

**Reliability Standard Audit Worksheet for British Columbia**

# CIP-006-5 – Cyber Security — Physical Security of BES Cyber Systems

# Reliability Standard Effective Date for BC: October 1, 2018

***The Compliance Monitor Administrator must complete this section***

**Registered Entity:** [Name & ACRO]

**WCR Number:** WCRXXXXX

**Compliance Assessment Date:** [Audit start date – audit end date]

**Compliance Monitoring Method:** [Audit Type]

**Applicable Function(s):** BA, DP, GO, GOP, TO, TOP

**Names of Auditors:**

Findings Table:

|  |  |  |  |
| --- | --- | --- | --- |
| Req. | Finding | Summary and Documentation | Functions Monitored |
| [R1](#R1_Summary) |  |  | BA, DP, GO, GOP, TO, TOP |
| [R2](#R2_Summary) |  |  | BA, DP, GO, GOP, TO, TOP |
| [R3](#R3_Summary) |  |  | BA, DP, GO, GOP, TO, TOP |

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| Req. | Areas of Concern |
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| Req. | Recommendations |
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# **Subject Matter Experts**

Identify subject matter expert(s) responsible for this Reliability Standard. Insert additional lines if necessary.

**Registered Entity Response (Required):**

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

**R1.** Each Responsible Entity shall implement, in a manner that identifies, assesses, and corrects deficiencies, one or more documented physical security plans that collectively include all of the applicable requirement parts in *CIP-006-5 Table R1 – Physical Security Plan*. *[Violation Risk Factor: Medium] [Time Horizon: Long Term Planning and Same Day Operations].*

**M1.** Evidence must include each of the documented physical security plans that collectively include all of the applicable requirement parts in *CIP-006-5 Table R1 – Physical Security Plan* and additional evidence to demonstrate implementation of the plan or plans as described in the Measures column of the table.

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.1 | Medium Impact BES Cyber Systems without External Routable Connectivity  Physical Access Control Systems (PACS) associated with:   * High Impact BES Cyber Systems, or * Medium Impact BES Cyber Systems with External Routable Connectivity | Define operational or procedural controls to restrict physical access. | An example of evidence may include, but is not limited to, documentation that operational or procedural controls exist. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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 Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.1

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans that define operational or procedural controls to restrict physical access. |
|  | Verify the Responsible Entity has implemented the defined operational or procedural controls to restrict physical access to Applicable Systems. |

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.2 | Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Utilize at least one physical access control to allow unescorted physical access into each applicable Physical Security Perimeter to only those individuals who have authorized unescorted physical access. | An example of evidence may include, but is not limited to, language in the physical security plan that describes each Physical Security Perimeter and how unescorted physical access is controlled by one or more different methods and proof that unescorted physical access is restricted to only authorized individuals, such as a list of authorized individuals accompanied by access logs. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.2

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans that utilize at least one physical access control to allow unescorted physical access into each applicable Physical Security Perimeter to only those individuals who have authorized unescorted physical access. |
|  | Verify that each Physical Security Perimeter has at least one physical access control. |
|  | Verify that only those individuals with authorized unescorted physical access are allowed unescorted physical access into each applicable Physical Security Perimeter. |

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.3 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA | Where technically feasible, utilize two or more different physical access controls (this does not require two completely independent physical access control systems) to collectively allow unescorted physical access into Physical Security Perimeters to only those individuals who have authorized unescorted physical access. | An example of evidence may include, but is not limited to, language in the physical security plan that describes the Physical Security Perimeters and how unescorted physical access is controlled by two or more different methods and proof that unescorted physical access is restricted to only authorized individuals, such as a list of authorized individuals accompanied by access logs. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.3

