SLAA WEB PORTAL FREQUENTLY ASKED QUESTIONS

SLAA Report

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Introduction   Monitoring   Risk Assessment   Risks and Controls   Submission

INTRODUCTION AND BACKGROUND

In accordance with the State Leadership Accountability Act (SLAA), the Department of Demonstrations and Examples submits this report on the review of our internal control and monitoring systems for the biennial period ended December 31, 2017.

Should you have any questions please contact Jane Doe, Deputy Director, at (916) 555-5555 ext. 1153, jane.doe@example.ca.gov

Background

Describe your entity.

Must include:

- All entities under your reporting responsibility if applicable
- Mission and goals
- Strategic initiatives, core values/principles

Consider including:

- Critical business functions, objectives, and activities
- History and statutory duties

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Introduction

This document is a tool to provide state entities with answers to some of the frequently asked questions related to the State Leadership Accountability Act (SLAA) web portal. Throughout this document, we will refer to the California Department of Finance as Finance, the Office of State Audits and Evaluations as OSAE, and Implementation Plans as plans. If your question is not answered in this document or you would like additional clarification, please contact OSAE at SLAAHotline@dof.ca.gov.

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SLAA Web Portal

FREQUENTLY ASKED QUESTIONS (FAQs)

New SLAA Cycle

1. **What's new in the SLAA web portal for the 2017 cycle?**

   Finance has made some changes to the SLAA web portal. The structure and some features are enhanced with the addition of some new features.

   Here is a general list of the enhancements.
   - The Emerging Risks and Fraud and Loss sections have been removed
   - SLAA Reporting
     - The report sections have been reordered. The Ongoing Monitoring section is now before the Risk Assessment Process section
     - Changed Designated Agency Monitor to Executive Monitoring Sponsor
     - Option to select the Executive Monitoring Sponsor(s) in the Ongoing Monitoring section
     - Selecting personnel involved in the Risk Assessment Process section
     - An additional text field in the Risk Assessment Process section
     - Describing risks using a three-part risk statement format
     - Option to accept a risk
     - Updated SLAA report PDF template
   - Implementation Plans
     - Changed Corrective Action Plan to Implementation Plan
     - Update progress questions
     - Option to accept a control
     - Text fields for future activities if applicable
     - New plan PDF template

2. **Do the contents of the current SLAA cycle, including risks and controls, carry forward to the next SLAA cycle?**

   No, each new reporting cycle allows entities a clean slate to address each report section, including the risks and controls.

   Although the risks and controls are not carried forward automatically, Finance recommends that prior risks with partially or not implemented controls are considered during the risk assessment process.

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Access and Contacts

1. I forgot my username and/or password, how do I get help?

There are links on the sign-in screen of the web portal that allows you to retrieve your username and reset your password. If these links are not working, please e-mail the SLAAHotline@dof.ca.gov for additional assistance.

2. How do I get a username and password for the web portal?

Please contact your entity's SLAA Administrator, Primary Contact, or Agency Head to be added into the SLAA web portal. These users can establish new contacts. All new contacts will receive an e-mail from the SLAAHotline@dof.ca.gov with their username and password.

 If you have not received your username or password within one business day of being added, please e-mail the SLAAHotline@dof.ca.gov for additional assistance.

3. My Agency Head has changed, how do I update the web portal?

The Agency Head contact in the SLAA web portal can only be changed by Finance staff. The new Agency Head will receive an e-mail containing their username and instructions for establishing a password. In addition, the individual contacting Finance with the Agency Head contact information will receive an e-mail confirming the change was completed.

E-mail the SLAAHotline@dof.ca.gov with the following information:
- Name of the new Agency Head
- Job Title
- Work e-mail address
- Work phone number

4. Our entity's name is incomplete in the SLAA web portal, how do I change it?

The SLAA web portal pulls its information from a database shared by multiple users. Since we are not the owners of this database, the SLAA team is currently unable to correct entity names.

5. The web portal is not working, what do I do?

Contact Finance at the SLAAHotline@dof.ca.gov.

6. Is there a way to see who else in my entity is logged into the web portal?

No. Users need to coordinate efforts to ensure that they do not work in the same section of the report simultaneously. Two users working in the same section simultaneously may cause information loss.

7. What are the responsibilities for the different contacts?

The SLAA web portal separates users into different types of contacts based on the duties or responsibilities of each contact.

Agency Head and Primary Contact
- Add, edit, or delete contacts
- Enter and edit reporting and plan information in text fields
- Sign and submit the SLAA report and plans

SLAA Administrator
- Add, edit, or delete contacts
- Enter and edit reporting and plan information in text fields

Additional Resources
- Enter and edit reporting and plan information in text fields

8. I am the new Primary Contact for my entity, how do I replace the existing Primary Contact?

Contact a role listed in the table that has the authorization to add, edit, or delete contacts needing to be replaced. That role must delete the existing contact's profile before adding you into that role.

	ROLES WITH AUTHORIZATION
Replace Existing Agency Head	Contact Finance at SLAAhotline@dof.ca.gov
Replace Existing Primary Contact	• Agency Head • SLAA Administrator
Replace Existing SLAA Administrator	• Agency Head • Primary Contact
Replace Existing Additional Resource	• Agency Head • Primary Contact • SLAA Administrator

Reporting

1. How do I change the contact listed in the Introduction and Background section of the SLAA report?

The SLAA web portal automatically populates the contact name and information into certain SLAA reporting sections based on the SLAA contacts listed in the Contact Information page. These names cannot be altered without changing the contacts in the Contact Information page. The sections with populated contacts are listed below along with the statement.

