

STATE LEADERSHIP ACCOUNTABILITY ACT  
(SLAA)



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# WEB PORTAL GUIDE TO IMPLEMENTATION PLANS

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## Introduction

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The California Department of Finance, Office of State Audits and Evaluations developed this State Leadership Accountability Act (SLAA) Web Portal User Guide (Guide). The Guide provides detailed instructions to aid in the entry of SLAA report and Implementation Plan information and web portal use. This Guide is organized by the components within an Implementation Plan (plan), which correspond with initial plan access, major features, and completing the components of a plan. The information and visual examples provided herein are not all inclusive and additional edits and updates will be made periodically to keep this document current and reflective of portal features.

For instructions for completing the SLAA Report, please see the *Web Portal Guide to SLAA Reporting*.

For instructions on any of the following areas, please see the *Guide to Navigating the SLAA Web Portal*.

- Access to the SLAA web portal
- Navigating the SLAA homepage
- Adding, editing, and removing SLAA contacts
- Text field formatting
- Saving progress and leaving the SLAA Report and Implementation Plans
- Printing and saving copies of a SLAA Report and Implementation Plans
- Uploading and deleting a cover page

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# Implementation Plans

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Implementation Plans (plan) are generated when a component of Ongoing Monitoring or a control has been identified in the SLAA report as not fully implemented. A plan is required to be submitted every six months, or until the Ongoing Monitoring component(s) and/or controls are fully implemented, per Government Code sections 13400-13405. A plan period refers to the six months between plan due dates.

- Entities will receive an e-mail if a plan is required after the SLAA report is submitted. The first plan is due on the same day as the SLAA report, December 31, odd year.
- The SLAA report does not populate with controls from the previous plan. It is recommended that management considers these outstanding items during the Risk Assessment and Ongoing Monitoring processes.
- Failure to submit a plan on time will result in an entity being Non-Compliant. This status may change if the required plan is submitted. Plans may be submitted for up to three months after the due date. If a plan is not submitted during one plan period, a plan will be required for the next plan period.
- Plan due dates and plan statuses for each plan period are shown on the entity's homepage.

## **Ongoing Monitoring**

Each component of Ongoing Monitoring will require an update if the component is not fully implemented and documented. When a component is fully implemented and documented, that component will no longer require an update, and will not populate the following plan. Once all three components have been fully implemented and documented, an entity will be compliant with the Ongoing Monitoring, and will not be required to complete an update for Ongoing Monitoring during the current SLAA cycle.

## **Risks and Controls**

Controls require an update until the control is put into practice and operating as intended. If management has determined a control is: (1) an ongoing activity, (2) resources are redirected or unavailable, or (3) the control no longer mitigates the risk, the control can be accepted in its current state, regardless if it is put into practice or operating as intended. If a control is accepted, the control will not populate the next plan.

New controls may be added to a plan as mitigation strategies are further developed.

*For further information regarding the implementation statuses, see [Appendix](#).*





## Access to Implementation Plans

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1. Go to [SLAA.dof.ca.gov](http://SLAA.dof.ca.gov) and sign into the SLAA web portal.
2. Click **Implementation Plans** or **Current Implementation Plan**.
  - a. Either button will direct you to the current plan.

The screenshot shows the SLAA web portal interface. At the top, there is a dark header with the SLAA logo, the text "State Leadership Accountability Act (SLAA)", and a "Sign Out" link. Below the header, a welcome message reads "Welcome, Department of Demonstrations and Examples!". A navigation menu contains five items: "SLAA Home", "Contact Information", "SLAA Reports", "Implementation Plans", and "Past Reports and Plans". The main content area features a large heading "2017 SLAA Cycle" and a status message "SLAA Status: **Compliant**". Below this status is a link for "Non-Compliers List". Two columns are displayed: "SLAA Report" with a "2017 Report Due: Submitted" status and a "Current Report" button; and "Implementation Plan" with a "December 31, 2017: Due" status and a "Current Implementation Plan" button. A footer section contains a welcome message from the California Department of Finance and a link to the SLAA Hotline.

**Note:** A submitted plan is viewable in PDF format by clicking the date of the plan on your entity's home page.

After submission of your current plan, you can begin filling out your next plan. You will not be able to submit the next plan until one month before the due date.

