

**THE NEW YORK INDEPENDENT SYSTEM OPERATOR, INC.
MARKET PARTICIPANT AUDIT ADVISORY SUBCOMMITTEE MEETING**

**Wednesday, September 28, 2022
10:00 AM to 1:30 PM**

**NYISO, 10 Krey Boulevard, Rensselaer, NY, St Lawrence Room/Teams
Minutes**

Member/Attendance List

Name	Company Representing	Sector	Voting Member	Non-Voting Member
Members				
Vivian Fu, Chair	National Grid	Transmission Owner	X	
Felicia Avery, Vice-Chair	Central Hudson	Transmission Owner	X	
Rich DeJong	Avangrid Networks	Transmission Owner	X	
Angela Gonzalez	NYPA	Public Power	X	
Stephanie Shen	Con Edison	Transmission Owner	X	
Juliann Madara	NYISO	NYISO		X
Visitors				
Michael Cardarelli	Avangrid Networks	Transmission Owner		X
Kenneth Lerman	NYPA	Public Power		X
Randy Browne	NYISO	n/a		
Greg Marcincuk	NYISO	n/a		
Bill Porter	NYISO	n/a		
Alex Rusate	NYISO	n/a		

1. Introductions

The Subcommittee members and visitors introduced themselves.

2. SOC 1 Update

KPMG, NYISO's external auditor, provided an overview of the SOC1 process and gave an update on the 2022 SOC 1 audit.

3. Approval of minutes from the prior meeting

The minutes from the June 15, 2022, MPAAS meeting were approved with no changes.

4. Open action items

None

5. NYISO Senior Management changes

There were none since the last MPAAS meeting in June 2022.

6. Audit briefings for completed audits

NYISO Internal Audit staff provided updates on the audit work completed since the prior MPAAS meeting:

- Patch Management: Databases and Network Devices
- Operations Analysis & Services: Market-to-Market Coordination
- Comprehensive Reliability Plan: Transmission Security Margins
- Procurement
- Continuous Auditing:
 - Search for Unauthorized Expenditures
 - System Access for Transferred Employees
 - Supplier Validation
 - Conflict of Interest Survey
 - Annual Code of Conduct Training
 - Completeness of NERC CIP Assets Monitored by Tripwire
 - Completeness of SOC1 Applications & Databases Monitored by Tripwire
 - Search for Split Payments
 - Software Testing Documentation
 - Employee Background Checks
 - Completeness of NERC CIP and SOC 1 Assets Backed up by NetBackup
- Consulting:
 - Backup Appliance Refresh - SOC 1 Impacts
 - Concur Travel Implementation
 - Installed Capacity Deficiency Monitoring

7. Other business / Open discussion

The Subcommittee held an open discussion on items of general interest:

- Vivian Fu, Internal Audit Director, National Grid, outlined some of their recent and future audits.
- Alex Rusate, NYISO Internal Audit, led a discussion on “The Great Resignation” and the impact, if any, on the operating effectiveness of controls at the members’ organizations.
- The Subcommittee members received a tour of the NYISO’s Control Room.

8. Adjournment

The meeting was adjourned at 1:30 PM.

MPAAS Schedule for 2022

- ~~March 23, 2022~~
- ~~June 15, 2022~~
- ~~September 28, 2022~~
- December 14, 2022