

Compliance with Ordering Paragraphs (COPs)

Guide for Public Users



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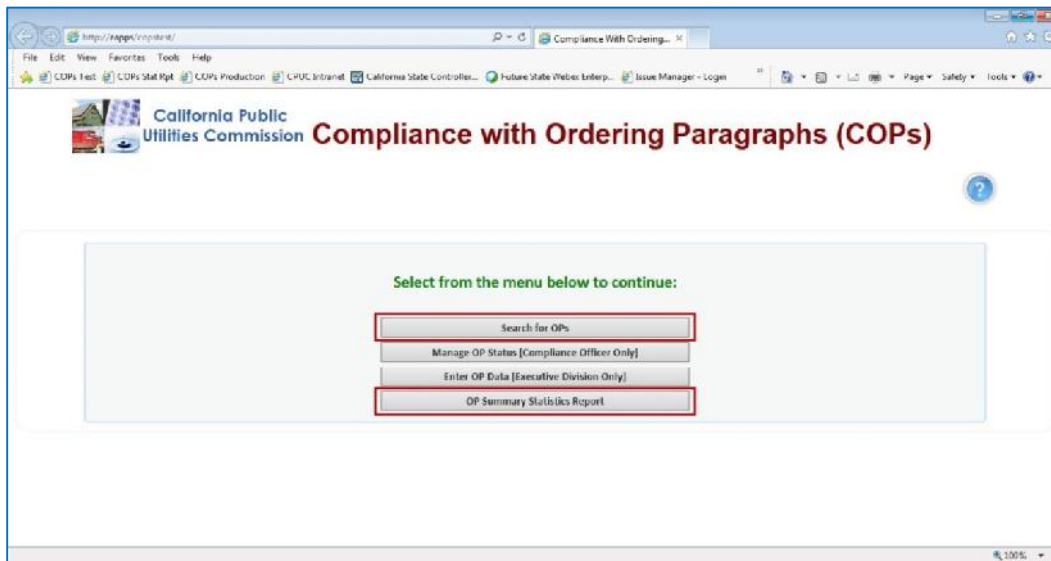
Compliance with Ordering Paragraphs (COPs) Overview

Background:

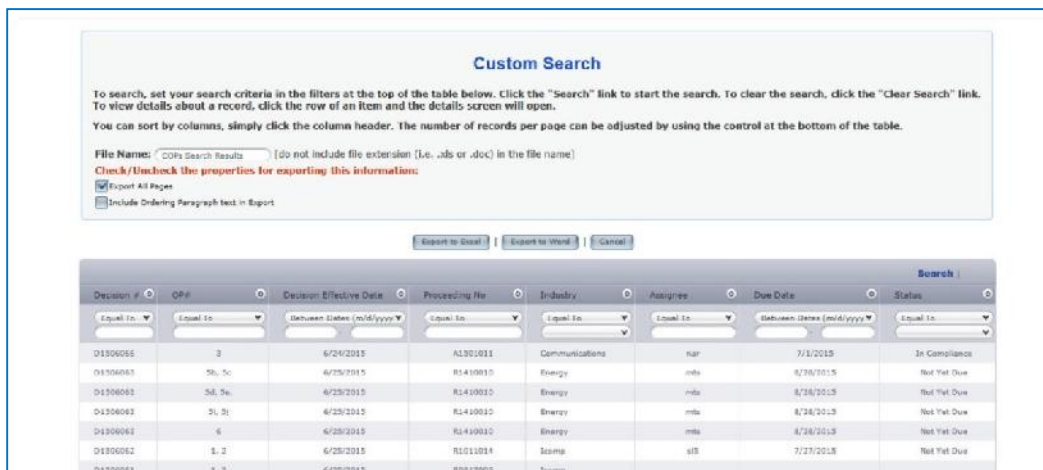
The Compliance with Ordering Paragraphs (COPs) application is designed to assist CPUC staff in tracking compliance with Ordering Paragraphs (OPs) of regulated entities with Commission decisions. On a monthly basis various agency staff members will use COPs to identify, and enter relevant OPs, verify and document compliance, and produce reports summarizing compliance with OPs.

How to access COPs

1. Open a new browser window and enter following link:
<https://ia.cpuc.ca.gov/cops/>
2. Select the button for the action to be completed.
All employees will have access to **Search for OPs** and to run **OP Summary Statistics Report**.