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## Implementation Plan Updates

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An Implementation Plan (plan) update is required for Ongoing Monitoring components and/or controls that were not fully implemented. Each Ongoing Monitoring component and/or control that requires an update will carry forward to the next plan until its fully implemented and are carried forward to the plan.

This section provides instruction to complete updates for Ongoing Monitoring and controls. The following components are required to be completed.

1. Update With Progress / Update Without Progress
2. Contact Person(s)
3. Update Status Questions
4. Control Acceptance (for controls only)
5. What's Next
6. Next Milestone

*For further information regarding the update status, see [Appendix](#).*

# Implementation Plan Updates

Implementation Plan Submission → A

IMPLEMENTATION PLAN

Ongoing Monito Staff—Key Pers → B

**Staff—Key Person Dependence, Workforce Planning** [Click here for the complete guide of SLAA Risks and Definitions](#)

**Control A**

**Describe the control designed to help mitigate the risk.**

This is an example of a control. SLAA views controls as a solution to a problem that is or may be occurring within an entity. For each risk, there are multiple solutions on how to mitigate a risk. For demonstration, this control will populate the Implementation Plan.

Has this control been put into practice?  Yes  Partially  No

Is this control reducing the risk as expected?  Yes  Partially  No

**Control A Progress — June 30, 2017** ▲ ← F

Has progress been made towards putting this control into place or reducing the risk?  
 Yes  No

**Update With Progress - June 30, 2017**

Provide an update for the progress made within the last six months.

If update with progress, must include:

- Events that occurred to advance the progress of the activity over the last six months
- Changes or challenges that may have occurred

If update without progress, must include:

- Reason(s) why progress wasn't made
- Events that occurred limiting or restricting progress

**Contact Person(s):** First and Last Name(s) ← G

Has this control been put into practice?  Yes  Partially  No } H

Is this control reducing the risk as expected?  Yes  Partially  No } H

Check the following box ONLY if management accepts this control in its current state because: (1) it is an ongoing activity, (2) resources are redirected or unavailable, or (3) it no longer mitigates this risk.  ← I

What activities and accomplishments are anticipated for the next six months?

Must include:

- Plans to further develop activities in the next six months

Next Milestone: Select Date ← K

See legend at next page.

## Implementation Plan Updates

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- A. **Implementation Plan Sections**— Sections of the plan to be completed.
- B. **Update Tabs**—areas that require an update. Each tab reflects the content entered into the SLAA report and only the areas requiring an update
  - a. **Ongoing Monitoring**—Ongoing Monitoring components that are not implemented and/or documented
    - i. Components that are implemented and documented will not populate the next plan
    - ii. Ongoing Monitoring tab will not populate the next plan when entity is fully compliant
  - b. **Risk(s)**—individual risks reported in the SLAA report with controls that are not put in place and/or operating as intended
    - i. Controls that are put into place and reducing the risk as expected will not populate the next plan
    - ii. Risks with all the controls (including new controls added during a plan period) put in place and reducing the risk as expected, or accepted controls, will not populate the next plan
- C. **SLAA Report Content**—carried forward from the SLAA report, and/or previous plans
- D. **Progress Question**—determines if an entity is required to provide the accomplishments toward implementation or the roadblocks constraining implementation
- E. **Update with Progress/Update without Progress**—text field to provide an update for the Ongoing Monitoring component or the control.
- F. **Update Collapse Arrow**—allows users to collapse an update's progress question and update to view other controls and updates if needed.
- G. **Contact Person(s)**—the person(s) assigned to oversee the implementation. This may be multiple people.
- H. **Update Status Questions**— determines the level of implementation based on the status selections. Statuses also determine if the next update is required for the component.  
See [Appendix](#) for status definitions.
  - a. Ongoing Monitoring
    - i. Is this process implemented?
    - ii. Is this process documented?
  - b. Controls
    - i. Has this control been put into practice?
    - ii. Is this control reducing the risk as expected?
- I. **Control Acceptance**—applies to controls only. Entities check the box next to the statement if management has determined to accept a control in its current state (partially or not implemented). When a control is accepted, it will not populate the next plan.
- J. **What's Next**—field to provide anticipated activities for the next six months.
- K. **Next Milestone**—anticipated date of the next completed step/accomplishment.

Continue to [Update with Progress / Update without Progress](#), page 15, to begin instructions for completing a plan.

