



# Compliance with Ordering Paragraphs

***Management Report, Commission Voting Meeting***

***February 25, 2015***



## Background

- Ordering paragraphs are the basic building blocks of CPUC oversight of regulated entities
- In the past, each CPUC industry program employed program-specific methods to track compliance that did not support:
  - identification of noncompliance
  - comparison between program areas
  - ability to track agency performance over time
- In July 2015, the CPUC launched the Compliance with Ordering Paragraphs (COPs) application to track compliance in a central database
- Yesterday, COPs was made available to the public on the CPUC external website under the Transparency tab.
  - The public has full access with the exclusion of information on staff assignments





California Public Utilities Commission

# Compliance with Ordering Paragraphs (COPs)

## 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.

### Downloading Reports

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

File Name:  [do not include file extension (i.e. .xls or .doc) in the file name]

**Check/Uncheck the properties for exporting this information:**

- Export All Pages
- Include Ordering Paragraph text in Export

|  |

<a href="#">Search</a>						
Decision #	OP#	Decision Effective Date	Proceeding No	Industry	Due Date	Status
Equal To	Equal To	Between Dates (m/d/yyyy)	Equal To	Equal To	Between Dates (m/d/yyyy)	Equal To
D1502005	1	2/12/2015	R1502012	Energy	3/19/2015	In Compliance
D1502005	2	2/12/2015	A1406010	Energy	2/23/2015	In Compliance
D1502005	4	2/12/2015	A1406010	Energy	7/22/2015	Not Compliance Item
D1502039	1, 2	2/26/2015	R1302008	Icomp	3/26/2015	In Compliance
D1502038	1, 2	2/26/2015	A1207001	Icomp	3/26/2015	In Compliance
D1502037	1, 2	2/26/2015	R1012007	Icomp	3/26/2015	In Compliance
D1502035	1	2/26/2015	A0010012	Transportation or Other Safety	2/26/2015	In Compliance



Manage OPs

OP Details

Decision No: D1506046  
 Decision Effective Date (m/d/yyyy): 6/25/2015  
 Proceeding Number: A1405026  
 Industry: Energy  
 OP Number: 8  
 Details: In order to implement the authority granted herein, San Diego Gas & Electric Company shall file a Tier 1 Advice Letter within 30 days of the date of this decision. The tariffs filed in the Advice Letter shall become effective on or after the date filed subject to Energy Division determining they are in compliance with this decision.

Record ID#: 300

Manage Status

Status Details

Status: In Compliance  
 Due Date: (m/d/yyyy) 7/23/2015  
 How was the Compliance Status determined: AL 2768-E

Notes:

Record ID#: 300



**Manage OPs**

**OP Details**

**Decision No:** D1601007

**Decision Effective Date (m/d/yyyy):** 1/5/2016

**Proceeding Number:** A1506021

**Industry:** Transportation or Other Safety

**OP Number:** 2d, 2e

**Details:** Comply with General Orders Series 101 and 158, and the California Highway Patrol safety rules.

Comply with the Commission’s controlled substance and alcohol testing certification program pursuant to Pub. Util. Code § 1032.1 and General Order Series 158.

**Record ID#:** 1263

**Manage Status**

**Status Details**

**Status:** Not In Compliance

**Due Date: (m/d/yyyy)** 2/5/2016

**How was the Compliance Status determined:** Carrier ordered to file its compliance with GOs and CHP safety rules. Also needs to submit its controlled substance and alcohol testing certificates.

**Notes:** PSG#28589

**Record ID#:** 1263



## COPs Highlights and Benefits

- Allows CPUC staff to ensure OP compliance more effectively and efficiently
- Identifies areas where regulated entities are non-compliant
- Provides on-demand access to compliance information on all decisions issued after 2015
- Provides a technology solution with streamlined, user-friendly interface
- Enables search by Decision Number, Effective Date, Due Date, Industry, and Status
- Enables CPUC leadership to view aggregate compliance statistics and allocate resources accordingly
- Encourages clearer and stronger compliance language in ordering paragraphs
- Supports CPUC's mission to increase accountability and transparency





# COPs Resource Requirements

## Executive Division

- After each Commission Meeting, copy and paste relevant OPs into COPs;
- Assign OPs to appropriate division

## Division Compliance Officer

- Assign OPs to appropriate subject matter expert
- Enter updates from subject matter experts into COPs