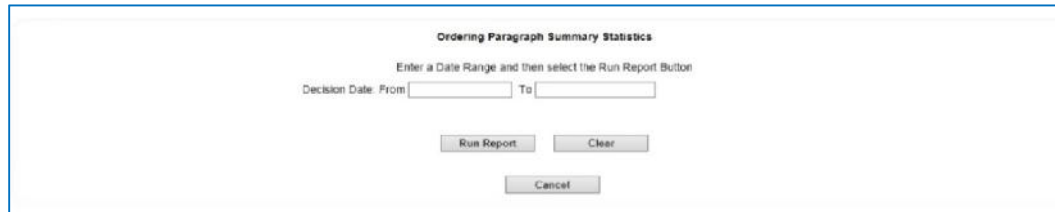


3. Selecting the **Search for OPs** button will launch the Custom Search screen.



How to access COPs (continued)

4. Selecting the **OP Summary Statistical Report** button will launch the report date entry screen.

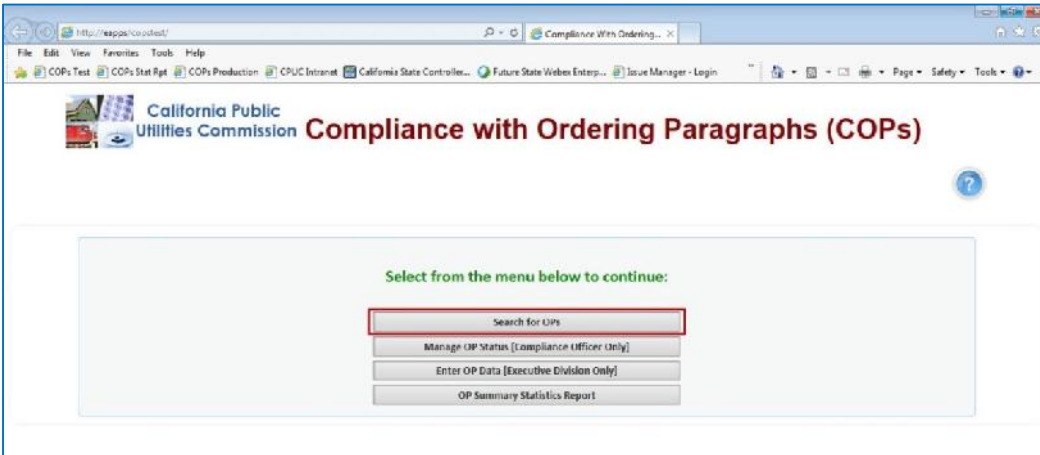


The screenshot shows a web form titled "Ordering Paragraph Summary Statistics". Below the title is the instruction "Enter a Date Range and then select the Run Report Button". The form contains a "Decision Date: From" label followed by a text input field, a "To" label followed by another text input field, and three buttons: "Run Report", "Clear", and "Cancel".

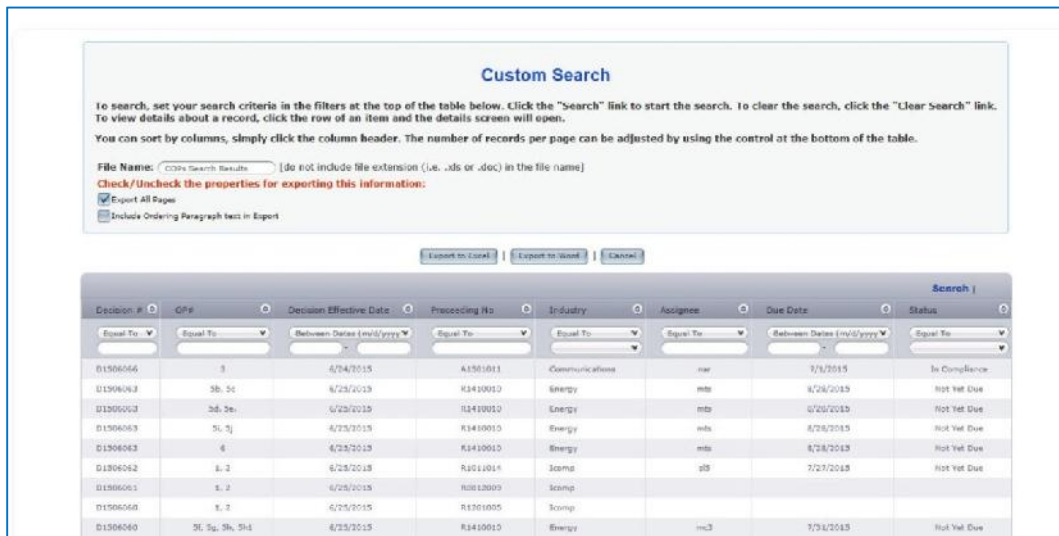
If you have any questions about the COPs process or are experiencing technical issues, please send an email to COPs@cpuc.ca.gov. Additional information can be found on the CPUC webpage under the [Transparency](#) tab.

How to Search for an OP(s) in COPs

1. On the COPs main page, select the **Search for OPs** button.



2. The Custom Search screen will load pre-populated with all the OP records in a table.



The OP records are listed in chronological/descending order by Decision Number. The most recent entry will be listed at the top. To find a specific OP record(s), filters can be applied for the following data items:

- Decision #
- OP #
- Decision Effective Date (date range)
- Proceeding No.
- Industry
- Due Date (date range)
- Status

How to Search for an OP(s) in COPs (continued)

- For our example, we will be searching for OP records by applying a filter for Decision Effective Date. Enter the date range of 3/20/15 – 3/29/15 in the Decision Effective Date filter fields and click on the “Search” link.

