



NERC Compliance Management Software Solution for CIP & 693

SigmaFlow Compliance Manager (CM) is a real-time, evidentiary NERC compliance management software solution solving the challenges of CIP & 693 Compliance unmet by traditional GRC approaches.

The CM solution manages all documents, data, and work activities while automatically collecting and building the evidence for NERC compliance in a real-time repository. The NERC CIP solution collects and manages compliance evidence through data management, document management, tasks, and procedures for NERC CIP-002 through CIP-000.

The NERC 693 solution collects and manages evidence through document management and internal controls that simplify, organize, and execute the many task workflows required by the 693 Reliability standards.

These solutions are configured on the same compliance platform, providing comprehensive compliance evidence collection, management and reporting that simplifies NERC Compliance while building the real-time evidence that demonstrates NERC CIP and NERC 693 compliance.

NERC CIP Version 5/6 Functionality

At SigmaFlow, we understand the CIP v5/6 Challenge – complying with the new standards will require a tremendous amount of planning and work, both for utilities coming under CIP regulations for the first time and for utilities transitioning from Version 3. As an industry software vendor, we've taken steps to reduce the burden on electric utilities through an automated CIP v5/6 compliance solution that simplifies much of the work required to comply with the new standards.

SigmaFlow's CIP v5/6 functionality includes:

- **Classification Management** (Sites, Systems, Cyber Assets)
- **Identity Access Management**
- **Configuration Management**
- **Baseline Management**
- **Automated Evidence Generation**

Built on a Framework for Reliability Assurance

The NERC RAI (Reliability Assurance Initiative) is a top priority for Utilities. The **SigmaFlow Closed-Loop Controls Framework™** is the out-of-the-box solution to RAI that ensures reliability with built-in validation and feedback loops that detect compliance gaps and issues as they happen. The Framework includes controls for:

- Audit and RSAW Readiness / Production
- Security Controls, Access Rights, Change Management, Ports and Services, and Patches
- Cyber Security Training and PRAs (Personnel Risk Assessments)
- Information Protection, Compliance Events, Document Reviews, and Compliance Assurance

A Solution Driven by Compliance Outputs

The outputs of Compliance Manager are key solution value drivers. The solution comes preconfigured with NERC CIP data-driven evidence reports, oversight and issue management dashboards for CIP and 693, and RSAW/Audit package generation for CIP and 693. Compliance Manager includes:

- NERC CIP Evidence Reports
- Preconfigured Oversight and Issue Mgmt Dashboards – CIP and 693
- Automated RSAW and Audit Package Generation – CIP and 693

Automated RSAW and Evidence Package Generation

Compliance Manager eliminates the **root causes** of resource (time) consumption, errors, and oversight issues by automatically producing RSAW and Audit Packages with the click of a button.

With Compliance Manager, as each person performs their work the solution builds the many “pieces” of each compliance package and generates them automatically – on demand. With Compliance Manager:

- No time is spent on figuring out what RSAW data needs collecting
- Supporting evidence is automatically linked in the RSAW Module
- RSAW forms are automatically generated
- Copies of Evidence Documents are automatically produced



NERC CIP Data-Driven Evidence Management

Managing the complex data relationships behind NERC CIP compliance reporting is the most challenging aspect of NERC CIP compliance. The CM solution transforms traditional data-driven evidence management into a streamlined and efficient real-time compliance program with the benefits of:

- No Data Collection needed (work is in the system)
- No Report Production (reports are “out-of-the-box ready”)
- No Data Relationships to Manage (designed into CM)

Managing Documents for Compliance Readiness

Documents in NERC Compliance for CIP and 693 include the policies, procedures, plans, diagrams, screenshots, attestations, lists, and other document types that are part of the overall evidence requirements of NERC CIP and 693. These documents can be difficult to collect and track properly. There is also important metadata that must be collected and managed with each document. It

is easy to make mistakes and lose visibility over the attributes and status of each compliance document. Compliance Manager solves these challenges with:

- Elimination of Document Copies
- Built-in document metadata collection
- Built-in association metadata collection
- Automatic document/ metadata aggregation

Task and Procedure Management

Work – much of which is time-sensitive – must be performed to keep things organized, properly scheduled and on track. CM achieves this with task and procedure management that organizes work, schedules it properly, collects necessary compliance data, enforces compliance policies, and provides oversight visibility. Examples of CM Task Management benefits include:

- **Control work** with Internal Controls that schedule Tasks and manage Task Dependencies (workflow)
- **Retain awareness of Task status** via dashboards, reports, and notifications
- **Enforce Policies** with best practice compliance processes like Cyber Asset Change Management, Patch Tickets, and Access Rights Requests

With guiding text, instructions, and references built-in to the solution, operations staff know what is expected of them. Embedded process information imparts knowledge into the compliance solution that empowers operations staff to understand each compliance activity they must perform, helping to build a culture of compliance.

