STATE LEADERSHIP ACCOUNTABILITY ACT
(SLAA)

WEB PORTAL GUIDE TO SLAA REPORTING

California Department of Finance

Updated October 2017

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Introduction

The California Department of Finance, Office of State Audits and Evaluations developed this State Leadership Accountability Act (SLAA) Web Portal User Guide (Guide). This Guide provides detailed instructions to aid in the entry of SLAA report and web portal use. This Guide is organized by the sections within the SLAA Report (report), which correspond with initial report access, major features, and completing the section of the report. 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 Implementation Plan, please see Web Portal Guide to Implementation Plans.

For instructions on any of the following areas, please see 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
- Save progress and leaving the SLAA Report and Implementation Plans
- Printing and saving a copy of a SLAA Report and Implementation Plans
- Uploading and deleting a cover page

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SLAA Reports

The SLAA web portal is designed to create a standardized way for every state entity to fulfill the reporting requirements. Your entity's SLAA report is required to be submitted by December 31, every odd-numbered year.

Each section's required fields must be completed before your entity's SLAA report can be submitted. The SLAA report consists of five different sections:

1. Introduction and Background
2. Ongoing Monitoring
3. Risk Assessment Process
4. Risks and Controls
5. Submission

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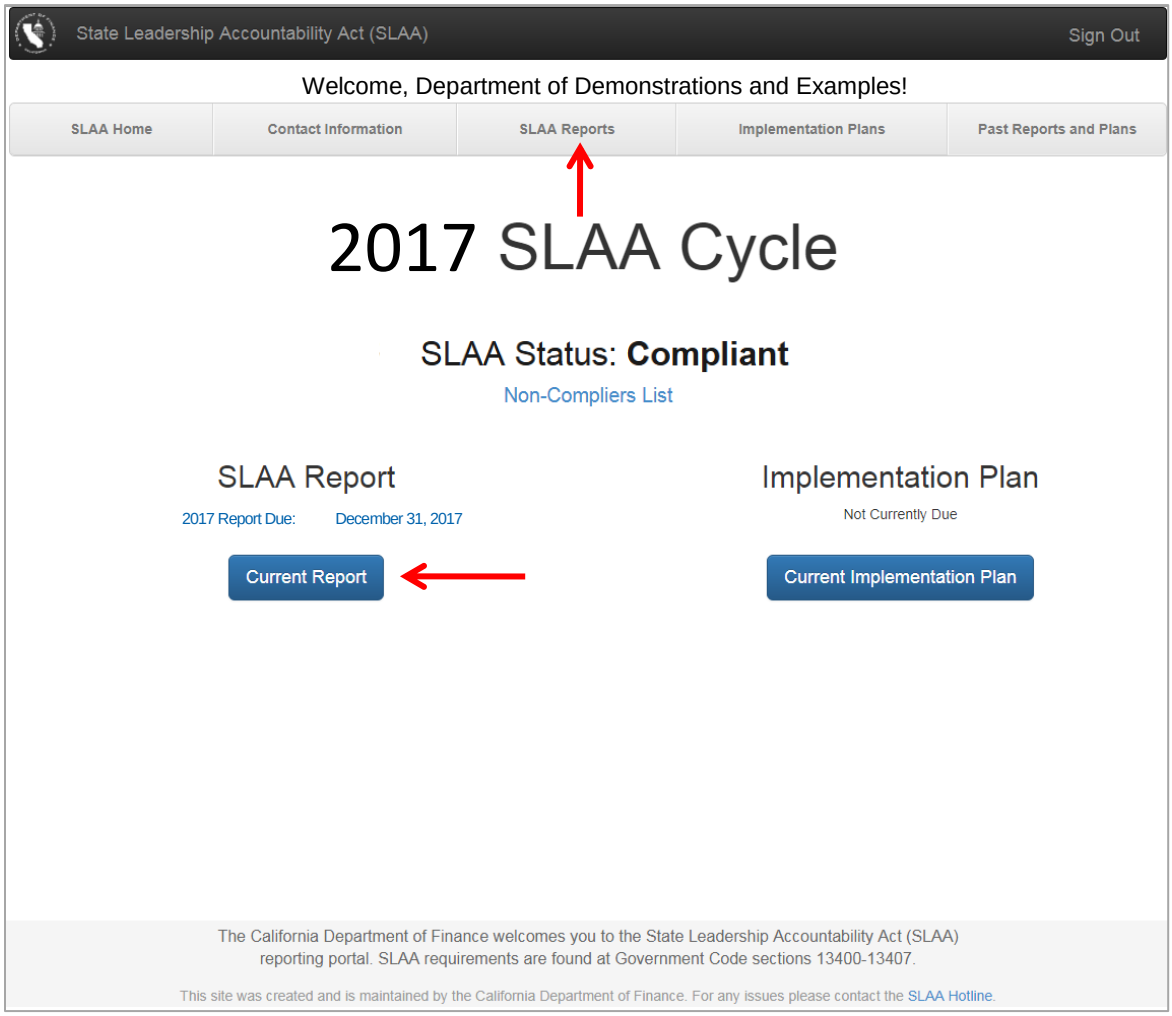
Access to SLAA Reports

1. Go to SLAA.dof.ca.gov and sign into the SLAA web portal.
2. Click **SLAA Reports** *or* **Current SLAA Report.**
    a. Either button will direct you to the Introduction page of the SLAA report.



Note: *You can view a submitted report, but you cannot make changes to a submitted report.*

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Introduction and Background

The SLAA web portal has included introductory language that will appear on the final report. This language cannot be changed or deleted. The entity's name is populated to identify the reporting entity.

Entities must complete the following component for this section:

- Background—describe your entity.

