

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

**Wednesday, September 28, 2022
10:00 AM to 2:00 PM**

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

Agenda

1. Introductions (*Chair – Vivian Fu*)
 2. SOC 1 Update (*KPMG and NYISO-Randy Browne*)
 3. Approval of minutes from the prior meeting (*Chair – Vivian Fu*)
 4. Open action items (*Chair – Vivian Fu*)
 - None
 5. NYISO Senior Management changes (*NYISO – Bill Porter*)
 6. Audit briefings for completed audits (*NYISO staff*)
 - Patch Management: Databases and Network Devices (*Greg Marcincuk*)
 - Operations Analysis & Services: Market-to-Market Coordination (*Alex Rusate*)
 - Comprehensive Reliability Plan: Transmission Security Margins (*Bill Porter*)
 - Procurement (*Randy Browne*)
 - Continuous Auditing:
 - Search for Unauthorized Expenditures (*Alex Rusate*)
 - System Access for Transferred Employees (*Alex Rusate*)
 - Supplier Validation (*Alex Rusate*)
 - Conflict of Interest Survey (*Randy Browne*)
 - Annual Code of Conduct Training (*Randy Browne*)
 - Completeness of NERC CIP Assets Monitored by Tripwire (*Randy Browne*)
 - Completeness of SOC1 Applications & Databases Monitored by Tripwire (*Randy Browne*)
 - Search for Split Payments (*Randy Browne*)
 - Software Testing Documentation (*Bill Porter*)
 - Employee Background Checks (*Bill Porter*)
 - Completeness of NERC CIP and SOC 1 Assets Backed up by NetBackup (*Greg Marcincuk*)
 - Consulting:
 - Backup Appliance Refresh - SOC 1 Impacts (*Greg Marcincuk*)
 - Concur Travel Implementation (*Greg Marcincuk*)
 - Installed Capacity Deficiency Monitoring (*Greg Marcincuk*)
 7. Other business / Open discussion (*Chair – Vivian Fu*)
 - National Grid's Audit Plan (*National Grid—Vivian Fu*)
 - Audit Findings Trends: The “Great Resignation” and the impact on the operating effectiveness of controls at your organization, and have you seen an increase in audit findings? (*NYISO -- Alex Rusate*)
- Lunch in St. Lawrence Conference Room--*
8. Tour of the Control Room from the gallery – 12:30PM (*NYISO System Operator Training staff*)
 9. Adjourn (*Chair – Vivian Fu*)