Decision #	OP#	Decision Effective Date	Proceeding No.	Industry	Assignee	Due Date	Status
D1507001	4	3/20/2015	R1206013	Energy	gpp	9/3/2015	Not Yet Due
D1507001	5	3/20/2015	R1206013	Energy	gpp	9/3/2015	Not Yet Due
D1507001	7	3/20/2015	R1206013	Energy	gpp	3/1/2016	Not Yet Due
D1507001	8	3/20/2015	R1206013	Energy	gpp	10/16/2015	Not Yet Due
D1507001	9, 10	3/20/2015	R1206013	Energy	gpp	1/1/2018	Not Yet Due
D1507001	11	3/20/2015	R1206013	Energy	gpp	1/1/2018	Not Yet Due
D1507001	14	3/20/2015	R1206013	Energy	gpp	8/3/2015	Not Yet Due
D1507001	12	3/20/2015	R1206013	Energy	gpp	8/3/2015	Not Yet Due
D1507001	13	3/20/2015	R1206013	Energy	gpp	8/3/2015	Not Yet Due
D1507001	18	3/20/2015	R1206013	Energy	gpp	8/3/2015	Not Yet Due
D1507001	16	3/20/2015	R1206013	Energy	gpp	9/3/2015	Not Yet Due
D1507001	17	3/20/2015	R1206013	Energy	gpp	7/23/2015	Not Compliance Item

The table will reload to show the OP records that match your search criteria.

Decision #	OP#	Decision Effective Date	Proceeding No.	Industry	Assignee	Due Date	Status
D1503048	3	3/26/2015	A1111002	Energy			
D1503048	2a	3/26/2015	A1201003	Water			
D1503048	2b	3/26/2015	A1201003	Water			
D1503042	1, 2	3/26/2015	A1406001; A1406002; A	Energy	lsk	6/30/2015	Not In Compliance
D1503042	3, 4	3/26/2015	A1406001; A1406002; A	Energy	lsk	1/26/2015	Not In Compliance

- To clear you filters and cancel your search, click on the “Clear Search” link. This will reload the page to the default view with all filters fields empty.

Decision #	OP#	Decision Effective Date	Proceeding No.	Industry	Assignee	Due Date	Status
D1504060	2	6/24/2015	A1301013	Communications	nar	7/3/2015	In Compliance
D1504061	5b, 5c	6/25/2015	R1430010	Energy	mbe	8/25/2015	Not Yet Due
D1504063	5d, 5e	6/25/2015	R1430010	Energy	mbe	8/25/2015	Not Yet Due
D1504063	5f, 5j	6/25/2015	R1430010	Energy	mbe	8/25/2015	Not Yet Due
D1504063	6	6/25/2015	R1430010	Energy	mbe	8/25/2015	Not Yet Due
D1504062	1, 2	6/25/2015	R101014	3comp	gls	7/27/2015	Not Yet Due
D1504063	1, 2	6/25/2015	88832085	3comp			
D1504063	1, 2	6/25/2015	R1201005	3comp			
D1504060	7, 8a, 8b, 8c1	6/25/2015	R1410010	Energy	mlj	7/31/2015	Not Yet Due

How to View_OP Details in COPs

1. On the Custom Search screen, select the OP to be viewed by clicking on the record row.

Decision #	OP#	Decision Effective Date	Proceeding No	Industry	Assignee	Due Date	Status
D1506063	5b, 5c	6/25/2015	R1410010	Energy	mts	8/28/2015	Not Yet Due
D1506063	5d, 5e,	6/25/2015	R1410010	Energy	mts	8/28/2015	Not Yet Due
D1506063	5f, 5g	6/25/2015	R1410010	Energy	mts	8/28/2015	Not Yet Due
D1506063	6	6/25/2015	R1410010	Energy	mts	8/28/2015	Not Yet Due
D1506062	2f, 5g, 5h, 5h1	6/25/2015	R1410010	Energy	mts	7/31/2015	Not Yet Due
D1506051	9	6/25/2015	A1407012	Energy	kab	6/30/2015	In Compliance
D1506051	10	6/25/2015	A1407012	Energy	kab	6/20/2014	Not In Compliance
D1506051	12	6/25/2015	A1407012	Energy	kab	8/28/2015	Not Yet Due
D1506051	13	6/25/2015	A1407012	Energy	kab	6/30/2015	Not In Compliance
D1506051	15	6/25/2015	A1407012	Energy	kab	6/30/2015	In Compliance

2. The screen will reload, showing the OP Details Summary screen.

[Back to Search Page](#)

View the Ordering Paragraph details below:

Manage OPs

OP Details

Decision No: D1506051
 Decision Effective Date: 6/25/2015
 Proceeding Number: A1407012
 Industry: Energy
 OP Number: 10

Southwest Gas must comply with the restriction concerning variable-rate exposure set forth in Decision 10-10-022. Southwest Gas' variable-rate exposure (unhedged variable rate debt and fixed to floating rate risk management contracts) shall not exceed 35 percent of the total debt outstanding.