  The topics below must be included in the background description
  - All entities under your reporting responsibility*
  - Mission and goals
  - Strategic initiatives
  - Core values and principles

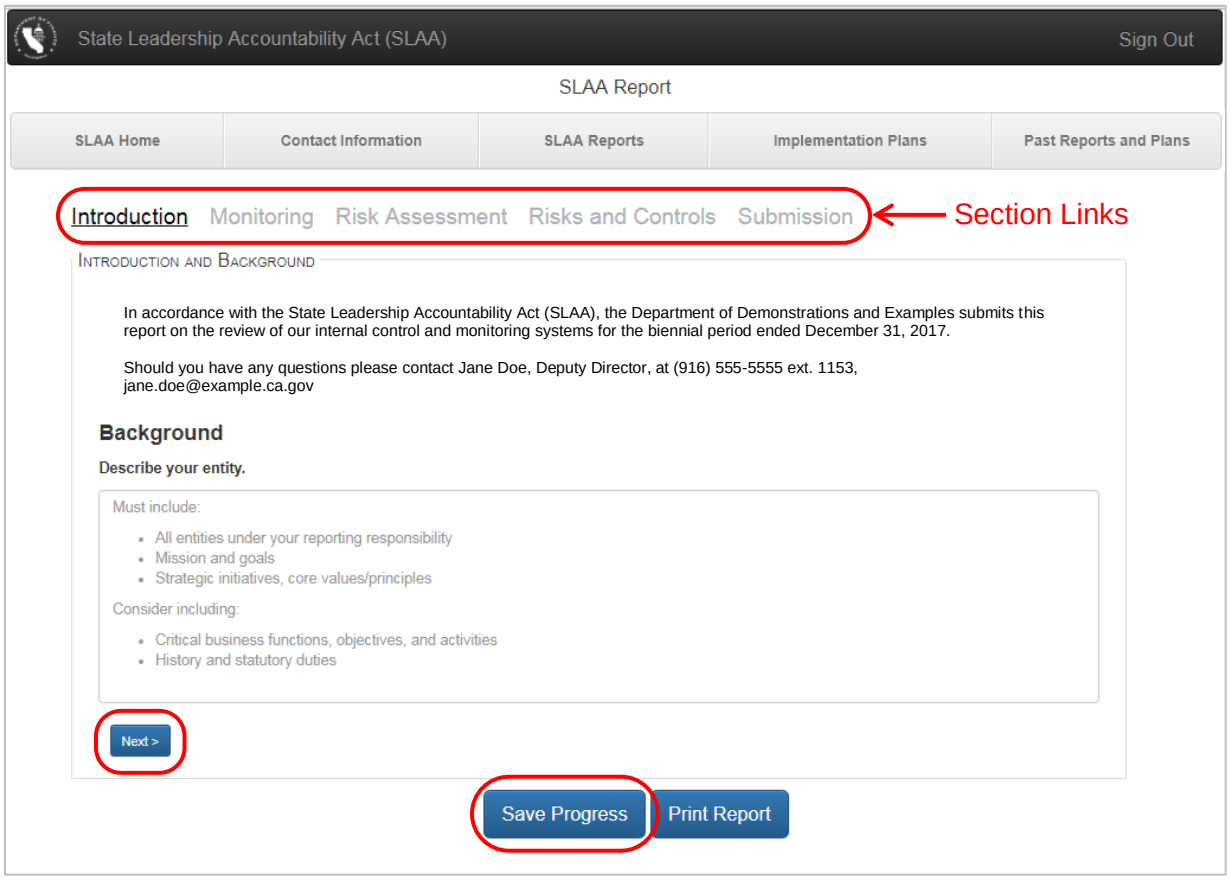
  The topics below should be considered.
  - Critical business functions, objectives, and activities
  - The history and duties of your entity

*If an entity reports for multiple entities on the same report, each entity must be included in the background section of the report. The Agency Head has been notified of this reporting requirement.

Important: The Background component listed above, in addition to the introductory language, will appear in the final report.

Introduction

1. Read the provided language.
    a. This language is standard and cannot be edited.
    b. This language will appear on the printed version of your entity's SLAA report.
2. 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.
3. Describe your entity's background in the text field.
    a. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
    b. There is a 25,000 maximum character limit, including spacing, for this text field. Text will stop once the character limit is met.



4. Click **Save Progress** to save the information you have entered.
5. Click **Next** to proceed to the next section of the SLAA report.

    Or

    Proceed to a different section within the SLAA report by selecting the corresponding page link.

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

Ongoing Monitoring

Ongoing Monitoring is an entity wide continuous process to ensure internal control systems are working as intended. Monitoring is not limited to the reported risks and controls identified in a SLAA report.

As of 2015, Ongoing Monitoring is required to be reported in the biennial SLAA reports.

Entities must complete the following components for this section:

- Executive Monitoring Sponsor(s)—list the person(s) identified within your entity as the Executive Monitoring Sponsor.[1]
- Monitoring Activities—describe the process to ensure the effectiveness of internal control systems.
- Addressing Vulnerabilities— describe the process to respond to vulnerabilities as they are identified.
- Communication— describe the process for communicating ongoing monitoring roles, responsibilities, and results throughout the entity.

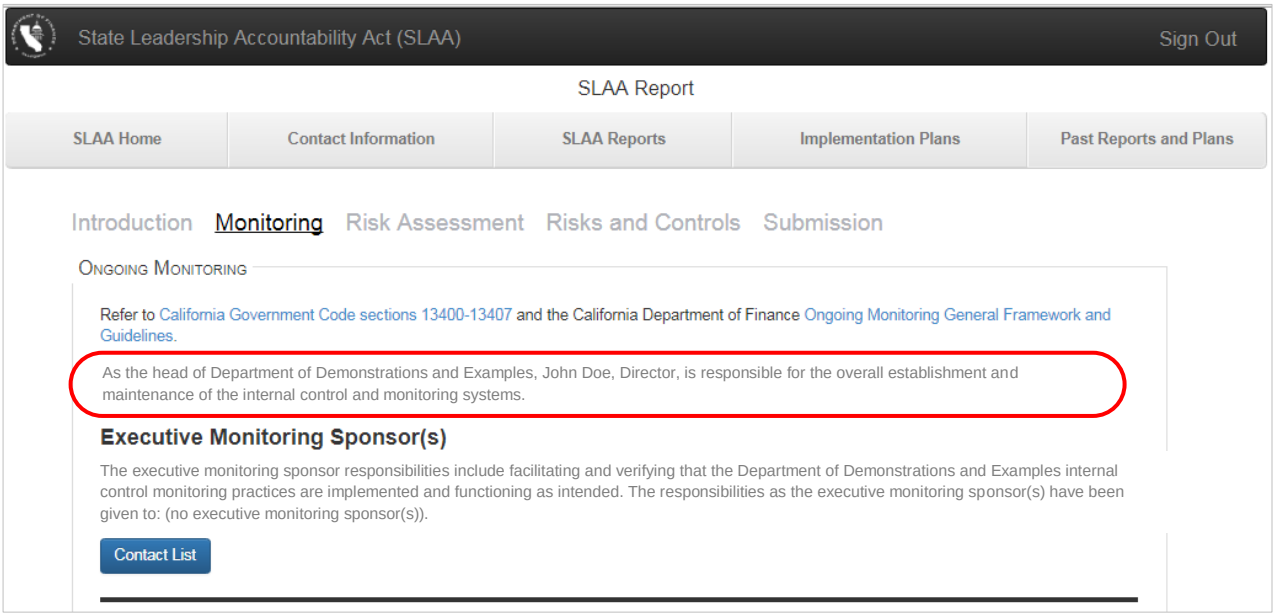
Important: All of the components of the Ongoing Monitoring section listed above, in addition to the Agency Head statement of responsibilities for the internal control and monitoring systems, will appear in the final report.

