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California ISO Results of Agreed-Upon Procedures Code of Conduct

*Presentation to the
Board of Governors*

March 25, 2016



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

Results

- Procedures are completed and the report was issued on February 19, 2016
- 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