

Evidence Request Tool (ERT) V5.0 to v6.0 Change List

February 4, 2022

List of Changes

Instructions tab

- Row 2
 - Changed Version 5.0 to 6.0

Level 1 tab

- Column E
 - Added column “Response Due Date” for use by Region
- Procurement Detail tab request
 - Revised to state “during the audit period for high and/or medium impact BES Cyber Systems” in the beginning of the request.
 - Added “**Future use with CIP-013-2: Include procurements for EACMS and PACS associated with high and/or medium impact BES Cyber Systems.*”
- CIP-TFE-L1-01
 - Added “and any TFE terminated during the audit period”
 - Added “TFE ID number” to item (6)
- CIP-002-R1-L1-05
 - Added “(limited to BES applicability)”
- CIP-002-R1-L1-05
 - Revised “*that were excluded from identification as BES Cyber Assets including supporting explanations*” to “*that were determined to not meet the BES Cyber Asset definition. Include supporting explanations for resulting determination.*”
- CIP-002-R1-L1-08
 - New Level 1 Request ID
- CIP-002-R1-L1-09
 - New Level 1 Request ID

- CIP-003-R1-L1-01
 - Added “at least once every 15 calendar months during the audit period”
- CIP-003-R2-L1-01
 - Added “that address the required sections in Attachment 1”
- CIP-003-R2-L1-02
 - Revised to “For assets containing low impact BES Cyber Systems, provide evidence the reinforcement of cyber security practices occurred at least once every 15 calendar months.”
- CIP-004-R4-L1-02
 - New Level 1 Request ID
- CIP-004-R4-L1-03
 - New Level 1 Request ID
- CIP-004-R4-L1-04
 - New Level 1 Request ID
- CIP-005-R1-L1-03
 - Added “Electronic Access Point and each”
 - Removed “type” and “Cyber Asset on the CA tab”
 - Added “within ESP(s) listed on the ESP tab”
- CIP-005-R2-L1-02
 - Added R3 to column C “Requirement” reference
- CIP-005-R3-L1-01
 - New Level 1 Request ID
- CIP-006-R1-L1-02
 - Added “(if any)”
- CIP-007-R2-L1-01
 - Added “For each applicable Cyber Asset that is updateable and for which a patching source exists, include the identification of a source or sources that are tracked for the release of cyber security patches.”
- CIP-007-R4-L1-01
 - Added “Include identification of what security events have been determined to necessitate an alert.”
- CIP-007-R5-L1-02

- Added “of”
- Removed “the”
- Added “, and”
- Removed “inventory of”
- Added “all identified and inventoried”
- CIP-007-R5-L1-03
 - Replaced “that” with “of identifying”
 - Removed “any” and “are identified”
- CIP-008-R1-L1-01
 - Added “R2, R3, R4” to column C “Requirement” reference
- CIP-008-R2-L1-01
 - Removed “provided in the response to CIP-008-R1-L1-01”
 - Added “developed pursuant to CIP-008 R1”
- CIP-008-R3-L1-01
 - Replaced “showing” with “that the following was completed no later than 60 calendar days after the change”
- CIP-008-R3-L1-02
 - Removed
- CIP-009-R1-L1-01
 - Added “R2, R3” to column C “Requirement” reference
- CIP-009-R2-L1-01
 - Removed “provided in the response to CIP-009-R1-L1-01”
 - Added “developed pursuant to CIP-009 R1”
- CIP-009-R2-L1-02
 - Replaced “and that” with “at least once every 15 calendar months during the audit period to ensure”
- CIP-009-R2-L1-03
 - Removed “provided in the response to CIP-009-R1-L1-01”
 - Added “developed pursuant to CIP-009 R1 for high impact BES Cyber Systems”
 - Added “of testing each recovery plan at least once every 36 calendar months during the audit period through an”