[1] Refer to the California Department of Finance Ongoing Monitoring General Framework and Guidelines for more information about the role of Executive Monitoring Sponsor(s).

Ongoing Monitoring

Refer to the California Government Code sections 13400-13407 and the California Department of Finance [Ongoing Monitoring General Framework and Guidelines] for Ongoing Monitoring information.

1. Read the Agency Head's Roles and Responsibilities statement for Ongoing Monitoring
    a. The Agency Head will populate only if there is an Agency Head named on the Contact Information page.
    b. If names are not populated in this section, see the Contact Information Section in the Guide to Navigating the SLAA Web Portal or contact the SLAAhotline@dof.ca.gov.

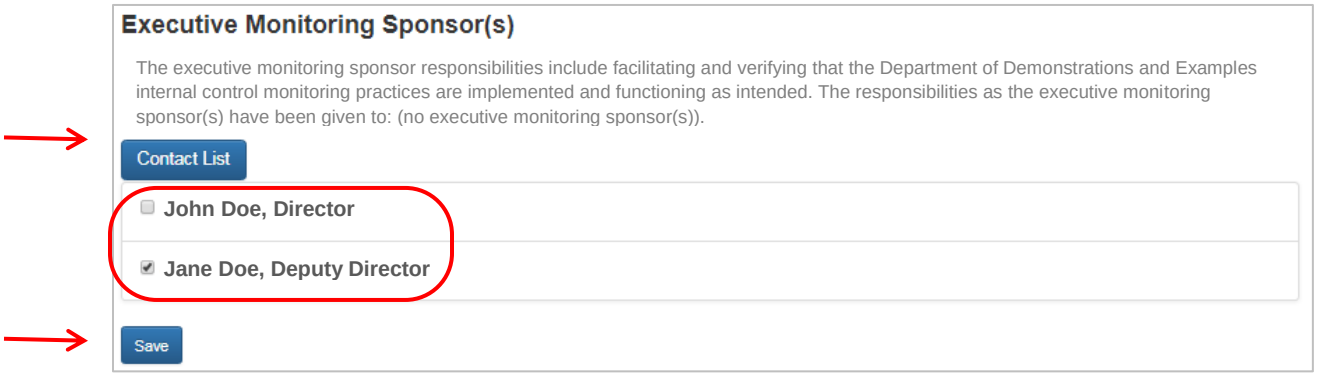


Executive Monitoring Sponsor(s) →

Executive Monitoring Sponsor(s)

Select a minimum of one Executive Monitoring Sponsor by completing the following steps.

1. Click **Contact List**, a menu will populate with all the contacts listed in the Contact Information page.
2. Check the box next to the name(s) of your entity's Executive Monitoring Sponsor(s).
3. Click **Save** to populate the checked names in the Executive Monitoring Sponsor(s) statement.



Note: *The Executive Monitoring Sponsor must be listed in the Contact Information page. If your entity's Executive Monitoring Sponsor's name does not appear in the populated list, please follow the steps below.*

1. *Save Progress for the SLAA report.*
2. *Contact your entity's SLAA Administrator, Primary Contact, or Agency Head to add the Executive Monitoring Sponsor contact into the SLAA web portal.*
3. *When the new contact is successfully added, go back to the SLAA Report tab, and click the Ongoing Monitoring Section link.*
4. *Click Contact List under the Executive Monitoring Sponsor(s) component to verify the contact's name populated the list.*
5. *If applicable, check the box next to the new contacts name to add them to the Executive Monitoring Sponsor(s) statement.*

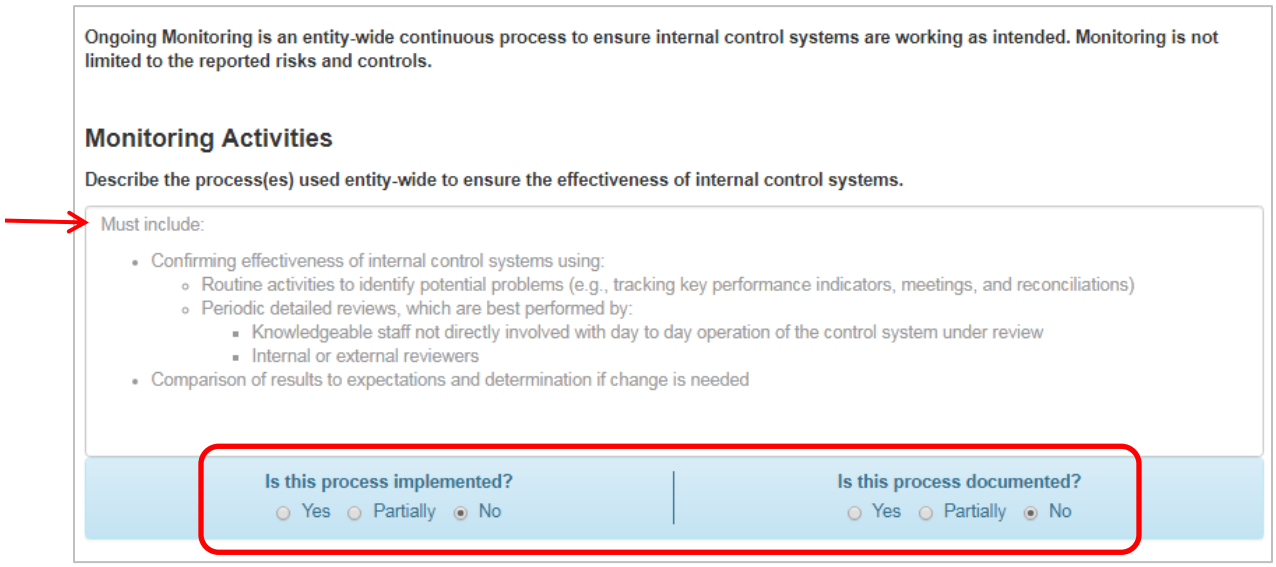
SLAA Administrator, Primary Contact, or Agency Head:

To add a new contact, leave the SLAA report by clicking the ***Contact Information*** *tab and add the new contact by following the instructions to add a new contact or additional resource in the Guide to Navigating the SLAA Web Portal.*

a. *You can select the new contact as an Executive Monitoring Sponsor by checking the applicable box provided on the form or wait to check the box in the Ongoing Monitoring SLAA reporting section.*

Ongoing Monitoring Components

1. Scroll down to the following three ongoing monitoring component text fields: **Monitoring Activities**, **Addressing Vulnerabilities**, and **Communication**.
2. Read instructions provided for each of the text fields.
3. Read the required topics to cover in each text field for each text field.
    a. The required topics will disappear once you begin typing in the text field.
4. Describe your entity-wide process that relates to the applicable monitoring component in the text fields provided.
    b. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
    a. There is a character limit of 5,000 maximum, including spaces, for this text field. Text will stop once the character limit is met.



