

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

**Wednesday, March 29, 2023
9:00 AM to 10:30 AM**

Teams Meeting

Agenda

1. Introductions *(2022 Chair – Vivian Fu)*
2. Approval of minutes from the prior meeting *(2022 Chair – Vivian Fu)*
3. Open action items *(2022 Chair – Vivian Fu)*
 - Elections for 2023 MPAAS Chair and Vice Chair-deferred from Q4, 2022.
 - MPAAS Schedule for 2023-deferred from Q4, 2022 *(Bill Porter)*
4. SOC 1 Update – 12-Month SOC 1 Report *(Randy Browne)*
5. NYISO Senior Management changes *(Bill Porter)*
6. Audit briefings for completed audits *(NYISO staff)*
 - Laptop Security *(Greg Marcincuk)*
 - Credit Management System Vulnerability Assessment *(Greg Marcincuk)*
 - System Operator Training *(Bill Porter)*
 - Market Problem Reporting Procedure *(Alex Rusate)*
 - SOC 1 Controls Testing *(Alex Rusate)*
 - Outage Management System Implementation: SOC 1 Gap Period Testing *(Alex Rusate)*
 - Electronic Payment Processing *(Randy Browne)*
 - Continuous Auditing:
 - Search for Unauthorized Expenditures *(Alex Rusate)*
 - Search for Split Payments *(Randy Browne)*
 - Completeness of NERC CIP Assets Monitored by Tripwire *(Randy Browne)*
 - Completeness of SOC1 Applications & Databases Monitored by Tripwire *(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:
 - Comprehensive Mitigation Review Buyer-Side Mitigation Process Updates (MMA) *(Randy Browne)*
 - Distributed Energy Resources (DER)-Developing Internal Controls *(Randy Browne)*
 - Backup Appliance Refresh - SOC 1 Impacts *(Randy Browne)*
 - QRadar Monitoring of Assets Follow-up *(Greg Marcincuk)*
 - Center For Internet Security (CIS) Benchmarks *(Greg Marcincuk)*
 - Transmission Congestion Contract (TCC) Auction Process Controls *(Bill Porter)*
7. Other business / Open discussion *(2022 Chair – Vivian Fu)*
 - Other *(Open Discussion with all MPAAS Members)*
8. Adjourn *(2022 Chair – Vivian Fu)*