- CIP-009-R3-L1-01
 - Added “that the following was completed no later than 90 calendar days after”
- CIP-009-R3-L1-02
 - Replaced “showing” with “that the following was completed no later than 60 calendar days after the change”
- CIP-009-R3-L1-03
 - Removed
- CIP-013-R2-L1-01
 - Added “vendors” and parenthesis around “(*persons, companies, or other organizations*)”

Sample Sets L2 tab

- Column A
 - Updated Sample Set naming convention to reference Source Tab-Level 2-sequence number, e.g., RM-L2-01
 - All Sample Set ID references were updated on associated Source Tabs and Level 2 Request IDs
- Personnel-L2-01
 - New Sample Set ID for Level 2 Request ID CIP-004-R2-L2-01
- Personnel-L2-02 (Version 5 Sample Set ID SS-004-R2-L2-01)
 - Associated with new Level 2 Request ID CIP-004-R2-L2-02
- Personnel-L2-03 (Version 5 Sample Set ID SS-004-R4-L2-01)
 - Revised Population Filtering Instructions (column E) to use newly added column: "Was Access Authorized During the Audit Period?" column = 'TRUE'
 - Removed “Date(s) Electronic Access Authorized”, "Date(s) Unescorted Physical Access Authorized", and "Date(s) Access to storage locations for BES Cyber System Information Authorized" columns = date(s) during audit period”
- SS-004-R4-L2-02
 - Removed due to addition of CIP-004-R4-L1-02 and CIP-004-R4-L1-03
- SS-004-R4-L2-03
 - Removed due to addition of CIP-004-R4-L1-04
- Personnel-L2-04 (Version 5 Sample Set ID SS-004-R5-L2-01)
 - Updated Population Filtering Instructions (column E) to use revised column titles on Personnel tab

- Removed ""Date(s) Electronic Access Authorized" column and/or "Date(s) Unescorted Physical Access Authorized" column = not blank"
- Added "Authorized Electronic Access" column and/or "Authorized Unescorted Physical Access" column = 'TRUE'
- Description added "with either authorized electronic access or authorized unescorted physical access"
- Personnel-L2-05 (Version 5 Sample Set ID SS-004-R5-L2-02)
 - Updated Population Filtering Instructions (column E) to use revised column titles on Personnel tab
 - Removed ""Date(s) Electronic Access Authorized" column and/or "Date(s) Unescorted Physical Access Authorized" column = not blank"
 - Added " "Authorized Electronic Access" column and/or "Authorized Unescorted Physical Access" column = 'TRUE'"
 - Description added "with either authorized electronic access or authorized unescorted physical access"
- CA-L2-01, CA-L2-02, CA-L2-03, CA-L2-04, CA-L2-05, CA-L2-07, CA-L2-08, CA-L2-09, CA-L2-10, CA-L2-12, CA-L2-13, CA-L2-14, CA-L2-15, CA-L2-16
 - Added to Population Filtering Instructions ""Date of Deactivation from a Production Environment, if Deactivated During the Audit Period" = blank"
- CA-L2-02 (Version 5 Sample Set ID SS-005-R1-L2-03)
 - Corrected typos in Population Filtering Instructions ("of" changed to "or", "is" removed with ESP Identifier instruction)
- CA-L2-04 (Version 5 Sample Set ID SS-005-R2-L2-01)
 - Level 2 Request IDs CIP-005-R2-L2-02 and CIP-005-R2-L2-03 removed from column B
- CA-L2-05 (Version 5 Sample Set ID SS-005-R2-L2-02)
 - Level 2 Request IDs CIP-005-R2-L2-04 and CIP-005-R2-L2-05 removed from column B
- CA-L2-06
 - New Sample Set ID for Level 2 Request ID CIP-005-R3-L2-01
- CA-L2-07 (Version 5 Sample Set ID SS-006-R1-L2-01)
 - Removed "PACS associated with high impact BCS or medium impact BCS with ERC" from column C
- CA-L2-09 (Version 5 Sample Set ID SS-007-R1-L2-01)
 - Level 2 Request IDs CIP-007-R4-L2-02, CIP-007-R4-L2-03, and CIP-007-R5-L2-04 removed from column B