Note: *See next page for an example of the Addressing Vulnerabilities and Communication text fields.*

5. Determine if each process has been implemented and documented by selecting Yes, Partially, or No for each question.
    c. If the process is partially or not implemented and/or documented, an Implementation Plan (plan) is required for this component.
    d. The selection for these questions will aid in determining your entity's overall Ongoing Monitoring Compliance.
        i. See Ongoing Monitoring Compliance, page 18, for more details.

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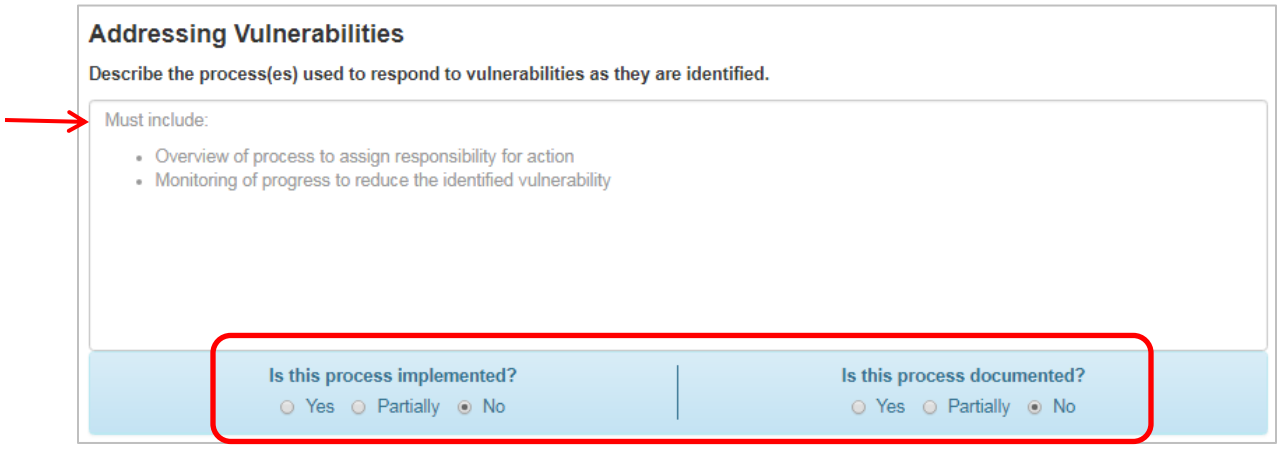
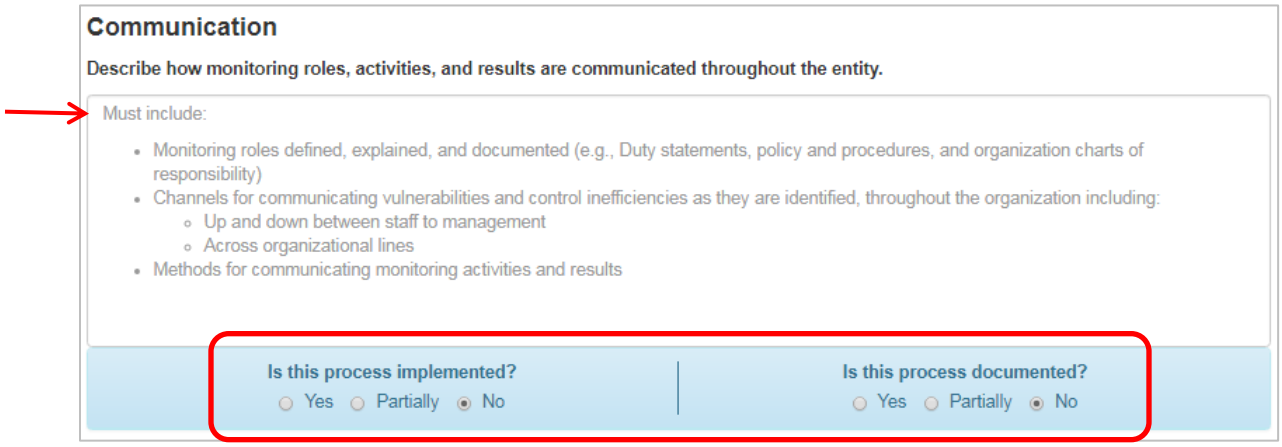
Addressing Vulnerabilities Component



Communication Component



6. Click **Save Progress** to save the information you have entered.
7. Continue to Ongoing Monitoring Compliance to view your entities compliance status determined by the selected statuses for implementing and documenting each monitoring process.
8. Click **Next** to proceed to the next section of the SLAA report.

   Or

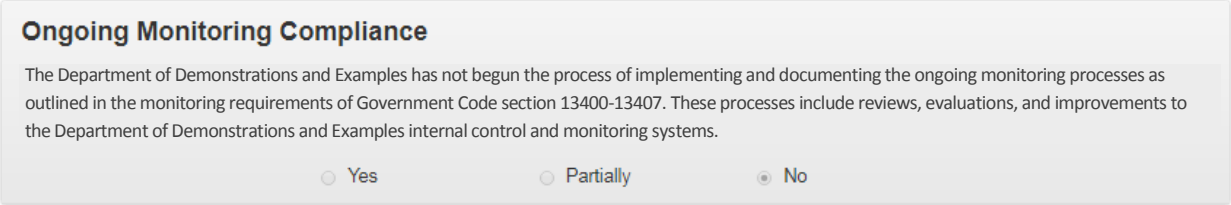
   Proceed to a different section within the SLAA report by selecting the corresponding page link.

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

Ongoing Monitoring Compliance →

Ongoing Monitoring Compliance

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



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

Risk Assessment Process

The Risk Assessment Process section of the report is to provide a description of the processes for identifying the risks that may affect an entity's ability to meet its mission, goals, and objectives.