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans that utilize two or more different physical access controls (this does not require two completely independent physical access control systems) to collectively allow unescorted physical access into Physical Security Perimeters to only those individuals who have authorized unescorted physical access, where technically feasible. |
|  | Verify that each Physical Security Perimeter has at least two physical access control. |
|  | Verify that only those individuals with authorized unescorted physical access are allowed authorized unescorted physical access into each applicable Physical Security Perimeter. |
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| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.4 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA   Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Monitor for unauthorized access through a physical access point into a Physical Security Perimeter. | An example of evidence may include, but is not limited to, documentation of controls that monitor for unauthorized access through a physical access point into a Physical Security Perimeter. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.4

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans to monitor for unauthorized access through a physical access point into a Physical Security Perimeter. |
|  | Verify that the Responsible Entity monitors for unauthorized access through a physical access point into a Physical Security Perimeter. |

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.5 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA   Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Issue an alarm or alert in response to detected unauthorized access through a physical access point into a Physical Security Perimeter to the personnel identified in the BES Cyber Security Incident response plan within 15 minutes of detection. | An example of evidence may include, but is not limited to, language in the physical security plan that describes the issuance of an alarm or alert in response to unauthorized access through a physical access control into a Physical Security Perimeter and additional evidence that the alarm or alert was issued and communicated as identified in the BES Cyber Security Incident Response Plan, such as manual or electronic alarm or alert logs, cell phone or pager logs, or other evidence that documents that the alarm or alert was generated and communicated. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.5

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans to issue an alarm or alert in response to detected unauthorized access through a physical access point into a Physical Security Perimeter to the personnel identified in the BES Cyber Security Incident response plan within 15 minutes of detection. |
|  | Verify that an alarm or alert is issued in response to detected unauthorized access through a physical access point into a Physical Security Perimeter to the personnel identified in the BES Cyber Security Incident response plan within 15 minutes of detection. |

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.6 | Physical Access Control Systems (PACS) associated with:   * High Impact BES Cyber Systems, or * Medium Impact BES Cyber Systems with External Routable Connectivity | Monitor each Physical Access Control System for unauthorized physical access to a Physical Access Control System. | An example of evidence may include, but is not limited to, documentation of controls that monitor for unauthorized physical access to a PACS. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.6

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans to monitor each Physical Access Control System for unauthorized physical access to a Physical Access Control System. |
|  | Verify that each Physical Access Control System is monitored for unauthorized physical access to a Physical Access Control System. |

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.7 | Physical Access Control Systems (PACS) associated with:   * High Impact BES Cyber Systems, or * Medium Impact BES Cyber Systems with External Routable Connectivity | Issue an alarm or alert in response to detected unauthorized physical access to a Physical Access Control System to the personnel identified in the BES Cyber Security Incident response plan within 15 minutes of the detection. | An example of evidence may include, but is not limited to, language in the physical security plan that describes the issuance of an alarm or alert in response to unauthorized physical access to Physical Access Control Systems and additional evidence that the alarm or alerts was issued and communicated as identified in the BES Cyber Security Incident Response Plan, such as alarm or alert logs, cell phone or pager logs, or other evidence that the alarm or alert was generated and communicated. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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 Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.7

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans to issue an alarm or alert in response to detected unauthorized physical access to a Physical Access Control System to the personnel identified in the BES Cyber Security Incident response plan within 15 minutes of the detection. |
|  | Verify that an alarm or alert is issued in response to detected unauthorized physical access to a Physical Access Control System to the personnel identified in the BES Cyber Security Incident response plan within 15 minutes of detection. |

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.8 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA   Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Log (through automated means or by personnel who control entry) entry of each individual with authorized unescorted physical access into each Physical Security Perimeter, with information to identify the individual and date and time of entry. | An example of evidence may include, but is not limited to, language in the physical security plan that describes logging and recording of physical entry into each Physical Security Perimeter and additional evidence to demonstrate that this logging has been implemented, such as logs of physical access into Physical Security Perimeters that show the individual and the date and time of entry into Physical Security Perimeter. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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 Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.8