- Added to Population Filtering Instructions ““Connected to a Network Via a Routable Protocol” = ‘TRUE’”
- Added “routable” to Description
- CA-L2-11
 - New Sample Set ID created for Level 2 Request IDs CIP-007-R4-L2-02, CIP-007-R4-L2-03, and CIP-007-R5-L2-04 (due to changes with CA-L2-09)
- CA-L2-14 (Version 5 Sample Set ID SS-010-R1-L2-01)
 - Corrected typo in Population Filtering Instructions (“Function” changed to “Classification”)
- CA-L2-15 (Version 5 Sample Set ID SS-010-R1-L2-02)
 - Corrected typo in Population Filtering Instructions (“Function” changed to “Classification”)
 - Added to Population Filtering Instructions “Future Use (CIP-010-4): "Cyber Asset Classification" column = 'BCA' OR 'EACMS' OR 'PACS'”
 - Added to Description “Future use with CIP-010-4 includes associated EACMS and PACS.”
- CA-L2-16 (Version 5 Sample Set ID SS-010-R2-L2-01)
 - Corrected typo in Population Filtering Instructions (“Function” changed to “Classification”)
- CA-L2-17 (Version 5 Sample Set ID SS-010-R3-L2-01)
 - Corrected typo in Population Filtering Instructions (“Function” changed to “Classification”)
- Procurement-L2-01 (Version 5 Sample Set ID SS-013-R2-L2-01)
 - Added to Applicable Systems column “Future Use: High impact BCS and associated: EACMS and PACS; Medium impact BCS and associated: EACMS and PACS”
- SS-DATE-03
 - Revised Description to “Date for baseline configurations”

Level 2 tab

- Column D
 - All Sample Set ID references updated to match updated naming conventions
- Column F “Sample Set Evidence Request”
 - All Sample Set ID references updated to match updated naming conventions
- Column G “Sample Set Index Numbers & Date”
 - Added SS-DATE information to be populated in this column for applicable Level 2 Request IDs
- CIP-004-R2-L2-01
 - Removed “R2 Part 2.3” from column C

- Revised to, “For each individual in Personnel-L2-01, who had initial access granted during the audit period, provide:
 - Evidence that training was provided prior to access being granted; and
 - Evidence of the training content provided to the individual (e.g., learning management system records, list of modules used for training, etc.).”
- CIP-004-R2-L2-02
 - New Level 2 Request ID for CIP-004-6 R2 Part 2.3
- CIP-004-R4-L2-02
 - Removed due to addition of CIP-004-R4-L1-02
- CIP-004-R4-L2-03
 - Removed due to addition of CIP-004-R4-L1-03
- CIP-004-R4-L2-04
 - Removed due to addition of CIP-004-R4-L1-04
- CIP-004-R5-L2-05
 - Added “If extenuating operating circumstances were invoked for any of the samples, provide documentation of the circumstances, including the specific end date, and evidence the passwords to shared accounts known to the user were changed within 10 calendar days following the end of the extenuating operating circumstance.”
- CIP-004-R5-L2-06
 - Added “If extenuating operating circumstances were invoked for any of the samples, provide documentation of the circumstances, including the specific end date, and evidence the passwords to shared accounts known to the user were changed within 10 calendar days following the end of the extenuating operating circumstance.”
- CIP-005-R2-L2-01
 - Added “R2 Part 2.2” and “R2 Part 2.3” to column C
 - Added CIP-005-R2-L2-02 and CIP-005-R2-L2-03 evidence requests into column F as items (2) and (3)
- CIP-005-R2-L2-02 (Version 5 Request ID)
 - Removed
- CIP-005-R2-L2-03 (Version 5 Request ID)
 - Removed
- CIP-005-R2-L2-02 (Version 5 Request ID CIP-005-R2-L2-04)
 - Added “R2 Part 2.5” to column C