Details:
Record ID#: 277

Manage Status

Status Details

Status: Not In Compliance
 Assignee: kab
 Due Date: 6/20/2014

How was the Compliance Status determined: Southwest Gas has not modified their variable rate exposure to be inline Decision 10-10-022.

Notes:
Record ID#: 277

3. To close the OP Details Summary screen, click on the “Back to Search Page” link located in the upper left corner of the screen. This will close the window and return to the Custom Search screen.

Back to Search Page

View the Ordering Paragraph details below:

Manage OPs

OP Details

Decision No: D1506051
 Decision Effective Date: 6/25/2015
 Proceeding Number: A1407012
 Industry: Energy
 OP Number: 10

Southwest Gas must comply with the restriction concerning variable-rate exposure set forth in Decision 10-10-022. Southwest Gas' variable-rate exposure (unhedged variable rate debt and fixed to floating rate risk management contracts) shall not exceed 35 percent of the total debt outstanding.

Details:
Record ID#: 277

Manage Status

Status Details

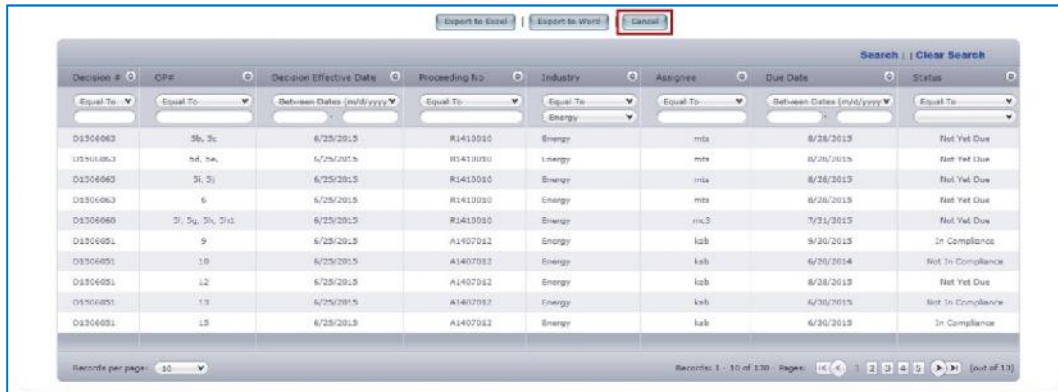
Status: Not In Compliance
 Assignee: kab
 Due Date: 6/20/2014

How was the Compliance Status determined: Southwest Gas has not modified their variable rate exposure to be inline Decision 10-10-022.

Notes:
Record ID#: 277

How to View_OP Details in COPs (continued)

- To close the Custom Search screen, click on the **Cancel** button to return to the COPs main page.



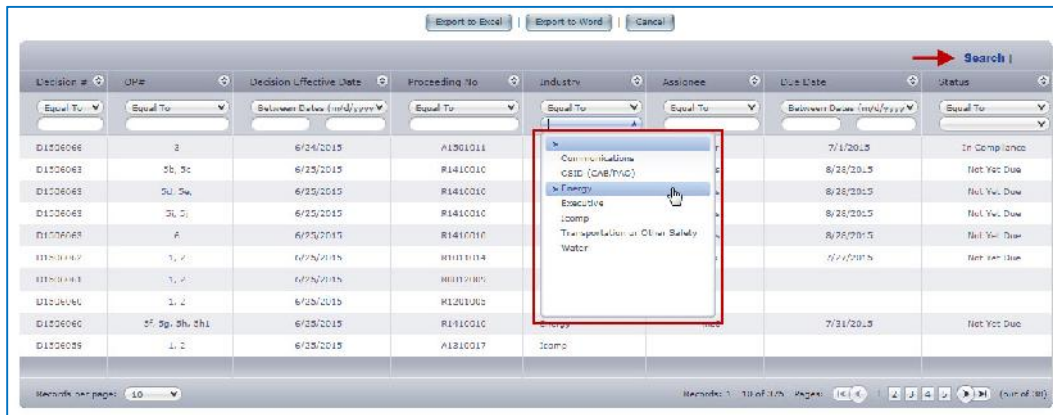
The screenshot shows a search results interface. At the top, there are three buttons: "Export to Excel", "Export to Word", and "Cancel". The "Cancel" button is highlighted with a red rectangle. Below the buttons is a search bar with "Search | Clear Search" and a dropdown menu. The main area contains a table with the following columns: Decision #, COP#, Decision Effective Date, Proceeding No., Industry, Assignee, Due Date, and Status. The table lists 13 rows of data. At the bottom, there is a "Records per page" dropdown set to 10 and a pagination bar showing "Records: 1 - 10 of 130 | Pages: 1 | [Navigation icons] | (out of 13)".

