

**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
Minutes**

Member/Attendance List

Name	Company Representing	Sector	Voting Member	Non-Voting Member
<i>Members</i>				
Vivian Fu, Chair	National Grid	Transmission Owner	X	
Felicia Avery, Vice-Chair	Central Hudson	Transmission Owner	X	
Michael Cardarelli	Avangrid Networks	Transmission Owner	X	
Angela Gonzalez	NYPA	Public Power		
Stephanie Shen	Con Edison	Transmission Owner	X	
Juliann Madara	NYISO	NYISO		X
<i>Visitors</i>				
Randy Browne	NYISO	n/a		
Brian Gasparro	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. Approval of minutes from the prior meeting

The minutes from the December 14, 2022 MPAAS meeting were approved with no changes.

3. Open action items

- The Subcommittee elected the 2023 MPAAS Chair and Vice-chair:
 - Chair – Ms. Felicia Avery (Central Hudson)
 - Vice Chair – Mr. Michael Cardarelli (Avangrid)

- The Subcommittee agreed to the 2023 meeting schedule:
 - June 21, 2023
 - September 20, 2023
 - November 15, 2023

4. SOC 1 Update

Mr. Browne provided an update on the 2023 SOC 1 Audit.

5. NYISO Senior Management changes

Mr. Porter reported that Dr. Nicole Bouchez was named Senior Consumer Interest Liaison and Senior Principal Economist as of February 9, 2023.

6. Audit briefings for completed audits

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

- Laptop Security
- Credit Management System Vulnerability Assessment
- System Operator Training
- Market Problem Reporting Procedure
- SOC 1 Controls Testing
- Outage Management System Implementation: SOC 1 Gap Period Testing
- Electronic Payment Processing
- Continuous Auditing:
 - Search for Unauthorized Expenditures
 - Search for Split Payments
 - Completeness of NERC CIP Assets Monitored by Tripwire
 - Completeness of SOC1 Applications & Databases Monitored by Tripwire
 - Software Testing Documentation
 - Employee Background Checks
 - Completeness of NERC CIP and SOC 1 Assets Backed up by NetBackup
- Consulting:
 - Comprehensive Mitigation Review Buyer-Side Mitigation Process Updates
 - Distributed Energy Resources (DER) - Developing Internal Controls
 - Backup Appliance Refresh - SOC 1 Impacts
 - QRadar Monitoring of Assets Follow-up
 - Center For Internet Security (CIS) Benchmarks
 - Transmission Congestion Contract (TCC) Auction Process Controls

7. Other business / Open discussion

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

- Felicia Avery, Internal Audit Director, Central Hudson, discussed their audit plan for 2023.

8. Adjournment

The meeting was adjourned at 10:30 AM.

MPAAS Schedule for 2023

- ~~March 29, 2023~~
- June 21, 2023 (in-person)
- September 20, 2023
- November 15, 2023