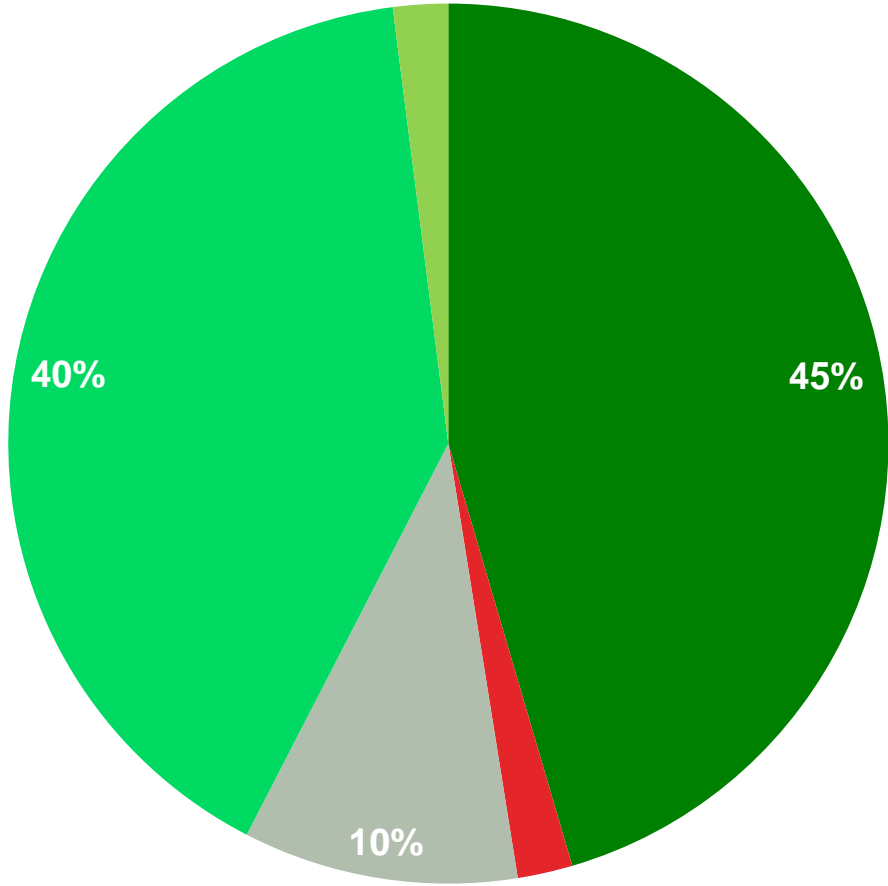
## Subject Matter Expert

- Verify compliance with assigned OPs and provide a brief description of how compliance was verified





# Statistics on Ordering Paragraphs Issued in 2015 (1217 OPs)



- In Compliance
- Not in Compliance
- Pending Verification by SME
- Not Yet Due
- Tracked in FPT

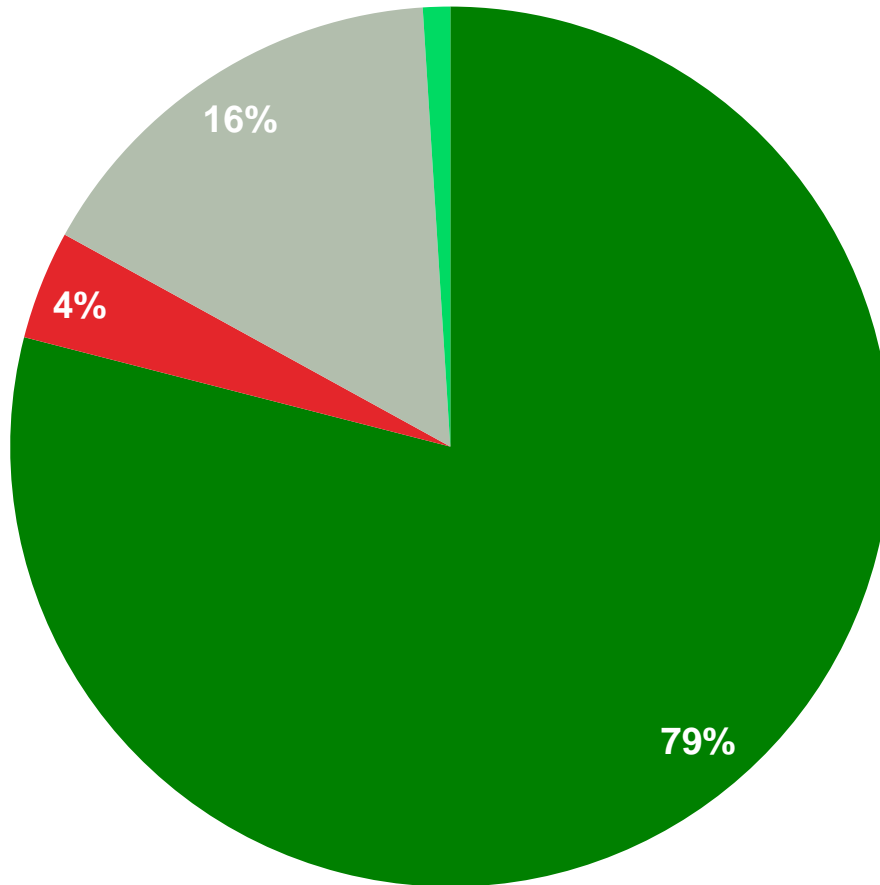
Report generated 2/24/16







## Statistics on Ordering Paragraphs “Due” in 2015 (476 OPs)



- In Compliance
- Not in Compliance
- Pending Verification by SME
- Tracked in FPT

Report generated 2/24/16



# Ordering Paragraph Statistics by Industry

## Decisions Issued in 2015

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