Decision #	COP#	Decision Effective Date	Proceeding No.	Industry	Assignee	Due Date	Status
D1306062	3b, 3c	6/25/2015	R1410010	Energy	mta	8/28/2015	Not Yet Due
U2306062	5d, 5e	6/25/2015	R1410010	Energy	mta	8/28/2015	Not Yet Due
D1306063	5i, 5j	6/25/2015	R1410010	Energy	mta	8/28/2015	Not Yet Due
D1306063	6	6/25/2015	R1410010	Energy	mta	8/28/2015	Not Yet Due
D1306060	3f, 5g, 5h, 5k	6/25/2015	R1410010	Energy	mta	7/31/2015	Not Yet Due
D1306051	9	6/25/2015	A1407042	Energy	lab	9/30/2015	In Compliance
D1306051	10	6/25/2015	A1407042	Energy	lab	6/30/2014	Not In Compliance
D1306051	12	6/25/2015	A1407042	Energy	lab	8/28/2015	Not Yet Due
D1306051	13	6/25/2015	A1407042	Energy	lab	6/30/2015	Not In Compliance
D1306051	15	6/25/2015	A1407042	Energy	lab	6/30/2015	In Compliance

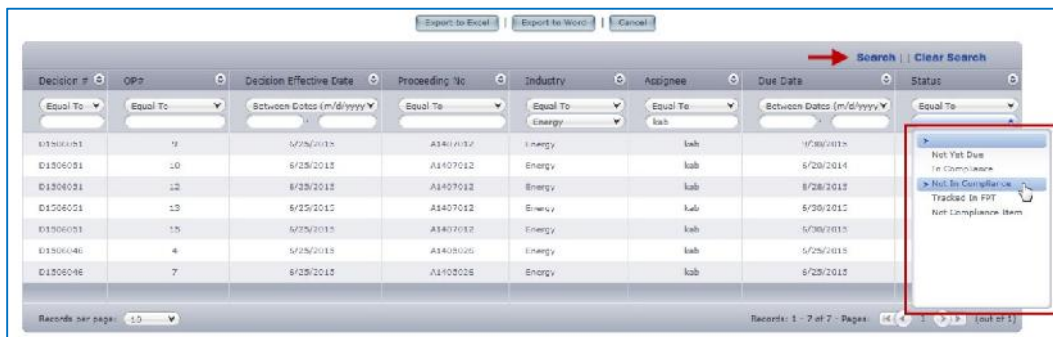
How to Create a Custom Search Report in COPs

1. On the Custom Search screen, create a search by completing the filter fields. For our example, we apply the filters for Industry and Status to create a customized search.

Select Energy from the Industry drop down menu, and click on the “Search” link.



Select “Not in Compliance” from the Status drop down menu, and click on the “Search” link.



How to Create a Custom Search Report in COPs¹ (continued)

The screen will reload with your final results.

Item #	OPE	Revision Effective Date	Ordering No	Industry	Assignee	Issue Date	Status
01208001	10	6/22/2015	A1407012	Energy	Levi	6/22/2015	Not In Compliance
01516751	13	6/22/2015	A1407012	Energy	Levi	6/30/2015	Not In Compliance
01516741	4	6/22/2015	A1408026	Energy	Levi	6/22/2015	Not In Compliance

- On the Custom Search screen, set the report preferences.
 - Enter a name for the report in the File Name field. For this example, we will name it Energy COPs Monthly Report June 2015.
 - Check the boxes for “Export to All Pages” and “Include Ordering Paragraph text in Export” to include all OP records, including OP text, that meet your search in the export file.

Custom Search

To search, set your search criteria in the filters at the top of the table below. Click the “Search” link to start the search. To clear the search, click the “Clear Search” link. To view details about a record, click the row of an item and the details screen will open.

You can sort by columns, simply click the column header. The number of records per page can be adjusted by using the control at the bottom of the table.

File Name: Energy COPs Monthly Rep. (do not include file extension (.xls or .doc) in the file name)

Check/Uncheck the properties for exporting this information:

Export All Pages

Include Ordering Paragraph text in Export

- To create the report file, click on the **Export to Word** button.

- Click on the **Save** button to save the word file to your computer.

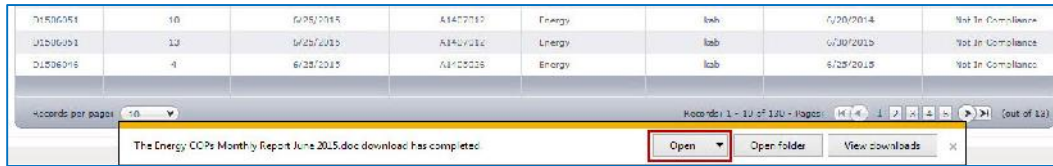
Do you want to open or save Energy COPs Monthly Report June 2015.doc (11,100) from export?