Reporting Section	Statement	Pre-Populated Contact	Secondary Contact*
Introduction and Background	Should you have any questions please contact *Name*, *Title*, at *Phone Number*, *E-mail Address*.	Primary Contact	Agency Head
Ongoing Monitoring	As the head of *Entity*, *Name*, *Title*, is responsible for the overall establishment and maintenance of the internal control and monitoring systems.	Agency Head	N/A

*The Secondary contact is used if the pre-populated contact is not listed in the Contact Information page.

2. Why would my entity accept a risk? How do I accept a risk?

An entity may accept a risk with partially or not implemented controls if they 1) have taken all reasonable steps toward mitigating the risk, 2) further mitigation of this risk is too costly to put into effect, or 3) other entity specific reasons making the risk fall within the risk appetite.

Users can accept a risk within the web portal by selecting "Yes" when addressing the Risk Acceptance statement. If the entity accepts the risk, it will not carry forward to the Plan.

3. I need to add a special character into a text field, how can I do that?

The text formatting banner in every text field includes an Omega "**Ω**" button that allows users to add special characters. Follow the steps below to insert a special character.
1. Click the Omega "**Ω**" button, a menu will appear with the available special characters
2. Select the special character from the menu by clicking on the character
3. The character will populate in the text field where the cursor is located
4. Continue entering content as needed

4. Why would my entity accept a control in the Implementation Plan? How do I accept a control?

An entity may accept a control that is partially or not implemented if 1) the control is ongoing, 2) resources are redirected or unavailable, or 3) the control no longer mitigates the risk.

Users can accept a control by checking the box next to the Control Acceptance statement within the plan. If the entity accepts the control, the control will not carry forward to the next applicable plan. If an entity does not accept the control, the box is to remain unchecked and the control will carry forward to the next applicable plan.

5. How do I reorder the risks in the Risks and Controls section?

The SLAA web portal now has a drag and drop feature to rearrange the order the risks appear in the SLAA report. Simply click and hold the tab of the risk you want to move, drag it to where the risk should be, and let go of the tab. The risk will now show in that current position. Risks can only be rearranged in the SLAA report.

6. How do I determine the Ongoing Monitoring Status?

New to 2017, the Ongoing Monitoring Compliance is automatically determined in the web portal by the implementation and documentation selections for each ongoing monitoring component; Monitoring Activities, Addressing Vulnerabilities, and Communication. The Ongoing Monitoring Compliance cannot be manually changed and does appear in the report and the plan.

7. Do all areas of the SLAA reporting component in the web portal carry forward to the printed PDF reports?

No, not all areas carry forward to the PDF SLAA report. Some information completed in the web portal is designed to aid in determining if a plan is required.

The following areas do not carry forward to the PDF SLAA report.
- Ongoing Monitoring implementation and documentation status for each monitoring component
- How a risk was identified
- Control implementation status
- Entity's decision to accept a risk

8. I recently submitted my SLAA report and am required to submit an Implementation Plan, but progress hasn't been made for the plan, what do I do?

It is acceptable to state that no progress has been made, However, it is required that you include plans for the next six months.

Here is an example of acceptable language to include for the first plan if no progress was made.
"The SLAA report was recently submitted and there are no updates at this time."

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Drafts and Submissions

1. Can I see copies of my entity's prior reports and plans?

Reports and plans are available for viewing during the current SLAA cycle within the SLAA Report component, the Implementation Plan component, or by clicking the Implementation Plan due date link on the homepage.

To view an accepted report or plan from prior SLAA cycles, you can view a PDF housed in the Past Reports and Plans tab. The Past Reports and Plans tab will house PDFs of reports and plans once they have been accepted. This tab houses all accepted reports and plans from prior SLAA cycles.

A copy of your entity's SLAA report is required to be posted on your entity's public website within five business days of report acceptance.

2. Can I see what other entities have submitted?

No, the web portal only allows users to view their entity's content. However, you can view other entities' prior SLAA reports at the California State Library website. https://www.library.ca.gov/slaa/.

3. What will the SLAA Report and Implementation Plan generated from the web portal look like?

See templates of the report and plan at www.dof.ca.gov/Programs/OSAE/SLAA/. You can print a draft version of your report or plan any time prior to report submission.

4. How can I print a draft of the SLAA report or Implementation Plan in a Microsoft Word format?

The SLAA web portal only supports a PDF format for the report or plan. There are multiple free websites that can convert PDF to Microsoft Word. Search the internet for PDF to Word converter information.
- A website we've tested is pdf2doc.com

5. Is there a way to see what changes have been made to my draft report?

The web portal does not track changes to the draft report.

6. Can I see a draft of my report?

A draft version of your report can be printed at any time prior to report submission. Use the print feature to generate a PDF draft. Additional instructions are available in the *Web Portal User's Guide* located at www.dof.ca.gov/Programs/OSAE/SLAA/.

7. How do I add a cover page to my SLAA report or Implementation Plan?

Although not required, a cover page can be added to both a report and a plan. A cover page can be uploaded in the SLAA web portal by clicking the **Upload Cover Page** button at the bottom of the Submission section for either the report or plan.

The SLAA web portal supports cover pages in a JPG, JPEG, PNG, GIF, or PDF format.

Other formats cannot be uploaded. If the current cover page is no longer needed, the cover page can be deleted by clicking the **Delete Cover Image** in the Upload Cover Page form.

8. What happens if I submit my report with one or more sections blank?

The portal will not allow a report to be submitted with blank report sections with one exception. In the Submission section there is an optional additional comments section. The optional section can be left blank. Finance will review submitted reports for completeness, and will contact entities that submit a report with insufficient information in any of the required sections.