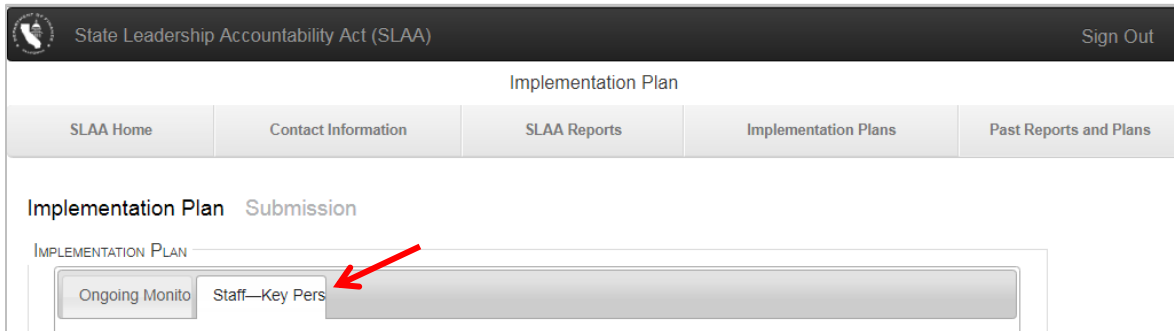
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## Update with Progress / Update without Progress

The instructions below can be followed for the Ongoing Monitoring component updates and the Control updates. The plan has been designed to ensure most of the functions, unless otherwise stated, are the same.

1. Select an update tab to work on.

**Note:** The web portal defaults to the Ongoing Monitoring tab.



2. Read the content provided from the previous report or plan. This content cannot be edited.

Staff—Key Person Dependence, Workforce Planning [Click here for the complete guide of SLAA Risks and Definitions](#)

**What is being affected?**  
Operations

**Where does the risk originate?**

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**Control A**

**Describe the control designed to help mitigate the risk.**  
This is an example of a control. SLAA views controls as a solution to a problem that is or may be occurring within an entity. For each risk, there are multiple solutions on how to mitigate a risk. For demonstration, this control will populate the Implementation Plan.

**Has this control been put into practice?**  
 Yes  Partially  No

**Is this control reducing the risk as expected?**  
 Yes  Partially  No

**Note:** Only the updates for the Ongoing Monitoring components or controls that are not implemented will appear in the plan.

*Example: If Control B is implemented in the previous report or plan, then Control A and Control C continue to populate the current plan.*

Continue on next page

3. Scroll down to the **Control A Progress—Plan Period** field.
  - a. Select **Yes** if progress was made towards implementing the control
  - b. Select **No** if progress was not made towards implementing this control

Control A Progress — June 30, 2017

Has progress been made towards putting this control into place or reducing the risk?

Yes  No

**Note:** The text field color and instructions will change based on the above selection.

- c. If Yes, text field remains blue
  - d. If No, text field changes to yellow—See [Ongoing Monitoring Example](#)
4. Read instructions provided above the text field and the required topics that appear within the text field.
  - a. The required topics will disappear once you begin typing in the text field.
5. Describe your entity’s update in the text field.
  - a. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
  - b. There is a character limit of **3,000** maximum, including spaces, for this text field. Text will stop once the character limit is met.

Update With Progress - June 30, 2017

Provide an update for the progress made within the last six months.

If update with progress, must include:

- Events that occurred to advance the progress of the activity over the last six months
- Changes or challenges that may have occurred

If update without progress, must include:

- Reason(s) why progress wasn't made
- Events that occurred limiting or restricting progress

Required Topics

6. Click **Save Progress** as needed to save the information you have entered as you continue through the plan.

**Note:** Information will be lost if you do not save progress before navigating away from the current update tab.

[Contact Person\(s\) and Update Status Questions](#) →



### Ongoing Monitoring Example— *Update Without Progress* Monitoring Activities

**Monitoring Activities**

Describe the process(es) used entity-wide to ensure the effectiveness of internal control systems.

This is a **demonstration** of the *formatting* in the text fields.

- This is a bulleted list

- Each item can be a bullet or a number.

This is an optional list feature including Roman Numerals, Letters, and Numbers.

