

# **ASSURX ENTERPRISE ENERGY COMPLIANCE SYSTEM (ECOS)**

**A configurable, process-driven system for secure compliance management.**

**Manage NERC and regional compliance standards with risk-driven internal controls and workflows.**



**ASSURX ECOS** is a system of integrated solutions that enable energy companies to meet compliance requirements for NERC and Regional Standards, NERC CIP, and other federal and state regulations. ECOS creates an ecosystem of integrated processes that build a mature, resilient model for evidence management, assessments, issue management and mitigation. Automate unlimited processes with risk-focused internal controls that drive compliance, reliability, and efficient functioning of the enterprise.

AssurX ECOS helps manage operations, identify risk, and demonstrate compliance across all critical operations through automated workflow processes that connect compliance and risk data. AssurX ECOS easily scales to securely manage compliance for a single department or across multi-entity organizations.

## **FLEXIBLE AND EFFICIENT**

AssurX was built to be user-configurable, does not affect the source code, and is always forward compatible. This user configurability provides AssurX customers with the flexibility required to adapt over time as business requirements change.

Entirely new processes may be configured within AssurX affording a home to processes that have become difficult to support due to platform retirements, legacy technology which may be difficult to make current, or their authors moving to new places within the organization leaving the process with no one left to support it.

## **INCREASE VISIBILITY AND CONTROL**

Dashboards, status reports, alerts, notifications, and escalations keep teams and management aware of late tasks and review requests, and documents regulatory submissions. Tasks may be assigned to SMEs to perform an activity or collect a piece of evidence, specifying if approvals are necessary. If an issue is detected, corrective actions can be assigned and followed to closure, with inherent



linkages to the task that the issue was initiated from and the linked Standards & Requirements. Monitor progress and see status details instantly with management dashboards and keep tasks on schedule with automated notification and escalation integrated with email.

## **MAINTAIN COMPLIANCE READINESS**

AssurX is built with features and functionality designed to enable audit-ready compliance. Electronic signatures, records management, and access restrictions protect the integrity of compliance data.



## **WHY AUTOMATE YOUR COMPLIANCE MANAGEMENT SYSTEM**

- ❖ Use AssurX's out-of-the-box, pre-configured processes or configure your own for unique or complex applications.
- ❖ Reduce risk with greater control of priorities, deadlines, documentation and certification with rules-driven workflows.
- ❖ Maintain audit-ready data for more efficient internal and external audits.
- ❖ Single-click RSAW generation and evidence download.
- ❖ Make informed decisions based on measurable risks and evidence.
- ❖ Integrate all processes into a connected ecosystem for full traceability.
- ❖ Simplify complex processes and close gaps to minimize future compliance risk.

# ONE PLATFORM FOR COMPLIANCE



AssurX ECOS is uniquely designed with a high level of configurability and an unmatched ease of deployment. Build integrated, precision compliance systems that rapidly adapt to change.

## NERC RELIABILITY COMPLIANCE

Automatically coordinate, track, and assess activities to ensure compliance, maintain reliability, and meet stringent NERC and Regional standards. Tasks are assigned, monitored, and documented in a central repository. Evidence, compliance narrative, and applicable policies and procedures are linked to each requirement. Get instant, detailed understanding of compliance status and identify and manage risks at-a-glance with graphical management dashboards.

## NERC RELIABILITY STANDARDS UPDATE SERVICE

The AssurX service monitors the NERC website for new or revised reliability standards, then parses the information, including PDFs and RSAWs, into AssurX-ready format so your system can be brought up to date in minutes. Automatically import NERC Standard, Requirement, Measure and Compliance Level data, Standard PDFs and RSAWs.

## EVIDENCE MANAGEMENT

Evidence of Compliance comes in many formats, is acquired in many ways, changes over time, and is the responsibility of many people in the organization. AssurX ECOS assigns tasks, gathers evidence into a central repository, associates it to the applicable regulatory requirement(s), and allows you to find it when you need it. The software sends notification as tasks are due, alerts supervisors of late tasks and review requests, and documents regulatory submissions.