Open **Save** Cancel

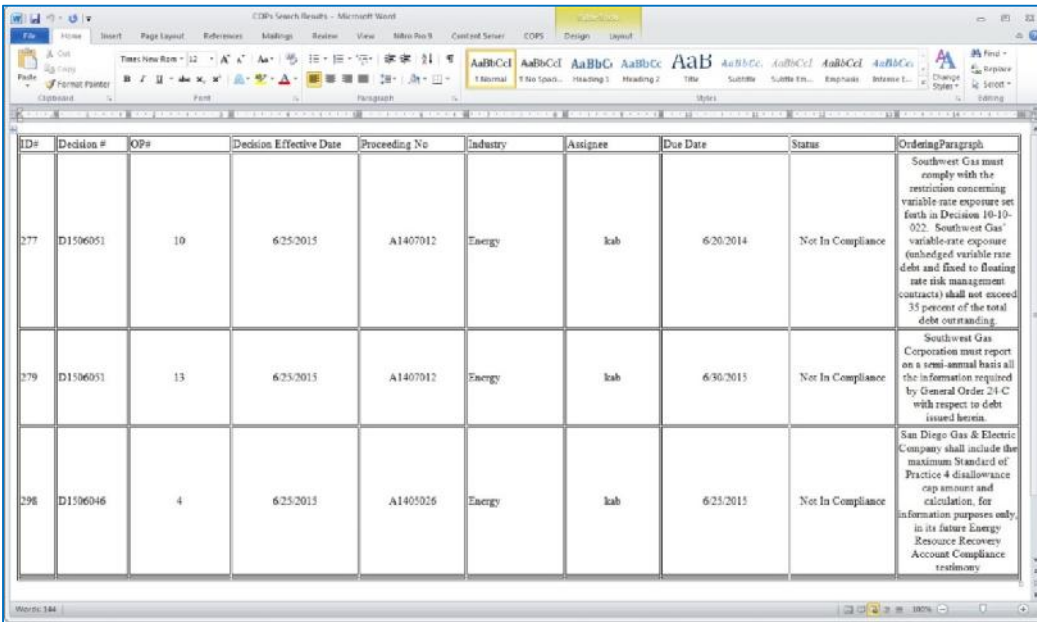
¹ Note: IE9+ needed to export/download reports.

How to Create a Custom Search Report in COPs (continued)

- Once the export report file has been saved to your computer, click on the **Open** button to see the report.

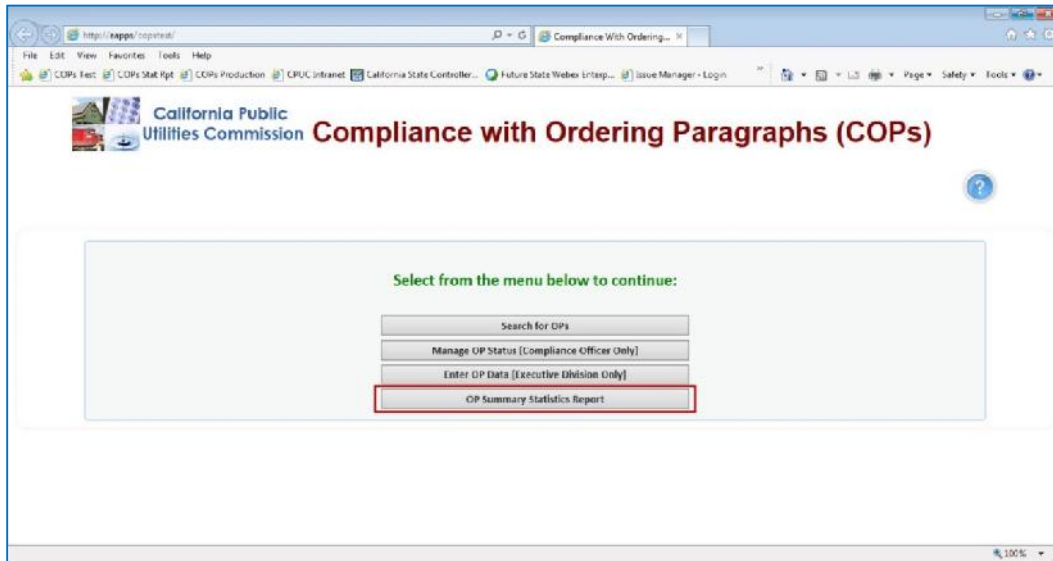


- The exported word file will open to show the report data.