IV. Options

<b>Is this process implemented?</b> <input type="radio"/> Yes <input type="radio"/> Partially <input checked="" type="radio"/> No	<b>Is this process documented?</b> <input type="radio"/> Yes <input type="radio"/> Partially <input checked="" type="radio"/> No
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**Monitoring Activities Progress — June 30, 2017** ▲

Has progress been made towards implementing or documenting this process?

Yes  No

**Update Without Progress - June 30, 2017**

Why hasn't any progress been made within the last six months?

If update with progress, must include:

- Events that occurred to advance the progress of the activity over the last six months
- Changes or challenges that may have occurred

If update without progress, must include:

- Reason(s) why progress wasn't made
- Events that occurred limiting or restricting progress

[Contact Person\(s\) and Update Status Questions](#) →

## Contact Person(s) and Update Status Questions

### Contact Person(s)

7. After completing the update text field, continue to the **Contact Person(s)** field.
8. Enter the first and last name(s) of the person(s) responsible for the update.
  - a. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
  - b. There is a character limit of **300** maximum, including spaces, for this text field. Text will stop once the character limit is met.

The screenshot shows a form with a text input field labeled 'Contact Person(s):' containing the text 'First and Last Name(s)'. Below the field are two questions with radio button options: 'Has this control been put into practice?' and 'Is this control reducing the risk as expected?'. Both questions have three options: 'Yes', 'Partially', and 'No', with 'No' selected in both.

**Note:** Contact Person(s) field must include first and last names, please do not include a Unit or team name.

### Update Status Questions

These questions determine the overall status of an update and determines if the update will appear on the next plan.

9. Read and answer the update question by selecting the appropriate Yes, Partially, or No radials based on the update. For definitions of each status, see [Appendix](#).

### Control Update Status Questions

The screenshot shows a form with a text input field labeled 'Contact Person(s):' containing the text 'First and Last Name(s)'. Below the field are two questions with radio button options: 'Has this control been put into practice?' and 'Is this control reducing the risk as expected?'. Both questions have three options: 'Yes', 'Partially', and 'No', with 'No' selected in both.

### Ongoing Monitoring

The screenshot shows a form with a text input field labeled 'Contact Person(s):' containing the text 'First and Last Name(s)'. Below the field are two questions with radio button options: 'Is this process implemented?' and 'Is this process documented?'. Both questions have three options: 'Yes', 'Partially', and 'No', with 'No' selected in both.

10. Click **Save Progress** as necessary to save the information you have entered.

Steps 11- 18, [What's Next and Next Milestone](#) →

Or

To Accept a Control, see [Control Acceptance](#)

To Add a Control, see [Adding a New Control](#)

## What's Next and Next Milestone

If **Yes** is selected for both Update Status Questions, the **What's Next** text field, **Next Milestone** field, do not need to be completed and will disappear from the update.

11. Read instructions provided above the text field and the required topics that appear within the text field.
  - a. The required topics will disappear once you begin typing in the text field.
12. Describe your entity's anticipated activities in the text field.
  - b. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
  - a. There is a character limit of **3,000** maximum, including spaces, for this text field. Text will stop once the character limit is met.

What activities and accomplishments are anticipated for the next six months?

Must include:

- Plans to further develop activities in the next six months

Next Milestone:

**Note:** Information will be lost if you do not save progress before navigating away from the SLAA report section.

13. Select the **Next Milestone** for control implementation by clicking in the blank text field, a drop down calendar will appear.
14. Click the arrows next to the month to find the appropriate month and year, then click the appropriate date.
15. The **Next Milestone** field will populate with the select date in an mm/dd/yyyy format.

Next Milestone:

March 2018

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Next Milestone:

16. Repeat Step 1 through Step 15 for all remaining updates beginning at [Update with Progress / Update without Progress](#).
17. Click **Save Progress** to save the information you have entered.
18. Proceed to the **Submission** section of the plan by clicking **Next** or by selecting the **Submission** section link at the top of the page.

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## Ongoing Monitoring Features

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Features specific to the Ongoing Monitoring update tab within the Implementation Plan section.

### Ongoing Monitoring Compliance

Ongoing Monitoring Compliance is determined by the selected status for implementation and documentation of each Ongoing Monitoring component, therefore the **Ongoing Monitoring Compliance status cannot be changed manually.**

#### Ongoing Monitoring Compliance

The Department of Demonstrations and Examples has not begun the process of implementing and documenting the ongoing monitoring processes as outlined in the monitoring requirements of Government Code section 13400-13407. These processes include reviews, evaluations, and improvements to the Department of Demonstrations and Examples internal control and monitoring systems.