## COMPLIANCE WORKFLOW AND RSAWs

AssurX simplifies complicated activities such as audits, self-certifications, and internal compliance assessments. Template-driven workflows are used to guide the activity from start to finish, assign tasks

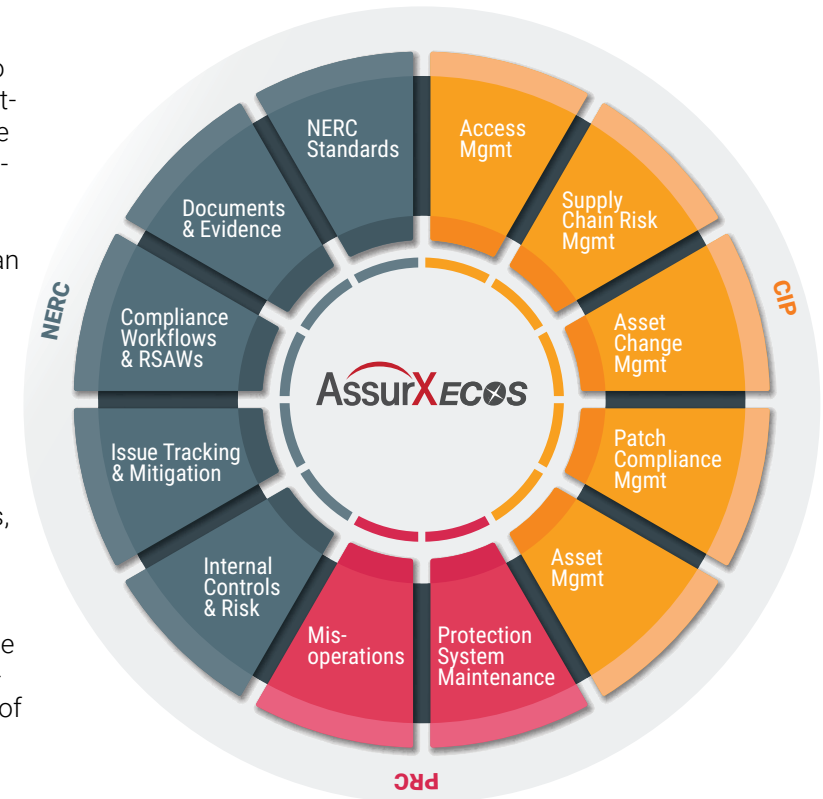
to individuals by role, and allocate due dates for each phase of the workflow to ensure that the entire activity is completed on time. Significantly reduce the time invested in completing RSAW documentation using AssurX's automated RSAW feature with auto-population of RSAW template and single-click download of an evidence package for a standard using the reviewed/approved content.

## ISSUE TRACKING AND MITIGATION

Compliance issues are documented, investigated, and supporting evidence gathered. Self-Reports, Mitigation Plans, and Milestones go through an internal collaboration and approval process before submitting to the Region, then tracked and managed to ensure that due dates are met, with the appropriate narratives and evidence vetted in advance of the due date.

## INTERNAL CONTROLS AND RISK

A risk-based compliance management program can result in a more reliable, efficient system. AssurX ECOS supports a risk model to quantify inherent risk through Risk Assessments for NERC Requirements, identifying one or more controls to reduce the risk, evaluating the effectiveness of the controls, and seeing the calculated residual risk. Risk ranking is then used to prioritize efforts. As with all AssurX solutions, it is configurable to meet the dynamic needs of our customers.



## PROTECTION SYSTEM MAINTENANCE

Provides a single hub for NERC PRC standards compliance by gathering data related to physical devices and assets affecting the BES—such as work orders, maintenance activities, test results, and supporting evidentiary documentation—from across the organization and delivering real-time status of compliance. Dashboards visually indicate the state of PRC compliance status for all devices and assets across the utility. Simultaneously, automated alerts and notifications to supervisors expose trends towards non-compliance well before it occurs.

## ASSET MANAGEMENT

Stay organized with AssurX's Asset Management tools. Harmonize IT and OT asset data from varying sources (integration, data import, manual entry) for convenient reporting on BES Assets, Cyber Assets, BES Cyber Systems, Electronic Security Perimeters, Physical Security Perimeters, Transient Cyber Assets, Removable Media, BCSI Designated Storage Locations, and more. Maintain approved asset baseline, including information on software, firmware, patches, and open ports.



## ACCESS MANAGEMENT

Manage Access Change Requests to grant, modify, or revoke user access to one or more electronic systems, physical systems, BCSI DSLs, or shared accounts. Monitor user personnel risk assessment and CIP training dates or integrate with the AssurX Training Management solution to provide CIP training.

Change requests include justification for access and necessary approvals. Track access provisioning tasks through completion. Results in a comprehensive revision history of all access records and generate access reports and metrics for managers and compliance purposes.

