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.

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)

3. 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.

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

4. To clear your 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.
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.

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

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.
How to View OP Details in COPs (continued)

4. To close the Custom Search screen, click on the **Cancel** button to return to the COPs main page.
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 COPs\(^1\) (continued)

The screen will reload with your final results.

2. 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.

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

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

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\(^1\) Note: IE9+ needed to export/download reports.
How to Create a Custom Search Report in COPs (continued)

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

6. 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.

   ![OP Summary Statistics Report button](image)

   The page will reload to show the summary report screen.

   ![Summary report screen](image)

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

   ![Calendar tool](image)
3. Click in the “To” date field to launch the calendar tool to select a date.

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

5. View the Summary Statistical Report results.

6. To create a PDF file of the report; click on the **Export to PDF** button.
7. On the Summary Statistics Report page, click on the **Cancel** button to return to the COPs main page.
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.