Yes       Partially       No

**Note:** A plan is required if the Ongoing Monitoring Compliance status is **Partially** or **No**.

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## Control Features

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Features specific to the controls for each Risk update tab within the Implementation Plan section.

### Control Acceptance

This section is applicable to controls only. A control can be accepted in its current, not implemented, state if: (1) the control is an ongoing activity, (2) resources are redirected or unavailable, or (3) the control no longer mitigates the risk.

#### If a Control is not Accepted by Management

1. Read the statement for Control Acceptance, located under the control's update status questions.
2. Leave the box at the end of the statement **UNCHECKED**.
3. Continue to the What's Next and Next Milestone fields.

Has this control been put into practice?	<input type="radio"/> Yes	<input type="radio"/> Partially	<input checked="" type="radio"/> No
Is this control reducing the risk as expected?	<input type="radio"/> Yes	<input type="radio"/> Partially	<input checked="" type="radio"/> No
Check the following box ONLY if management accepts this control in its current state because: (1) it is an ongoing activity, (2) resources are redirected or unavailable, or (3) it no longer mitigates this risk.			

#### If a Control is Accepted by Management

1. Read the statement for Control Acceptance, located under the Control's update status questions.
2. **Check** the box at the end of the statement.

Has this control been put into practice?	<input type="radio"/> Yes	<input type="radio"/> Partially	<input checked="" type="radio"/> No
Is this control reducing the risk as expected?	<input type="radio"/> Yes	<input type="radio"/> Partially	<input checked="" type="radio"/> No
Check the following box ONLY if management accepts this control in its current state because: (1) it is an ongoing activity, (2) resources are redirected or unavailable, or (3) it no longer mitigates this risk.			

3. The following actions will occur:
  - a. What's Next and Next Milestone fields will be removed from the plan.
  - b. A statement stating the control has been accepted appears on the printed plan.
  - c. The accepted control will not carry forward to the next plan.
4. Click **Save Progress** as necessary to save the information you have entered.
5. Complete all remaining updates in the **Implementation Plan** section, including remaining update tabs.
6. Proceed to the **Submission** section of the plan by clicking **Next** or by selecting the **Submission** section link at the top of the page.

**Note:** Information will be lost if you do not save progress before navigating away from the Implementation Plan sections.

# Control Features

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## Adding a New Control

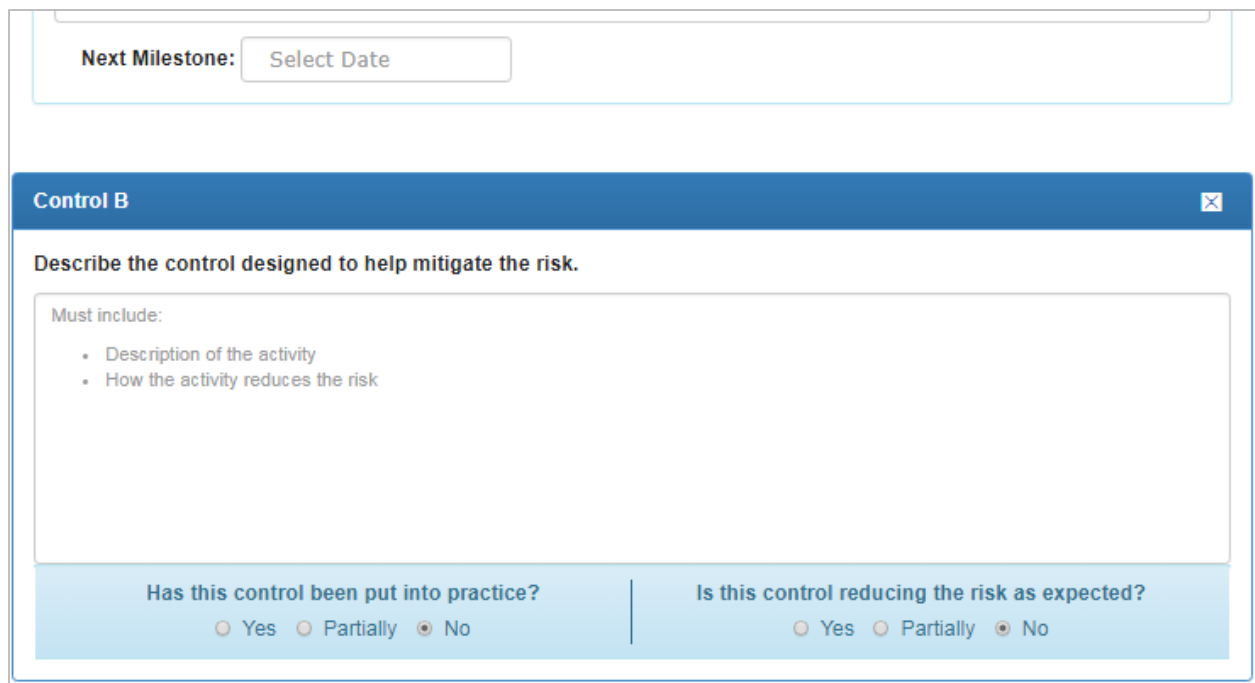
If your entity identifies a new control for the risks listed, you may add the control in your current plan.

