaining to:</p> <p>High Impact BES Cyber Systems and their associated:</p> <ol style="list-style-type: none"> 1. EACMS; and 2. PACS <p>Medium Impact BES Cyber Systems and their associated:</p> <ol style="list-style-type: none"> 1. EACMS; and 2. PACS 	Method(s) to identify BCSI.	<p>Examples of acceptable evidence include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • Documented method(s) to identify BCSI from the entity’s information protection program; or • Indications on information (e.g., labels or classification) that identify BCSI as designated in the entity’s information protection program; or • Training materials that provide personnel with sufficient knowledge to identify BCSI; or • Storage location identified for housing BCSI in the entity’s information protection program.

CIP-011-3 Table R1 – Information Protection Program			
Part	Applicability	Requirements	Measures
1.2	BCSI as identified in Part 1.1	Method(s) to protect and securely handle BCSI.	<p>Examples of acceptable evidence include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • Evidence of methods used to protect and securely handle BCSI during its lifecycle, including: <ul style="list-style-type: none"> ○ Electronic mechanisms, ○ Physical mechanisms, ○ Technical mechanisms, or ○ Administrative mechanisms. • BCSI is handled in a manner consistent with the entity’s documented procedure(s).

CIP-011-3 Table R1 – Information Protection Program			
Part	Applicability	Requirement	Measure

<p>1.3</p>	<p>BCSI as identified in Part 1.1</p>	<p>When the Responsible Entity engages vendor services to store, utilize, or analyze BCSI, implement risk management method(s) for the following:</p> <ul style="list-style-type: none"> 1.3.1 Data governance and rights management; and 1.3.2 Identity and access management; and 1.3.3 Security management; and 1.3.4 Application, infrastructure, and network security. 	<p>Examples of acceptable evidence may include, but are not limited to, dated documentation of the following:</p> <ul style="list-style-type: none"> • Implementation of the risk identification and assessment method(s) (1.3); • List of risk identification and assessment method(s) per vendor (1.3.1); • Vendor certification(s) or Registered Entity verification of vendor controls implemented from the under-layer to the service provider, including application, infrastructure, and network security controls as well as physical access controls (1.3.2, 1.3.3, 1.3.4); • Business agreements that include communication expectations and protocols for disclosures of known vulnerabilities, access breaches, incident response, transparency regarding licensing, data ownership, and metadata (1.3.1); • Consideration made for data sovereignty, if any (1.3.1);
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CIP-011-3 Table R1 – Information Protection Program			
Part	Applicability	Requirement	Measure
			<ul style="list-style-type: none"> • Considerations used to assess conversion of data from one form to another and how information is protected from creation to disposal (1.3.1, 1.3.3); • Dated documentation of vendor’s identity and access management program(1.3.2); and • Physical and electronic security management documentation, (e.g., plans, diagrams) (1.3.3).

CIP-011-3 Table R1 – Information Protection Program			
Part	Applicability	Requirement	Measure
1.4	BCSI as identified in Part 1.1	When the Responsible Entity engages vendor services to store, utilize, or analyze BCSI, implement one or more documented electronic technical mechanisms to protect BCSI.	<p>Examples of evidence may include, but are not limited to, dated documentation of the following:</p> <ul style="list-style-type: none"> • Description of the electronic technical mechanism(s) (e.g., data masking, encryption, hashing, tokenization, cypher, electronic key management method[s]); • Evidence of implementation (e.g., configuration files, command output, architecture documents); and • Technical mechanism(s) for the separation of duties, demonstrating that entity’s control(s) cannot be subverted by the custodial vendor.

R2. Each Responsible Entity shall implement one or more documented process(es) that collectively include the applicable requirement parts in *CIP-011-3 Table R2 – BES Cyber Asset Reuse and Disposal*. [Violation Risk Factor: Lower] [Time Horizon: Operations Planning].

M2. Evidence must include each of the applicable documented processes that collectively include each of the applicable requirement parts in *CIP-011-3 Table R2 – BES Cyber Asset Reuse and Disposal* and additional evidence to demonstrate implementation as described in the Measures column of the table.