Fast-Track to Production Service

Compliance Manager includes fast-track services that ensure full production benefits are realized in the shortest time possible. Fast-Track services include:

- **Objectives and Outcomes (Charter)**
- **Configuration Review and Deployment Plan**
- **Setup, Test and Go Live**
- **Post-Implementation Review and Assessment**

Managed Content Update Service

NERC standards hierarchies, versions, and RSAW templates are included in the NERC Compliance Management solution. Updates are provided as standards change and new versions become enforceable. Content with updates includes:

- **NERC standard hierarchies** for all NERC Standards (CIP and 693)
- **RSAW templates** for automated RSAW generation for all NERC Standards (CIP and 693)
- **CIP and 693 Evidence generation reports and procedures**

Managed Content Benefits

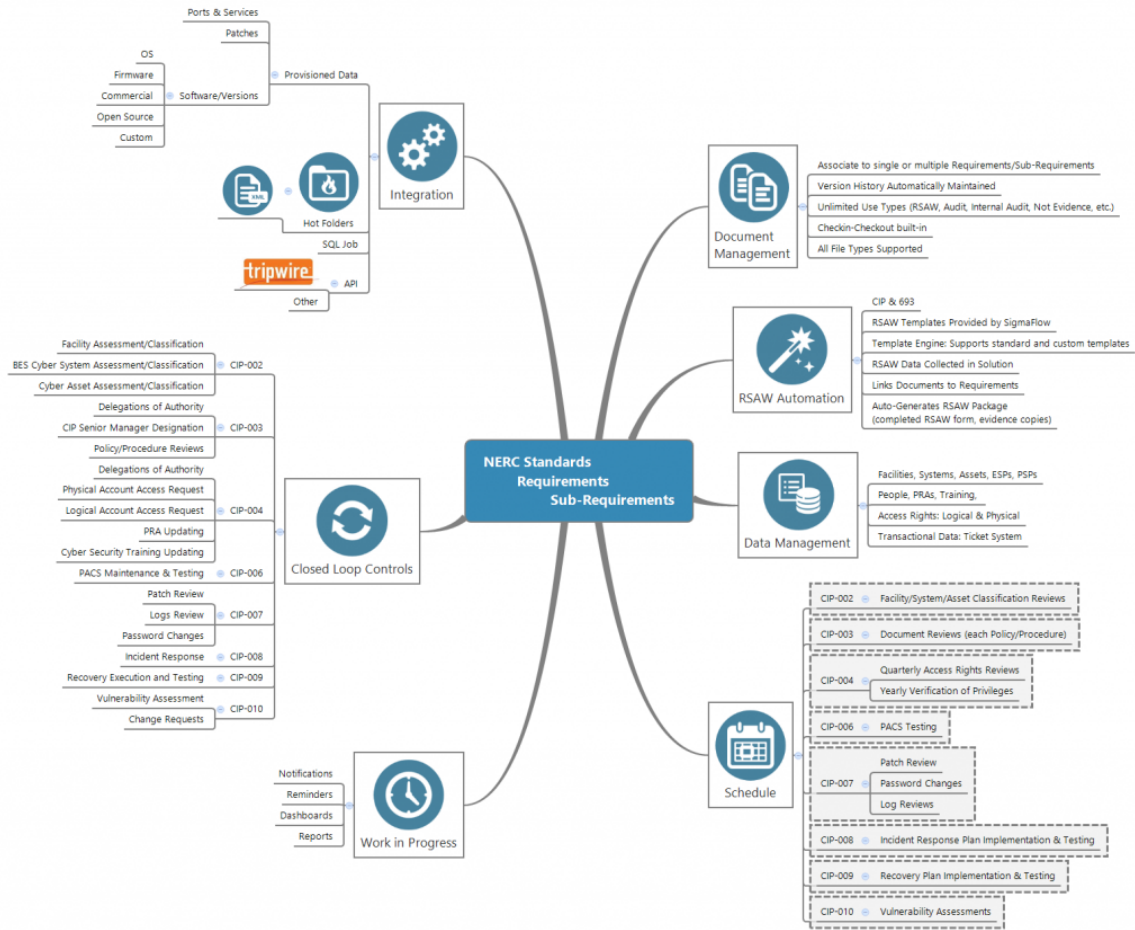
- Administration is reduced and deployment is fast tracked
- The NERC Compliance practice is kept up to date with support for multiple standard versions
- Ongoing state of compliance is maintained with up-to-date standards and RSAW templates

Sophisticated CIP Data Model

CM achieves these benefits with a preconfigured NERC CIP Compliance data model that:

- Collects evidentiary compliance data
- Manages all relationships between data Libraries
- Produces data-driven evidence reports (over 30) in real-time

With SigmaFlow's NERC Compliance Management Solution, CIP compliance data is always maintained and properly related to produce the evidence reports required by NERC CIP – an issue that is particularly challenging when this data resides in multiple spreadsheets and point solutions.



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