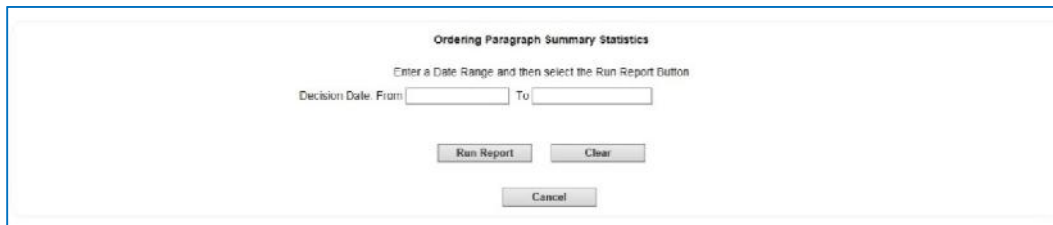


How to run a Summary Statistics Report

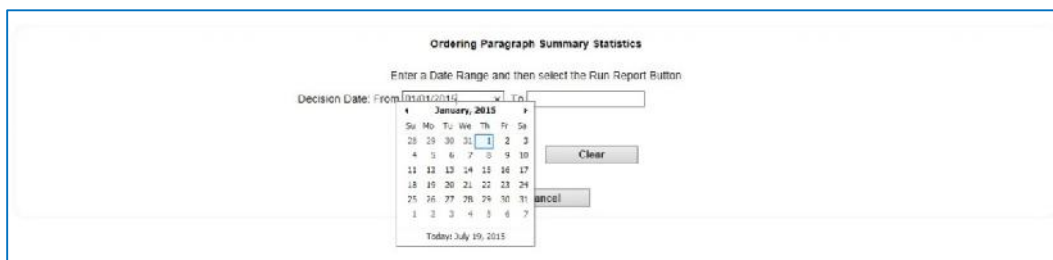
1. To run a statistics report, click on the **OP Summary Statistics Report** button on the COPs main page.



The page will reload to show the summary report screen.



2. Click in the "From" date field to launch the calendar tool and select a date.



How to run a Summary Statistics Report (continued)

- Click in the “To” date field to launch the calendar tool to select a date.

- Click on the **Run Report** button to run the statistical report.

- View the Summary Statistical Report results.

Ordering Paragraph Summary Statistics

Enter a Date Range and then select the Run Report Button

Decision Date: From 01/01/2015 To 06/30/2015

Run Report Clear

INDUSTRY	TOTAL COMPLIANCE OPS	IN COMPLIANCE	% IN COMPLIANCE	NOT IN COMPLIANCE	% NOT IN COMPLIANCE	NOT YET DUE	% NOT YET DUE	NOT COMPLIANCE ITEM	% NOT COMPLIANCE ITEM	TRACKED IN FFT	% TRACKED IN FFT	PERSONNEL ASSIGNED	% PERSONNEL ASSIGNED	NO STATUS ASSIGNED
Communications	66	2	3%	0	0%	1	2%	0	0%	0	0%	3	5%	62
C.SID	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
Energy	130	4	3%	3	2%	7	5%	0	0%	0	0%	14	11%	116
Executive	14	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	14
Icomp	70	2	3%	0	0%	1	1%	0	0%	0	0%	3	4%	67
Transportation or Other Safety	65	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	65
Water	31	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	31
Total	376	8	2%	3	1%	9	2%	0	0%	0	0%	20	5%	356

Export To PDF Cancel

- To create a PDF file of the report; click on the **Export to PDF** button.

Ordering Paragraph Summary Statistics

Enter a Date Range and then select the Run Report Button

Decision Date: From 01/01/2015 To 06/30/2015

Run Report Clear

INDUSTRY	TOTAL COMPLIANCE OPS	IN COMPLIANCE	% IN COMPLIANCE	NOT IN COMPLIANCE	% NOT IN COMPLIANCE	NOT YET DUE	% NOT YET DUE	NOT COMPLIANCE ITEM	% NOT COMPLIANCE ITEM	TRACKED IN FFT	% TRACKED IN FFT	PERSONNEL ASSIGNED	% PERSONNEL ASSIGNED	NO STATUS ASSIGNED
Communications	66	2	3%	0	0%	1	2%	0	0%	0	0%	3	5%	62
C.SID	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
Energy	130	4	3%	3	2%	7	5%	0	0%	0	0%	14	11%	116
Executive	14	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	14
Icomp	70	2	3%	0	0%	1	1%	0	0%	0	0%	3	4%	67
Transportation or Other Safety	65	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	65
Water	31	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	31
Total	376	8	2%	3	1%	9	2%	0	0%	0	0%	20	5%	356

Export To PDF Cancel

How to run a Summary Statistics Report (continued)

Sample of the Summary Statistics Report PDF file.

Ordering Paragraph Summary Statistics Report Report Exported: 07/16/2015

Ordering Paragraph Summary Statistics

Decision Issued from 1/1/2015 To 6/30/2015

INDUSTRY	TOTAL COMPLIANCE OPS	N. COMPLIANCE	% IN-COMPLIANCE	NOT IN COMPLIANCE	% NOT IN-COMPLIANCE	NOT YET DUE	% NOT YET DUE	NOT COMPLIANCE ITEM	% NOT COMPLIANCE ITEM	TRACKED IN FFT	% TRACKED IN FFT	PERSONNEL ASSIGNED	% PERSONNEL ASSIGNED	NO STATUS ASSIGNED
Communications	65	2	3%	0	0%	1	2%	0	0%	0	0%	3	5%	62
CSID	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
Energy	130	4	3%	2	2%	7	5%	0	0%	0	0%	14	11%	116
Executive	4	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	4
Iscomp	0	2	3%	0	0%	1	1%	0	0%	0	0%	3	4%	0
Transportation or Other Safety	65	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	65
Water	31	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	31
Total	375	8	2%	3	1%	9	2%	0	0%	0	0%	20	5%	355

1

- On the Summary Statistics Report page, click on the **Cancel** button to return to the COPs main page.