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans to log (through automated means or by personnel who control entry) entry of each individual with authorized unescorted physical access into each Physical Security Perimeter, with information to identify the individual and date and time of entry. |
|  | Verify that logs of entry of each individual with authorized unescorted physical access into each Physical Security Perimeter, contains information to identify the individual and date and time of entry. |

| **CIP-006-5 Table R1 – Physical Security Plan** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 1.9 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA   Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Retain physical access logs of entry of individuals with authorized unescorted physical access into each Physical Security Perimeter for at least ninety calendar days. | An example of evidence may include, but is not limited to, dated documentation such as logs of physical access into Physical Security Perimeters that show the date and time of entry into Physical Security Perimeter. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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 Monitor Administrator):

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Compliance Assessment Approach Specific to Part 1.9

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more physical security plans to retain physical access logs of entry of individuals with authorized unescorted physical access into each Physical Security Perimeter for at least ninety calendar days. |
|  | Verify that physical access logs of entry of individuals with authorized unescorted physical access into each Physical Security Perimeter are retained for at least ninety calendar days. |

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**[Compliance Summary:](#R1)**

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| Finding Summary:  Primary Documents Supporting Findings: |

**Auditor Notes:**

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R2 Supporting Evidence and Documentation

**R2.** Each Responsible Entity shall implement, in a manner that identifies, assesses, and corrects deficiencies, one or more documented visitor control programs that include each of the applicable requirement parts in *CIP-006-5 Table R2 – Visitor Control Program. [Violation Risk Factor: Medium] [Time Horizon: Same Day Operations.]*

**M2.** Evidence must include one or more documented visitor control programs that collectively include each of the applicable requirement parts in *CIP-006-5 Table R2 – Visitor Control Program* and additional evidence to demonstrate implementation as described in the Measures column of the table.

| **CIP-006-5 Table R2 – Visitor Control Program** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 2.1 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA   Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Require continuous escorted access of visitors (individuals who are provided access but are not authorized for unescorted physical access) within each Physical Security Perimeter, except during CIP Exceptional Circumstances. | An example of evidence may include, but is not limited to, language in a visitor control program that requires continuous escorted access of visitors within Physical Security Perimeters and additional evidence to demonstrate that the process was implemented, such as visitor logs. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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 Monitor Administrator):

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Compliance Assessment Approach Specific to Part 2.1

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more visitor control programs to require continuous escorted access of visitors (individuals who are provided access but are not authorized for unescorted physical access) within each Physical Security Perimeter, except during CIP Exceptional Circumstances. |
|  | Verify that the Responsible Entity has implemented a program for continuous escort of individuals who are provided access but are not authorized for unescorted physical access within each Physical Security Perimeter, except during CIP Exceptional Circumstances. |
|  | If the Responsible Entity has experienced an exception for CIP Exceptional Circumstances, verify the Responsible Entity has adhered to any applicable cyber security policies. |
| **Note to Auditor:**  The Responsible Entity may reference a separate set of documents to demonstrate its response to any requirements impacted by CIP Exceptional Circumstances. | |

| **CIP-006-5 Table R2 – Visitor Control Program** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 2.2 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA   Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Require manual or automated logging of visitor entry into and exit from the Physical Security Perimeter that includes date and time of the initial entry and last exit, the visitor’s name, and the name of an individual point of contact responsible for the visitor, except during CIP Exceptional Circumstances. | An example of evidence may include, but is not limited to, language in a visitor control program that requires continuous escorted access of visitors within Physical Security Perimeters and additional evidence to demonstrate that the process was implemented, such as dated visitor logs that include the required information. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Monitor Administrator):

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Compliance Assessment Approach Specific to Part 2.2