Entities must complete the following components for this section:

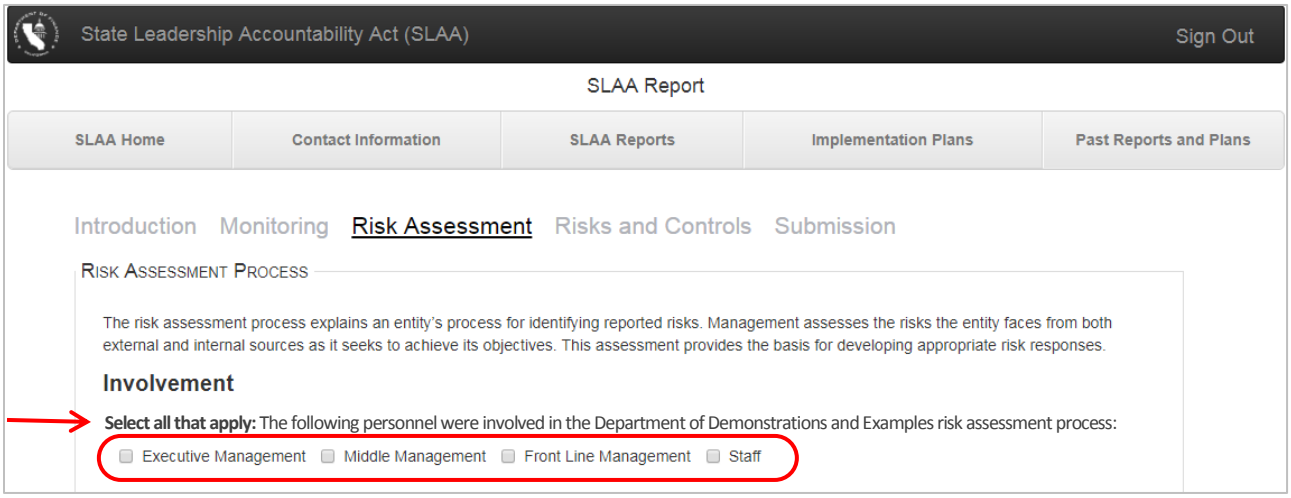
- Involvement—select the levels of personnel involved in your entity's Risk Assessment Process
- Risk Identification—describe the process for identifying risks.
- Risk Ranking—describe the process for ranking the identified risks.

Important: All of the components of the Risk Assessment Process section listed above will appear in the final report.

Risk Assessment Process

1. Read the risk assessment process introduction statement.
2. Continue to the Involvement component; read the related statement.
3. Determine the levels of personnel that were involved the risk assessment process within your entity by checking the boxes next to the personnel level that applies.
    a. At least one box must be checked to submit the SLAA report.

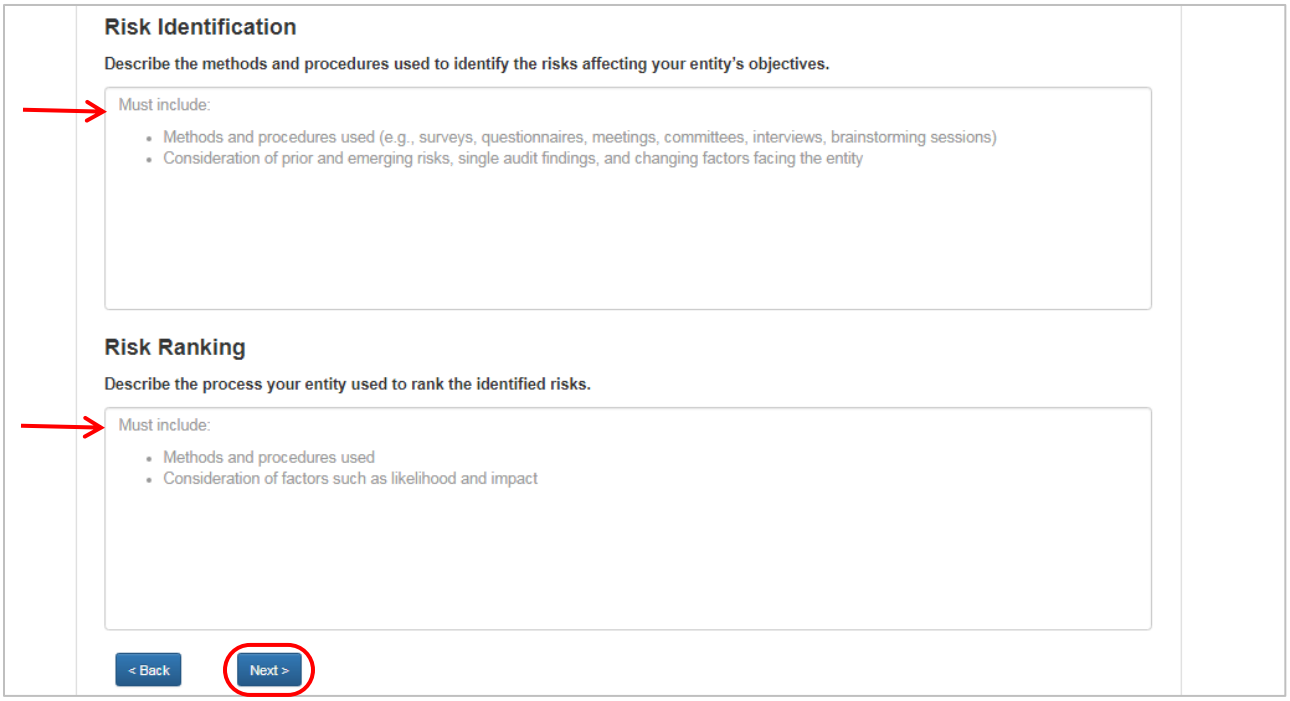
Note: *The involvement statement, including the levels of personnel involved will populate in the PDF version of the SLAA report.*



4. Continue to the next two components required to be completed: Risk Identification and Risk Ranking.
5. Read instructions provided above each text field and the required topics that appear within each text field.
    a. The required topics will disappear once you begin typing in the text field.
6. Describe your entity's risk identification and risk ranking processes in the applicable text fields.
    a. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
    b. There is a character limit of 4,500 maximum, including spaces, for this text field. Text will stop once the character limit is met.

Note: *See examples of Risk Identification and Risk Ranking text fields on the following page.*

Continue on next page



7. Click **Save Progress** at the bottom of the screen to save the information you have entered.
8. Click **Next** to proceed to the next section of the SLAA report.

   Or

   Proceed to a different section within the SLAA report by selecting the corresponding page link.

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

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Risks and Controls

The Risks and Controls section of the SLAA report allows up to 30 risks with up to 10 controls per risk to be reported.