- Added CIP-005-R2-L2-05 evidence request into column F as item (2)
- CIP-005-R2-L2-05 (Version 5 Request ID)
 - Removed
- CIP-005-R3-L2-01
 - New Request ID (for future use with CIP-005-7)
- CIP-006-R3-L2-01
 - Removed “that”
 - Added “occurred at least once every 24 calendar months”
- CIP-007-R1-L2-01
 - Added “a reference to an approved TFE covering this Cyber Asset or the”
 - Added “If the Cyber Asset has no provision for disabling or restricting logical ports, provide supporting evidence.”
- CIP-007-R2-L2-01
 - Removed “1. Identification of source(s) tracked for release of cyber security patches,”
- CIP-007-R4-L2-02, CIP-007-R4-L2-03, and CIP-007-R5-L2-04
 - Updated to reference new Sample Set CA-L2-11
- CIP-007-R5-L2-05
 - Added “or 3. A reference to an approved TFE covering this Cyber Asset.”
- CIP-010-R1-L2-01
 - Added “or the most recent version”
- CIP-010-R1-L2-04
 - Added “prior to the change” and “following the change”
- CIP-010-R1-L2-06
 - Added “3. Provide documentation if a method to verify the identity (Part 1.6.1) or the integrity (Part 1.6.2) of a software source was not available.”
- CIP-010-R3-L2-01
 - Revised to “For each vulnerability assessment conducted during the audit period that is applicable to each Cyber Asset in Sample Set CA-L2-10, provide: 1. Evidence a paper or active vulnerability assessment was conducted at least once every 15 calendar months. [Part 3.1] 2. Documented results of the assessment and action plan(s) to remediate or mitigate vulnerabilities identified during the assessment, including the planned date of completing the action plan and execution status of any remediation or mitigation action items. [Part 3.4]”

- CIP-010-R3-L2-02
 - Revised to “For each active vulnerability assessment conducted during the audit period that is applicable to each Cyber Asset in Sample Set CA-L2-14, provide: 1. A reference to an approved TFE covering this Cyber Asset [Part 3.2]; or 2. Evidence an active vulnerability assessment was conducted at least once every 36 calendar months, in accordance with Part 3.2.1; and 3. Results of the testing, in accordance with Part 3.2.2. 4. Documented results of the assessment and action plan(s) to remediate or mitigate vulnerabilities identified during the assessment, including the planned date of completing the action plan and execution status of any remediation or mitigation action items. [Part 3.4]”
- CIP-010-R3-L2-03
 - Revised to “For each Cyber Asset in Sample Set CA-L2-17, provide: 1. Evidence an active vulnerability assessment was performed prior to adding the Cyber Asset to a production environment. [Part 3.3] 2. If the addition of the Cyber Asset to a production environment was a like replacement of the same type of Cyber Asset with a baseline configuration that modeled an existing baseline configuration of the previous or other existing Cyber Asset, provide evidence that the baseline configuration of the Cyber Asset being added modeled the baseline configuration of an existing Cyber Asset. [Part 3.3] 3. If the addition of the Cyber Asset to a production environment was performed during a CIP Exceptional Circumstance, provide the identification of the CIP Exceptional Circumstance. [Part 3.3] 4. Documented results of the assessment and action plan(s) to remediate or mitigate vulnerabilities identified during the assessment, including the planned date of completing the action plan and execution status of any remediation or mitigation action items. [Part 3.4]”

Sample Sets Table tab

- Worksheet updated to reflect changes in Sample Set ID (including naming conventions)

BES Assets tab

- Column K
 - Title Revised to “Accessible Via a Routable Protocol – Low Impact”
- Column L
 - Title Revised to “External Routable Connectivity - High/Medium Impact”
- Columns P, Q, R, S, T
 - Updated to match Sample Set ID changes