CIP-011-3 Table R2 – BES Cyber Asset Reuse and Disposal			
Part	Applicable Systems	Requirements	Measures
2.1	<p>High Impact BES Cyber Systems and their associated:</p> <ol style="list-style-type: none"> 1. EACMS; 2. PACS; and 3. PCA <p>Medium Impact BES Cyber Systems and their associated:</p> <ol style="list-style-type: none"> 1. EACMS; 2. PACS; and 3. PCA 	<p>Prior to the release for reuse of applicable Cyber Assets that contain BCSI (except for reuse within other systems identified in the “Applicable Systems” column), the Responsible Entity shall take action to prevent the unauthorized retrieval of BCSI from the Cyber Asset data storage media.</p>	<p>Examples of acceptable evidence include, but are not limited to:</p> <ul style="list-style-type: none"> • Records tracking sanitization actions taken to prevent unauthorized retrieval of BCSI such as clearing, purging, or destroying; or • Records tracking actions such as encrypting, retaining in the Physical Security Perimeter or other methods used to prevent unauthorized retrieval of BCSI.

CIP-011-3 Table R2 – BES Cyber Asset Reuse and Disposal			
Part	Applicable Systems	Requirements	Measures
2.2	<p>High Impact BES Cyber Systems and their associated:</p> <ol style="list-style-type: none"> 1. EACMS; 2. PACS; and 3. PCA <p>Medium Impact BES Cyber Systems and their associated:</p> <ol style="list-style-type: none"> 1. EACMS; 2. PACS; and 3. PCA 	<p>Prior to the disposal of applicable Cyber Assets that contain BCSI, the Responsible Entity shall take action to prevent the unauthorized retrieval of BCSI from the Cyber Asset or destroy the data storage media.</p>	<p>Examples of acceptable evidence include, but are not limited to:</p> <ul style="list-style-type: none"> • Records that indicate that data storage media was destroyed prior to the disposal of an applicable Cyber Asset; or • Records of actions taken to prevent unauthorized retrieval of BCSI prior to the disposal of an applicable Cyber Asset.

C. Compliance

1. Compliance Monitoring Process:

1.1. Compliance Enforcement Authority: “Compliance Enforcement Authority” (CEA) means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

1.2. Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The applicable entity shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- The applicable entity shall retain evidence of each requirement in this standard for three calendar years.
- If an applicable entity is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time specified above, whichever is longer.
- The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.3. Compliance Monitoring and Assessment Processes: As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

2. Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels (CIP-011-3)			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Operations Planning	Medium	The Responsible Entity implemented one or more documented information protection program(s) but did not implement one of the applicable items for Parts 1.1 through 1.4. (R1)	The Responsible Entity implemented one or more documented information protection program(s) but did not implement two of the applicable items for Parts 1.1 through 1.4. (R1)	The Responsible Entity implemented one or more documented information protection program(s) but did not implement three or more of the applicable items for Parts 1.1 through 1.4. (R1)	The Responsible Entity did not implement one or more documented information protection program(s). (R1)
R2	Operations Planning	Lower	N/A	The Responsible Entity implemented one or more documented processes but did not include processes for reuse as to prevent the unauthorized retrieval of BCSI from the BES Cyber Asset. (2.1)	The Responsible Entity implemented one or more documented processes but did not include disposal or media destruction processes to prevent the unauthorized retrieval of BCSI from the BES Cyber Asset. (2.2)	The Responsible Entity has not documented or implemented any processes for applicable requirement parts in CIP-011-3 Table R2 – BES Cyber Asset Reuse and Disposal. (R2)

D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

Version History

Version	Date	Action	Change Tracking
1	11/26/12	Adopted by the NERC Board of Trustees.	Developed to define the information protection requirements in coordination with other CIP standards and to address the balance of the FERC directives in its Order 706.
1	11/22/13	FERC Order issued approving CIP-011-1. (Order becomes effective on 2/3/14.)	
2	11/13/14	Adopted by the NERC Board of Trustees.	Addressed two FERC directives from Order No. 791 related to identify, assess, and correct language and communication networks.
2	2/12/15	Adopted by the NERC Board of Trustees.	Replaces the version adopted by the Board on 11/13/2014. Revised version addresses remaining directives from Order No. 791 related to transient devices and low impact BES Cyber Systems.
2	1/21/16	FERC Order issued approving CIP-011-2. Docket No. RM15-14-000	

3	TBD	Adopted by the NERC Board of Trustees	Revised to enhance BES reliability for entities to manage their BCSl.
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Note: The Guidelines and Technical Basis section has not been revised as part of Project 2019-02. A separate technical rationale document has been created to cover Project 2019-02 revisions. Future edits to this section will be conducted through the Technical Rationale for Reliability Standards Project and the Standards Drafting Process.