SLAA has been developed three drop down selections that are based off standardized, common language when identifying the type of risk an entity faces. The three drop down selections are:

- Risk categories—follows current internal control standards.
- Risk subcategories—allows entities to identify the source of the risk as derived internally or externally.
- Risk factors—provides entities a broad list of factors that helps define the risk.

The risk factor drop down menu adjusts based on the previous selections made. See the SLAA Risk Catalog for the full list of definitions and examples for risk categories, risk subcategories, and risk factors.

Entities must complete the following components of this section:

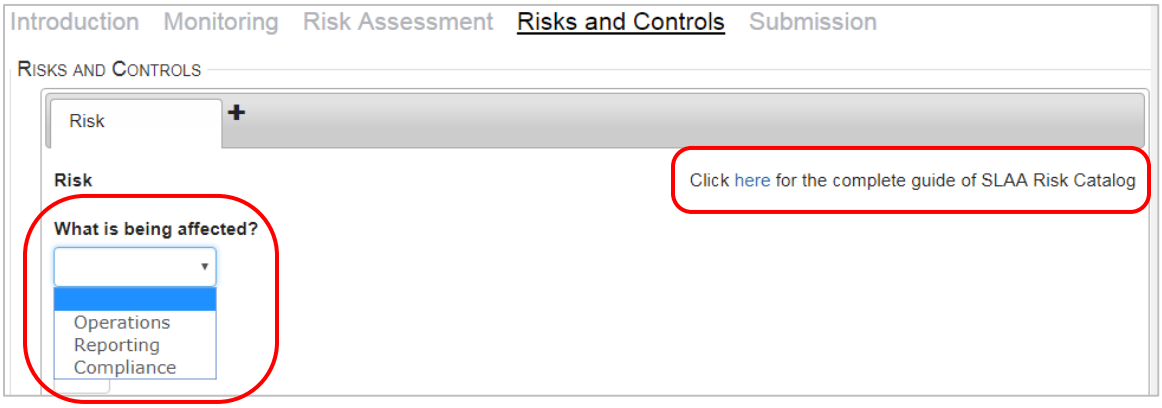
- Risk Description—includes the three risk drop down selections and a description of how the risk affects the entity in a risk statement format.
- This Risk Was Identified Through—identify the method used to identify the risk.
- Control Description—describe the activity designed to help mitigate the risk.
- Control Implementation Questions—identify if the control is put into practice and working as intended. *For more information, see* Appendix.
- Risk Acceptance Statement—allows entities to accept a risk with partial or not implemented controls, per management.

Important: The components of the Risk and Controls section listed above, with the exception of: (1) This Risk Was Identified Through, (2) Control Implementation Questions, and (3) the Risk Acceptance Statement, will appear in the final report.

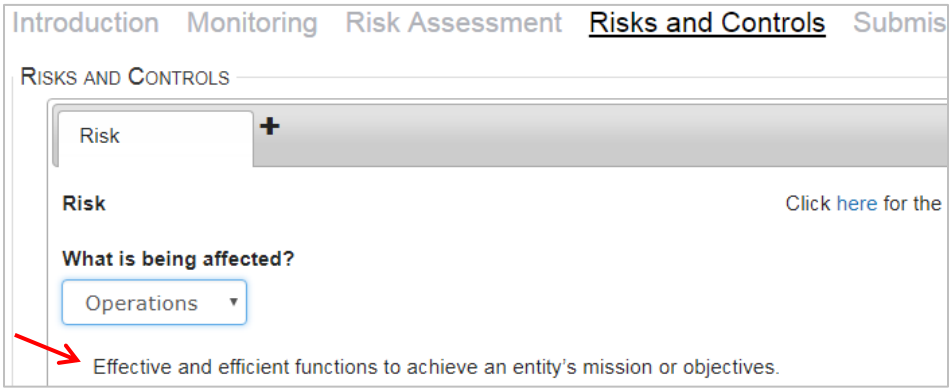
Risks

The risk subcategory and the risk factor drop down menus change based on the previous drop down menu selection. See the [SLAA Risk Catalog]() document for a complete list of risk categories, subcategories, and factors.

1. The Risks and Control section will automatically provide a blank form for the first risk.
2. Select the Risk Category from the first drop down menu labeled "What is being affected?"



3. A definition will appear for the Risk Category Selected.
    a. If the Risk Category selected is not what you intended after reading the definition, select a different Risk Category.
    b. The link in the upper right hand side can direct you to the complete guide of SLAA Risks Catalog. *See above screenshot*.



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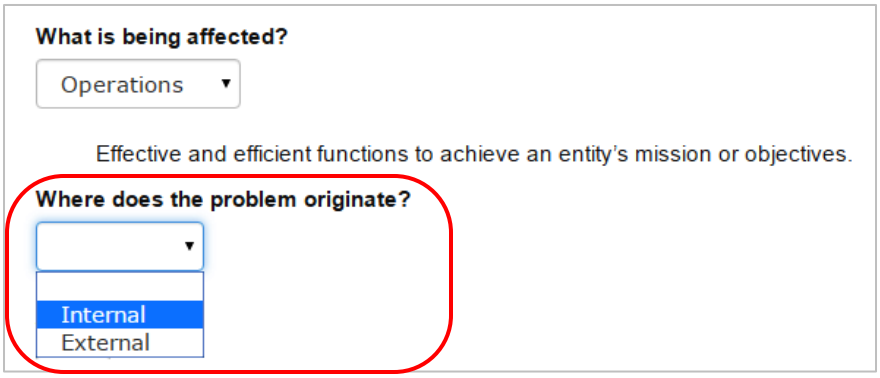
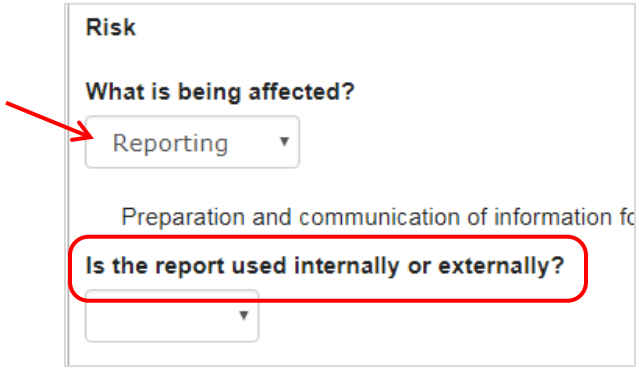
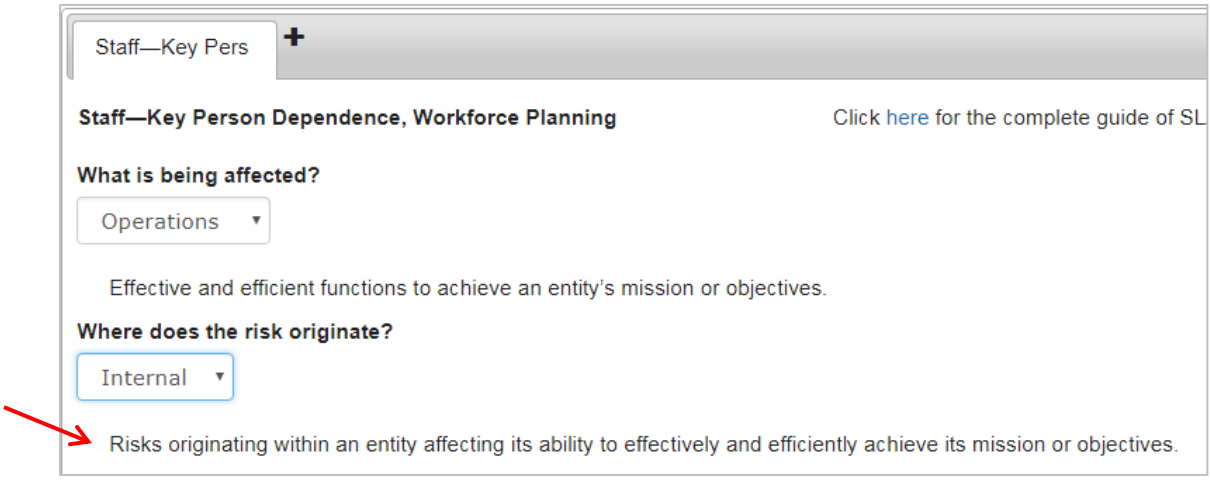
4. Move to the second drop down menu and select the risk subcategory labeled “Where does the problem originate?”



