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

*Presentation to the  
Audit Committee*

*May 1, 2017*



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# ***Scope***

- ISO tariff requires an independent review of the ISO's code of conduct compliance
- Scope of procedures generally consisted of:
  - Obtaining listings of each constituent group:
    - Employees
    - Substantially full-time contractors
    - Board of Governors
  - Comparing listings to certifications, training requirement completion, and conflict of interest disclosure forms and indication of follow up procedures on identified conflicts

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## ***Results***

- Procedures are completed and the report was issued on February 10, 2017
- All planned procedures were performed without exception
- Report describes procedures and results related to the ISO's internal processes regarding the code of conduct requirements for the constituent groups listed on the previous slide
- High level of commitment and cooperation of ISO staff in completing this engagement, which is greatly appreciated