Ordering Paragraph Summary Statistics

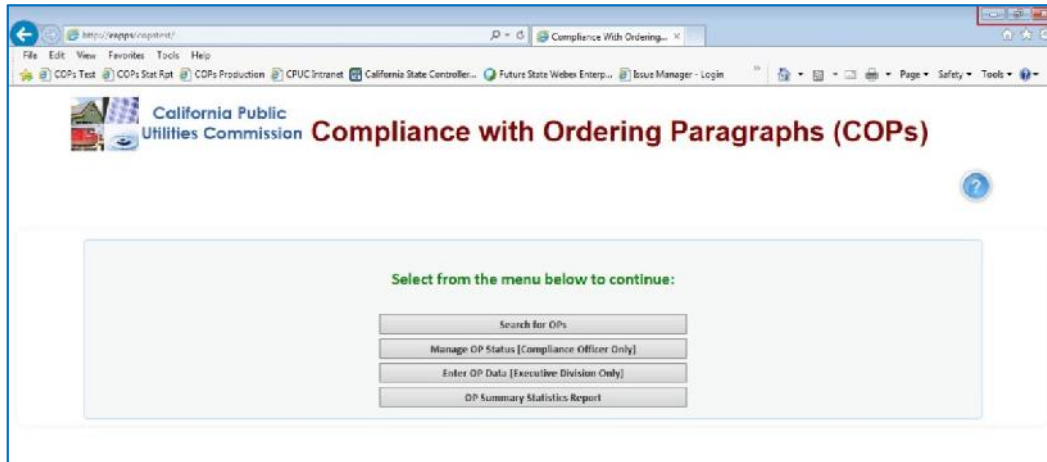
Enter a Date Range and then select the Run Report Button

Decision Date: From To

INDUSTRY	TOTAL COMPLIANCE OPS	N. COMPLIANCE	% IN-COMPLIANCE	NOT IN COMPLIANCE	% NOT IN-COMPLIANCE	NOT YET DUE	% NOT YET DUE	NOT COMPLIANCE ITEM	% NOT COMPLIANCE ITEM	TRACKED IN FFT	% TRACKED IN FFT	PERSONNEL ASSIGNED	% PERSONNEL ASSIGNED	NO STATUS ASSIGNED
Communications	65	2	3%	0	0%	1	2%	0	0%	0	0%	3	5%	62
CSID	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
Energy	130	4	3%	3	2%	7	5%	0	0%	0	0%	14	11%	116
Executive	4	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	4
Iscomp	0	2	3%	0	0%	1	1%	0	0%	0	0%	3	4%	0
Transportation or Other Safety	65	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	65
Water	31	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	31
Total	375	8	2%	3	1%	9	2%	0	0%	0	0%	20	5%	355

How to exit COPs

1. On the COPs main page, click on the red “X” in the upper right corner to close your browser window.



Glossary of Terms

Decision Effective Date: the date assigned to a specific decision that designates that the decision is official and the actions within are final.

Decision Number: the administrative number assigned for a specific decision at the Commission. The number starts with a “D” followed by seven digits, for example D1504009.

Due Date: the date by which all compliance items/tasks identified within the OP must be completed by.

Executive (Data Entry): the employee(s) within the Executive Division who will be entering in the final OPs within COPs. OPs are entered on a monthly or bi-monthly basis in tandem with Commission meetings.

Industry: Division /industry that is responsible for monitoring the compliance of the regulated entity.

Ordering Paragraph: CPUC formal decisions include Ordering Paragraphs (OPs), which can: Direct a regulated entity to take action such as submitting a report, conducting a workshop, or simply providing information.

Paragraph Number: the number assigned within the Decision for a specific OP.

Proceeding Number: the administrative number assigned for proceeding support documentation associated with the Decision and OP. There can be up to six (6) support proceeding documents associated with each OP. The number starts with a capital letter and followed by seven digits, for example: R1503023 or A1505004.

Summary Statistical Report: the aggregate compliance statistics and performance reports that will help CPUC leadership to monitor to set compliance goals, deploy resources strategically to improve compliance levels and quality across the Commission.

Status Definitions:

Not Due Yet – The Ordering Paragraph has a specified compliance due date in the future.

In Compliance –The OP compliance item or task has been completed and verified by the Assignee by the specific due date.

Not In Compliance – The OP compliance item or task has not been completed and the specific due date has past.

Tracked in FPT –The action specified in the OP is financial and is tracked in the Financial Payment Tracker (FPT) tool.

Not Compliance Item – The OP does not include a measurable compliance item or task to be completed or tracked. For this status, the Assignee will be the industry/division Compliance Officer and the Due Date will be the current date.

Pending Verification by SME – A new OP has been assigned; awaiting Subject Matter Expert (SME) to verify compliance.