Note: *If the Risk Category selected is Reporting, the drop down menu will be labeled as “Is the report used internally or externally?”*



5. A definition will appear for the Risk Subcategory Selected.
   a. If the Risk Subcategory selected is not what you intended after reading the definition, select a different Risk Subcategory.



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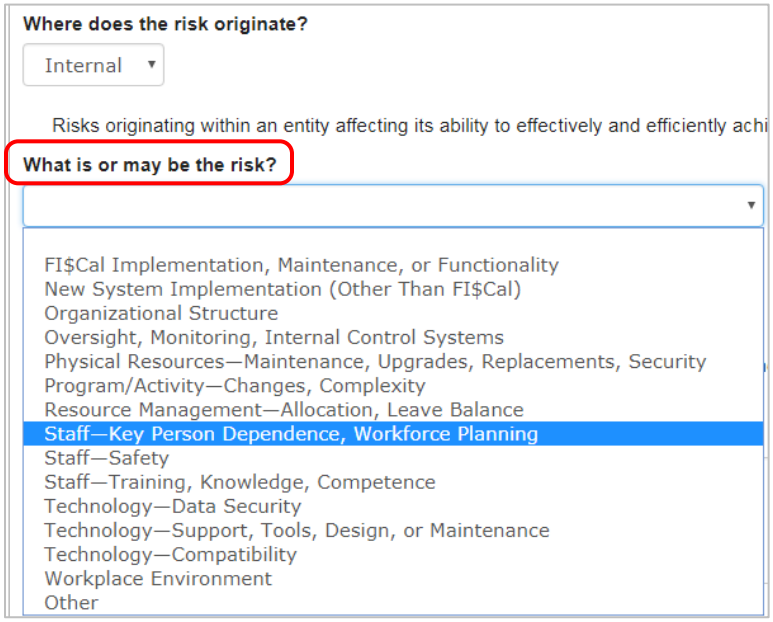
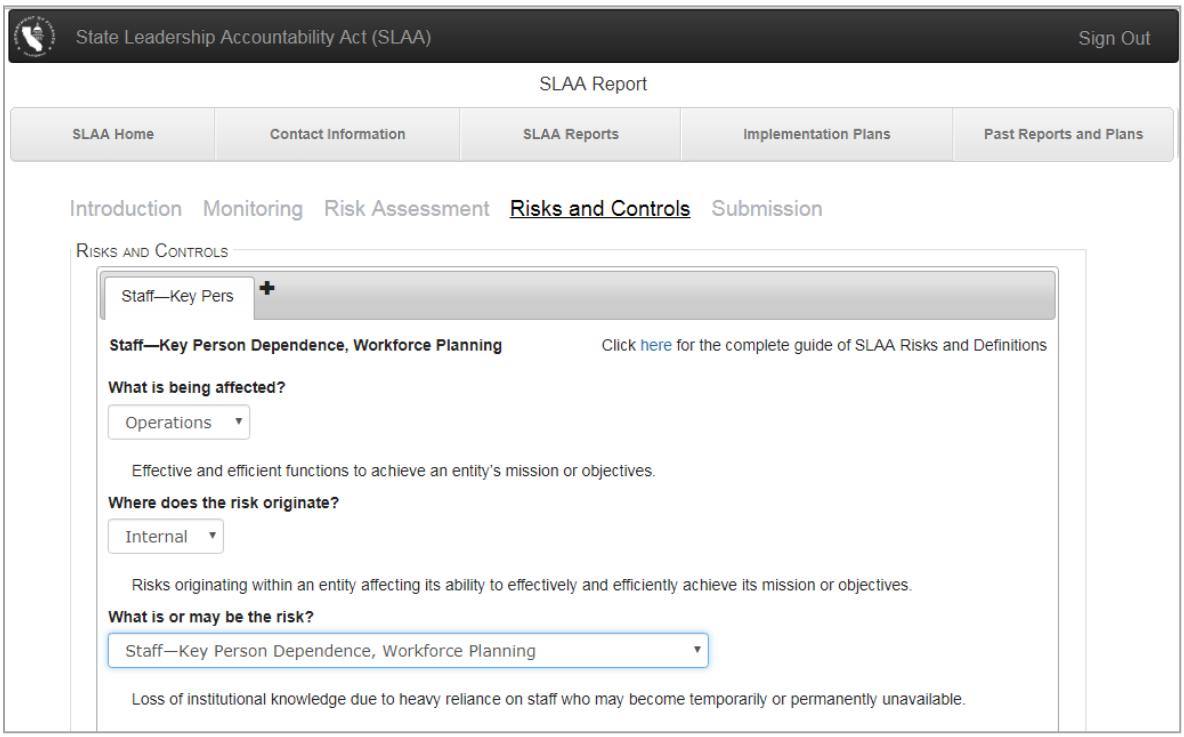
6. Select the risk factor from the third drop down menu labeled "What is or may be the risk?" *See* Selecting Other-Risk Factor, *page 29, if your entity's risk factor is not listed.*