## PATCH COMPLIANCE MANAGEMENT

Stay on top of cyber security efforts. For each patch cycle or as needed, assign patch source review tasks for known software/firmware or seamlessly integrate with a patch discovery service. Document the evaluation and approval of applicable security patches. Create and monitor mitigation plans for patches that cannot be installed within the required timeframe. Initiate Asset Change Management process to install the approved patch. Dashboards provide up-to-date status, access to relevant data, show compliance, and more, to ensure nothing is overlooked.

## ASSET CHANGE MANAGEMENT

Manage asset change activities in accordance with NERC CIP requirements, with workflows aligned by asset type, impact rating, and type of change. Document the justification, approval, security controls, testing, implementation, and validation of asset changes including baseline configuration changes, onboarding assets, and retiring assets. Link one or more assets to the workflow for maximum efficiency. When used to install security patches, the record is linked to the patch information as well.

## SUPPLY CHAIN RISK MANAGEMENT

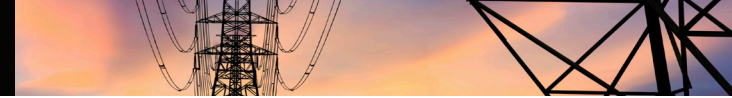
Track vendors and their products and services that affect the reliability of the Bulk Electric System. Log agreements, communication, incidents and any other related documentation.

## CIP EVIDENCE REQUEST REPORTS

Compliance reporting has never been easier with AssurX's reporting capabilities. AssurX ECOS automates and centralizes CIP data collection, neatly cataloging and cross-referencing the data to supply to regulators and auditors whenever requested. Populating the NERC CIP Evidence Request Tool (ERT) first- and second-level data requests becomes a quick, painless process.

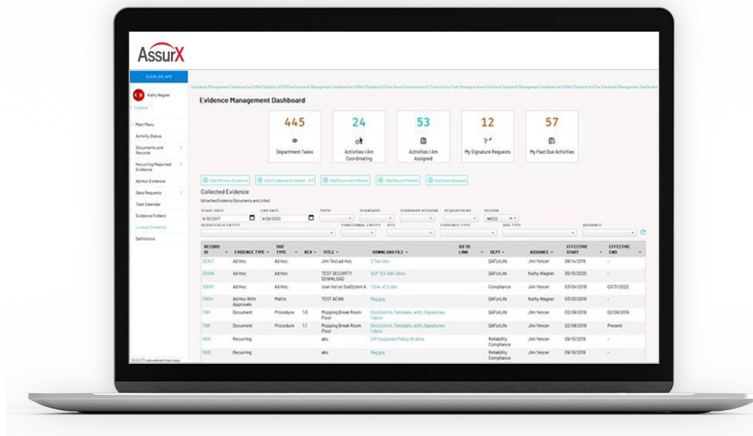
*Cyber security is an important and challenging undertaking in today's world, with constantly evolving technology, security measures, and cyber criminals. NERC's cyber security standards are based on the NIST cyber security framework, and become a first-line defense against cyber attack.*





## ASSURX ECOS FEATURES

- ❖ Point-and-click administration (forms design, signatures, escalation rules, etc.) eliminates the need for re-validation as the system is enhanced.
- ❖ Flexible and all-inclusive handling of unlimited number of processes/forms as needed without the purchase of additional modules or databases.
- ❖ Integrate with additional AssurX modules to seamlessly manage audits, document control, change control and training from one system.
- ❖ Integrates with any external system – ERP, MES, SCM, Asset Management, internally developed databases, and others.
- ❖ Works with any reporting tools – SAP Crystal Reports, IBM Cognos, Microsoft BI, etc.
- ❖ Sophisticated access restrictions including both record level and field level and can be based on groups, departments, personalities and/or employees.
- ❖ Complete audit trail of all interaction with the system.
- ❖ Launch action plans from any point in any process.
- ❖ Import any data from spreadsheets or delimited files. Export tabular displays to CSV and archive/purge records as-needed.





# COMMITTED TO YOUR SUCCESS

## ASSURX PROFESSIONAL SERVICES

AssurX provides expert technical and program management oversight for customer deployments around the globe. Our primary goal is to maximize business value for our customers by creating smooth technology transfers and accelerated implementations.

*Services include:*

- ❖ Configuration and process development services
- ❖ Integration services (ERP, CRM, etc.)
- ❖ Data migration services using AssurX import technology
- ❖ Validation services

## ASSURX TRAINING

AssurX offers a full range of training programs including regularly scheduled classroom courses, on-site, online, and custom training programs. AssurX's training programs are flexible and designed to make customers self-sufficient in managing, using, and expanding the use of AssurX software.



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