CA tab

- Columns AC, AD, AE, AF, AG, AH, AI, AJ, AK, AL, AM, AN, AO, AP, AQ, AR, AS
 - Updated to match Sample Set ID changes

ESP tab

- Column G
 - Added column for “Were modifications made to ESP during audit period?”
 - Pull-down option restricted to “TRUE” or blank
- Column H
 - Updated to match Sample Set ID change

EAP tab

- Column G
 - Added column for “Were modifications made to EAP during audit period?”
 - Pull-down option restricted to “TRUE” or blank
- Columns H and I
 - Updated to match Sample Set ID changes

PSP tab

- Columns K, L, M, N
 - Updated to match Sample Set ID changes

TCA tab

- Columns I, J, K, L, M
 - Updated to match Sample Set ID changes

RM tab

- Columns G and H
 - Updated to match Sample Set ID changes

BCSI tab

- Column E
 - Updated to match Sample Set ID change

Personnel tab

- Column N
 - Title revised to “Authorized Electronic Access”
 - Pull-down option restricted to “TRUE” or blank
- Column O
 - Title revised to “Authorized Unescorted Physical Access”

- Pull-down option restricted to “TRUE” or blank
- Column P
 - Title revised to “Authorized Access to storage locations for BES Cyber System Information Access”
 - Pull-down option restricted to “TRUE” or blank
- Column Q
 - Added column for “Was Access Authorized during the Audit Period?”
 - Pull-down option restricted to “TRUE” or blank
- Columns R, S, T, U, V, W, X, Y, Z
 - Updated to match Sample Set ID changes

Reuse_Disposal tab

- Columns F and G
 - Updated to match Sample Set ID changes

CSI tab

- Columns I, J, K, L, M
 - Updated to match Sample Set ID changes

Procurement tab

- Column C
 - Added column for “Vendor”
- Column N
 - Updated to match Sample Set ID change

User Guide

- Changed Version 5.0 to 6.0
- Table of Contents:
 - Updated field to reflect current page number and header titles
- Chapter 2:
 - Removed “Note”
 - Added additional information related to general requests:
 - These requests are informative for several Requirements and not scoped to specific Requirements.

- The TFE Request ID requests necessary evidence associated with any active Technical Feasibility Exceptions.
- The CEC Request ID will provide information on CIP Exceptional Circumstances associated with applicable Requirements.
- The SRP Request ID is intended to provide CMEP staff an overview of tools and technology used in support of CIP compliance (e.g., tabulated list of tools associated with Standards and Requirements in scope).
- The EOL Request ID is intended to inform CMEP staff of an entity’s technologies and possible areas of risk associated with security protections.
- Added after Initial Evidence Request Required in RSAW and NERC Evidence Request Spreadsheet, “Note: On the Level 1 tab, there is a “For use by Region” column for annotating Response Due Dates. Regions may either use this column to indicate the due date for Request IDs and completion of the Detail tabs or annotate the due dates in alternate methods, such as within the ANL. The Responsible Entity should work with their Region(s) for clarification or exceptions to use of this column.”
- Chapter 3:
 - Related to *Bulk Electric System (BES) Assets* section:
 - Added “- Low Impact”
 - Removed “?”
 - Added low impact
 - Added “-High/Medium Impact”
 - Added “high and/or medium impact”
 - Added “(s)”
 - Removed “that is”
 - Removed “of the Responsible Entity”
 - Added “separated by commas”
 - Related to *Cyber Asset (CA)* section:
 - Added “remote access (e.g.,”
 - Removed “or”
 - Added “, authenticated vendor-initiated remote connection)”
 - Replaced “covers” with “lists Cyber Asset(s) applicable to”
 - Added “use this column to”
 - Replaced “entity with compliance responsibility for this” with “entity(ies) associated with the”