1. Click **Add New Control** located below the Next Milestone field of the last update.



The screenshot shows a form with a 'Next Milestone' field containing a 'Select Date' dropdown. Below this field, a blue button labeled 'Add New Control' is circled in red. Further down, there is a 'Next >' button.

2. A new control text field will appear.



The screenshot shows a dialog box titled 'Control B' with a close button in the top right corner. The main heading is 'Describe the control designed to help mitigate the risk.' Below this, there is a text area with the instruction 'Must include:' followed by two bullet points: 'Description of the activity' and 'How the activity reduces the risk'. At the bottom of the dialog, there are two sections with radio button options: 'Has this control been put into practice?' with options 'Yes', 'Partially', and 'No' (selected); and 'Is this control reducing the risk as expected?' with options 'Yes', 'Partially', and 'No' (selected).

3. Read instructions provided above the text field and the required topics that appear within the text field.
  - a. The required topics will disappear once you begin typing in the text field.
4. Describe your entity's anticipated activities in the text field.
  - a. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.

*Continue on next page*



## Control Features

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- a. There is a character limit of **1,250** maximum, including spaces, for this text field. Text will stop once the character limit is met.

**Control B** [Close]

Describe the control designed to help mitigate the risk.

Must include:

- Description of the activity
- How the activity reduces the risk

5. Read the **Control Implementation Status questions**.
6. Select **Yes, Partially, or No** from the radials under each question. This selection should reflect the current status of the related control.  
*For definitions of each status, see [Appendix](#).*

Has this control been put into practice?  
 Yes  Partially  No

Is this control reducing the risk as expected?  
 Yes  Partially  No

7. Repeat Step 1 through Step 15 beginning at [Updates with Progress / Updates without Progress](#) for all remaining updates within the update tabs.
8. Click **Save Progress** to save the information you have entered.
9. Proceed to the **Submission** section of the plan by clicking **Next** or by selecting the **Submission** section link at the top of the page.

**Note:** Information will be lost if you do not save progress before navigating away from the Implementation Plan sections.

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## Submission

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The Submission section allows either the Agency Head or the Primary Contact to sign and submit your entity's current plan.

**Important:** Only the Agency Head and Primary Contact are authorized to sign and submit the plan.

## Submission

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Only the **Agency Head** and **Primary Contact** listed on the Contact Information page have authorization to sign the plan.

1. Review the plan to ensure all boxes have been filled out.
2. Make changes to the plan sections as necessary.
  - a. Edits to your entity's plan will not be allowed after you submit the report.
3. Once you have verified that your plan is complete, return to the **Submission** section.
4. Type your **Name** in the Signature field under **Signed By**.
  - b. Your typed name is your electronic signature.
  - c. Your title and the current date are automatically populated.

**Note:** *If you are the Primary Contact signing on behalf of the Agency Head, please sign your name as the signature block indicates you are signing for the Agency Head. The Agency Head's name will populate the final report.*

### Primary Contact Signature Block

"I understand my typed name in the Electronic Signature field constitutes a legally valid signature and I certify under penalty of perjury that our internal control and monitoring systems, including ongoing risk management, are adequate to identify and address material inadequacies or material weaknesses facing the organization."