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more visitor control programs to require manual or automated logging of visitor entry into and exit from the Physical Security Perimeter that includes date and time of the initial entry and last exit, the visitor’s name, and the name of an individual point of contact responsible for the visitor, except during CIP Exceptional Circumstances. |
|  | Verify that the Responsible Entity performs manual or automated logging of visitor entry into and exit from the Physical Security Perimeter that includes date and time of the initial entry and last exit, the visitor’s name, and the name of an individual point of contact responsible for the visitor, except during CIP Exceptional Circumstances. |
|  | If the Responsible Entity has experienced an exception for CIP Exceptional Circumstances, verify the Responsible Entity has adhered to any applicable cyber security policies. |
| **Note to Auditor:**  The Responsible Entity may reference a separate set of documents to demonstrate its response to any requirements impacted by CIP Exceptional Circumstances. | |

| **CIP-006-5 Table R2 – Visitor Control Program** | | | |
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| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 2.3 | High Impact BES Cyber Systems and their associated:   1. EACMS; and 2. PCA   Medium Impact BES Cyber Systems with External Routable Connectivity and their associated:   1. EACMS; and 2. PCA | Retain visitor logs for at least ninety calendar days. | An example of evidence may include, but is not limited to, documentation showing logs have been retained for at least ninety calendar days. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

Registered Entity Evidence (Required):

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Monitor Administrator):

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Compliance Assessment Approach Specific to Part 2.3

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more visitor control programs to retain visitor logs for at least ninety calendar days. |
|  | Verify that visitor logs are retained for at least 90 calendar days. |

**[Compliance Summary:](#R2)**

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| Finding Summary:  Primary Documents Supporting Findings: |

**Auditor Notes:**

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R3 Supporting Evidence and Documentation

**R3.** Each Responsible Entity shall implement one or more documented Physical Access Control System maintenance and testing programs that collectively include each of the applicable requirement parts in *CIP-006-5 Table R3 – Maintenance and Testing Program*. *[Violation Risk Factor: Medium] [Time Horizon: Long Term Planning].*

**M3.** Evidence must include each of the documented Physical Access Control System maintenance and testing programs that collectively include each of the applicable requirement parts in *CIP-006-5 Table R3 – Maintenance and Testing Program* and additional evidence to demonstrate implementation as described in the Measures column of the table.

| **CIP-006-5 Table R3 – Physical Access Control System Maintenance and Testing Program** | | | |
| --- | --- | --- | --- |
| **Part** | **Applicable Systems** | **Requirements** | **Measures** |
| 3.1 | Physical Access Control Systems (PACS) associated with:   * High Impact BES Cyber Systems, or * Medium Impact BES Cyber Systems with External Routable Connectivity   Locally mounted hardware or devices at the Physical Security Perimeter associated with:   * High Impact BES Cyber Systems, or * Medium Impact BES Cyber Systems with External Routable Connectivity | Maintenance and testing of each Physical Access Control System and locally mounted hardware or devices at the Physical Security Perimeter at least once every 24 calendar months to ensure they function properly. | An example of evidence may include, but is not limited to, a maintenance and testing program that provides for testing each Physical Access Control System and locally mounted hardware or devices associated with each applicable Physical Security Perimeter at least once every 24 calendar months and additional evidence to demonstrate that this testing was done, such as dated maintenance records, or other documentation showing testing and maintenance has been performed on each applicable device or system at least once every 24 calendar months. |

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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 Monitor Administrator):

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Compliance Assessment Approach Specific to Part 3.1

***This section to be completed by the Compliance Monitor Administrator***

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|  | Verify the Responsible Entity has documented one or more Physical Access Control System maintenance and testing programs for maintenance and testing of each Physical Access Control System and locally mounted hardware or devices at the Physical Security Perimeter at least once every 24 calendar months to ensure they function properly. |
|  | Verify that maintenance and testing of each Physical Access Control System and locally mounted hardware or devices at the Physical Security Perimeter is conducted at least once every 24 calendar months to ensure they function properly. |

**[Compliance Summary:](#R3)**

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| Finding Summary:  Primary Documents Supporting Findings: |

**Auditor Notes:**

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**Revision History for RSAW**

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| --- | --- | --- |
| **Date** | **Reviewer(s)** | **Revision Description** |
| 3/4/2016 | Jennifer Salisbury, WECC  Julie Blair, WECC  WECC CIP SME | Intial version |
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