

# ***California ISO Results of Agreed-Upon Procedures Code of Conduct***

*Presentation to the  
Board of Governors*

*February 16, 2012*

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# ***Results***

- Procedures are completed and report issued on January 31, 2012
- All planned procedures performed without exception
- Report describes limited independent testing and findings related to the ISO's internal processes regarding the code of conduct requirements for the following groups:
  - Employees
  - Substantially full-time contractors
  - Board of Governors

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## ***Scope***

- ISO tariff requires an independent review of the code of conduct compliance
- Scope of procedures has been expanded from the prior year to include additional procedures such as training requirements and conflict of interest disclosure forms
- Scope of procedures generally consisted of:
  - Obtaining listing of each constituent group
  - Comparing listing to certifications, training requirement completion, and conflict of interest disclosure forms and follow up procedures, as applicable
- High level of commitment and cooperation of ISO staff greatly appreciated