**Signed By**

Signature For John Doe	<b>Deputy Director</b> Director	9/6/2017
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### Agency Head Signature Block

"I understand my typed name in the Electronic Signature field constitutes a legally valid signature and I certify under penalty of perjury that our internal control and monitoring systems, including ongoing risk management, are adequate to identify and address material inadequacies or material weaknesses facing the organization."

**Signed By**

Signature John Doe	<b>Director</b> Director	9/6/2017
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→ [Submit Report](#) [Save Progress](#) [Print Report](#) [Upload Cover Page](#)

5. Click **Submit Report**.
  - d. The Submit Report button will be unlocked only if you have authorization to sign.
6. A confirmation message will appear confirming the submission of your entity's SLAA report. Click **OK** to confirm the report submission.
7. You will receive a confirmation e-mail from the SLAA hotline verifying that you have submitted your entity's SLAA report.

# Appendix

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The Appendix of this guide provides more information for the statuses used within the SLAA web portal.

1. [Ongoing Monitoring Statuses](#)
2. [Ongoing Monitoring Compliance](#)
3. [Risks and Controls Statuses](#)
4. [Control Acceptance](#)

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### Ongoing Monitoring

Plans are required for each component that is not fully implemented and documented. Each component of Ongoing Monitoring requires two questions to be answered. The response for these two questions determines the implementation level for each component:

Has this process been implemented?

- Yes—the process is in place and working as intended.
- Partially—the process is working towards being put in place, but not there yet.
- No— the process is not in place, not working, or is being designed.

Has this process been documented?

- Yes—the process is fully documented.
- Partially— the process is working towards being documented, but not there yet.
- No— the process is not documented.

Is an update required for the next plan?

- If **Yes** is selected for both questions, then an update for the component is not required for the next plan.
- If **at least one** of the two questions is **Partially** or **No**, then an update for the component is required in the next plan.

### Ongoing Monitoring Compliance

The Ongoing Monitoring compliance status is determined by each components implementation and documentation status. This status cannot be overridden manually and will appear as a statement in the printed plans.

**Yes**—your entity has implemented and documented the ongoing monitoring processes that satisfy the requirements set by Government Code sections 13400-13407.

- Your entity is not required to submit a plan providing updates on your entity's progress with ongoing monitoring.

**Partially**—your entity is currently implementing and documenting the ongoing monitoring processes required by Government Code sections 13400-13407.

- Your entity is required to submit a plan providing updates on your entity's progress with each component of ongoing monitoring that is not fully implemented and/or documented until your entity is in full compliance with the requirements.

**No**— your entity has not begun implementing or documenting the ongoing monitoring processes as required by Government Code sections 13400-13407.

- Your entity may be designing an ongoing monitoring process which is not yet implemented.

- Your entity is required to submit a plan providing updates on your entity's progress with each component of ongoing monitoring that is not fully implemented and/or documented until your entity is in full compliance with the requirements.



### Risks and Controls

Each control requires two questions to be answered. The response for these two questions determines the implementation level for each control

Has this control been put into practice?

- Yes—the control is in place and working as intended.
- Partially—the control is working towards being put in place, but not there yet.
- No— the control is not in place, not working, or is being designed.

Is this control reducing the risk as expected?

- Yes—the control is reducing the risk as expected.
- Partially— the control is working towards reducing the risk, but not at the level expected yet.
- No— the process is not reducing the risk as expected.

Is an update required for the next Implementation Plan?

- If **Yes** is selected for both questions, then an update for the control is not required in the next plan.
- If **at least one** of the two questions is **Partially** or **No**, then an update for the control is required in the next plan.

### Control Acceptance

The statements are designed to help entities acknowledge if their control falls within the accepted tolerance to allow entities to no longer report on the control.

Control Acceptance—only appears in the Implementation Plan. A control can be accepted by checking the box provided next to the statement.

**Unchecked Box**—your management determined that the control is actively being implemented and future updates will be provided.

- Your entity **is required** to provide an update for the control in the next plan.

**Checked Box**—your management has determined that the control is acceptable in its current state due to at least one of the following reasons and **is not required** to submit an update for the accepted control on the next plan:

- (1) It is an ongoing activity—due to the nature of the risk, the controls will never be fully implemented.
- (2) Resources are redirected or unavailable—due to various reasons, resources are not available to continue implementing this control.
- (3) It no longer mitigates the risk—the control is no longer effective.