- Removed “If this response is applicable to only one registered entity”
- Added “Otherwise”
- Removed “of the registered entity”
- Added “separated by commas”
- Removed “Use Alt+Enter to break lines of test in a single cell.”
- Related to Low CA section:
 - Replaced “covers” with “lists BES Cyber Asset(s) applicable to”
 - Added “use this column to”
 - Replaced “entity with compliance responsibility for this” with “entity(ies) associated with the”
 - Removed “If this response is applicable to only one registered entity”
 - Added “Otherwise”
 - Removed “of the registered entity”
 - Added “separated by commas”
 - Removed “Use Alt+Enter to break lines of test in a single cell.”
- Related to Electronic Security Perimeter (ESP) section:
 - Added:
 - Were modifications made to ESP during audit period?***
 - This column contains a pull-down list. TRUE should be selected if this ESP experienced modifications during the audit period (e.g., major architectural changes in the network or Cyber Assets included within). Otherwise leave blank.
- Related to Electronic Access Point (EAP) section:
 - Added:
 - Were modifications made to EAP during audit period?***
 - This column contains a pull-down list. TRUE should be selected if this EAP experienced modifications during the audit period (e.g., changes in the external network connection, added or removed during the audit period). Otherwise leave blank.
- Related to Personnel section:
 - Removed “Provide one row for each person with applicable access during the audit period”
 - Added “If an individual had any of the following applicable access(es) during the audit period, provide one row for that individual”
 - Removed “Note: If the applicable individuals are provisioned access more than once, include them all in the same row. Use Alt+Enter to break lines of text in a single cell.”

- Revised “Dates Electronic Access Authorized” to “Authorized Electronic Access”
- Added “This column contains a pull-down list. TRUE should be selected if”
- Removed “, include all date(s) when electronic access was authorized”
- Removed “Use Alt+Enter to break lines of text in a single cell. Note: If an individual’s electronic access was authorized before the audit period, all date(s) when electronic access was authorized should be reported in a single cell, or alternatively, confirm access was authorized before the audit period.”
- Revised “Dates Unescorted Physical Access Authorized” to “Authorized Unescorted Physical Access”
- Added “This column contains a pull-down list. TRUE should be selected if”
- Removed “, include all date(s) when unescorted physical access was authorized”
- Removed “Use Alt+Enter to break lines of text in a single cell. Note: If an individual’s unescorted physical access was authorized before the audit period, all date(s) when unescorted physical access was authorized should be reported in a single cell, or alternatively, confirm access was authorized before the audit period.”
- Revised “Dates Access to storage locations for BES Cyber System Information Authorized” to “Authorized Access to storage locations for BES Cyber System Information”
- Added “This column contains a pull-down list. TRUE should be selected if”
- Removed “, include all date(s) when access to storage locations for BES Cyber System Information was authorized”
- Removed “Use Alt+Enter to break lines of text in a single cell. Note: If an individual’s access to designated BCSI storage locations was authorized before the audit period, all date(s) when access to BCSI storage locations was authorized should be reported in a single cell, or alternatively, confirm access was authorized before the audit period.”

– Added:

Was Access Authorized During the Audit Period?

This column contains a pull-down list. TRUE should be selected if any of the following access(es) were authorized for this individual during the audit period (e.g., initial access, newly acquired additional access):

- electronic access to a high impact, or medium impact with ERC, BES Cyber System or associated EACMS or PACS;
- unescorted physical access to a high impact, or medium impact with ERC, BES Cyber System or associated EACMS or PACS; or
- access to designated storage locations, whether physical or electronic, for BES Cyber System Information.

If the individual did not have any applicable access authorized *during* the audit period (e.g., access was authorized prior to the audit period), leave this column blank.

- Related to Procurement section:
 - Added:

Vendor

Identify the vendor(s) associated with this procurement. If multiple vendors are associated with the procurement, use Alt+Enter to break lines of text in a single cell.

- Replaced “is for” with “included”
- Chapter 4:
 - Capitalized “Request”
- Chapter 5:
 - Capitalized “Request”
 - Added “& Dates”
 - Added “and associated sample set date ranges, where applicable to the Request ID”