

CIP Evidence Request Tool Tips and Reminders

The CIP Evidence Request Tool (ERT) is the ERO-wide format for Requests for Information. Its intent is to increase consistency and transparency while providing an understanding of the evidence CIP audits require.

Getting Started

RF will send a CIP audit notification package that includes a spreadsheet named “*entityacronym*- Attachment C - [CIP Evidence Request Tool v4](#)” and a [User’s Guide](#) for completing the spreadsheet. Both of these are available on the [CIP page](#) of RF’s website under CIP Documents.

Population Tabs

The first step when you receive a 90-Day Notification is to fill out the green population tabs. You have 10 business days to complete the spreadsheet and return it to the RF Audit Team so they can select samples and return the selections to you within 10 business days.

Some common issues we have seen include:

- Missing or inaccurate data in various fields
- Data input into the wrong fields
- Copy and paste errors
- Excluding BES Cyber Assets or personnel (staff, contractor, etc.) from populations

Please be diligent in completing population tabs! If your ERT population submittal is inaccurate or you add information after the sample set is selected the audit team will need to re-evaluate the samples and potentially add missing devices and/or personnel. This is not only time-intensive, but can raise concerns about the adequacy of your internal controls.

Level 1 and Level 2 Evidence

These additional tabs within the ERT spreadsheet and the related evidence are due to the audit team 30 business days prior to an on-site audit. Keep in mind while completing these that the audit team does not know your evidence as well as you do.

- Provide an overview or narrative for any evidence artifacts that may not be self-explanatory
- Submit actual spreadsheets where applicable. For example, if you use a spreadsheet for patch management on CIP-007 R2 or to determine BES Assets for CIP-002, submit those spreadsheets instead of a PDF version.

Level 1 consists mostly of requests for policies, programs, processes and procedures.

- Compile the evidence by Standard and submit it along with the RSAWs as a bookmarked PDF package.
 - Either bookmark the evidence with the Level 1 Request ID, or indicate the Level 1 Request ID within the RSAW.
 - Do not duplicate the evidence. We have seen evidence submitted in the RSAW PDF packages and the same evidence duplicated in individual PDF files.

Level 2 is for evidence of implementation based on the sample selections.

- Submit each Level 2 Request ID as a separate PDF and/or ZIP folder
- Use the Request ID as the name of the file/folder.

Have Questions?

Do not hesitate to contact the Compliance Monitoring CIP Team! We are happy to answer ERT-related questions. Please visit the RF [Contact Us](#) page and choose Compliance from the dropdown list of Areas.