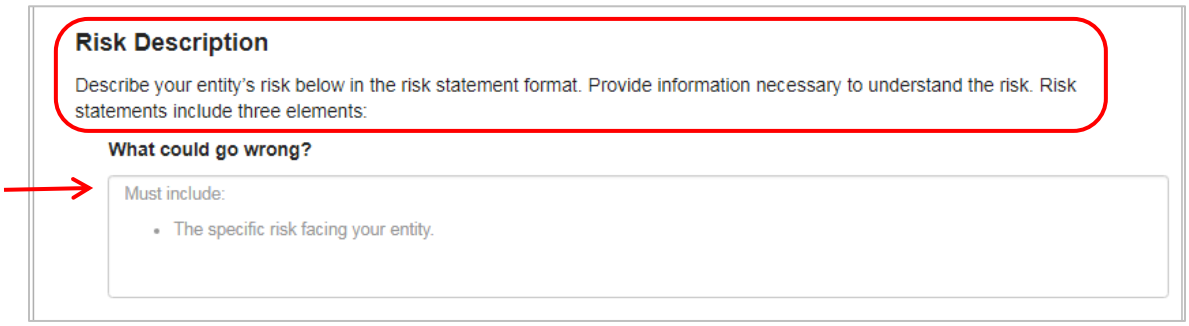


A completed view of the risk selections with definitions is shown here.



7. Read instructions provided for the **Risk Description** component and the suggested topics that appear within each text field.
    a. The suggested topics will disappear once you begin typing in the text field.

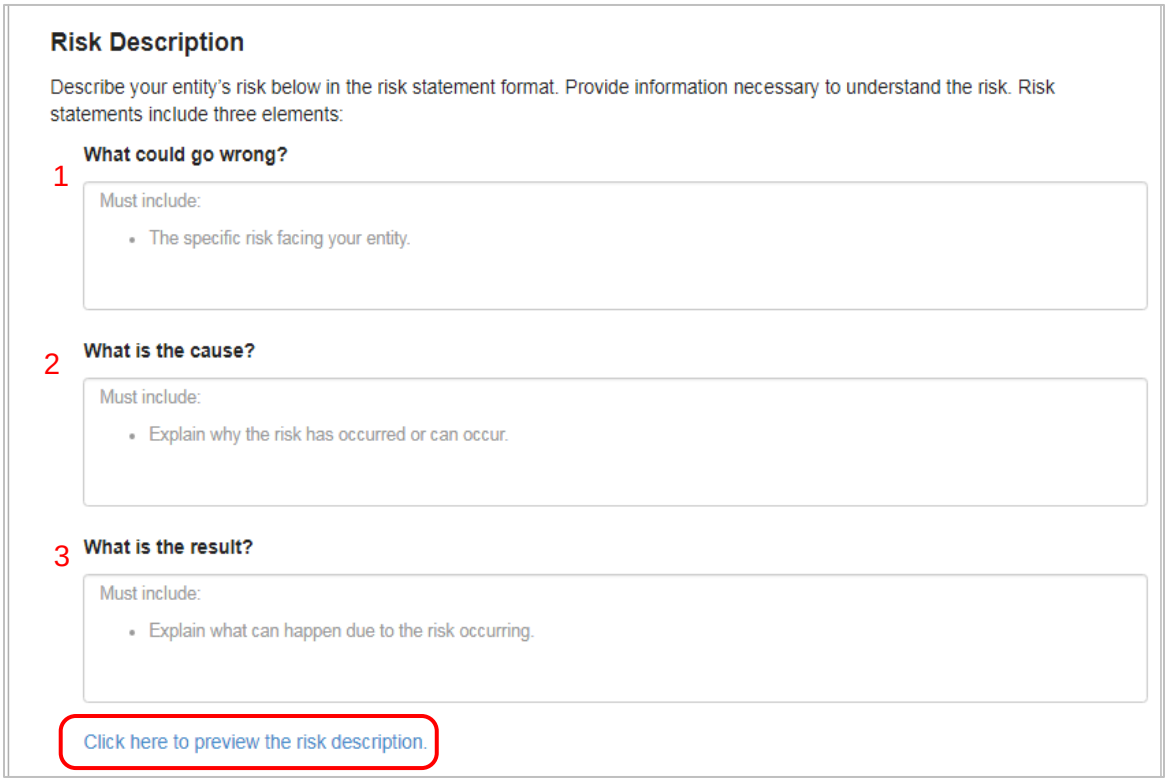
8. Describe your entity's risk using the format provided by the three text fields; What could go wrong?, What is the cause?, and What is the result?.
    a. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
    c. There is a character limit of 2,500 maximum, including spaces, for this text field. Text will stop once the character limit is met.



9. Click the link below the text fields to review how the risk will read in the final report. Adjust the language used for the risk description as needed.

Important: Space between paragraphs will be exaggerated in the preview.

A complete view of the risk description text fields and the preview link is shown here.



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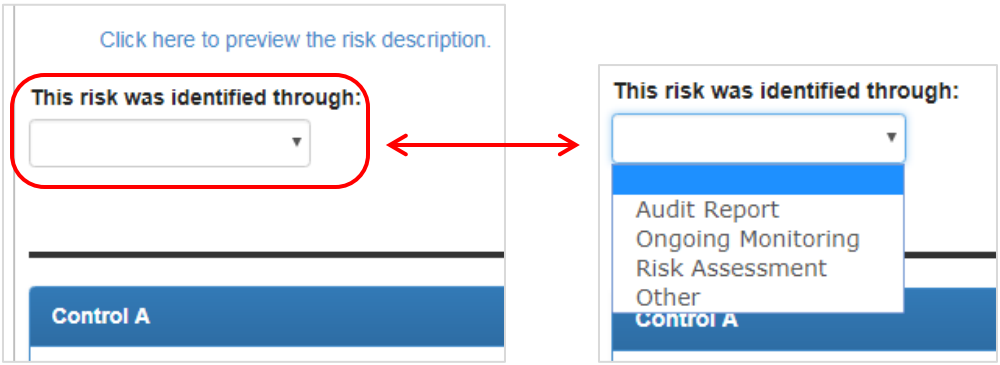
This Risk Was Identified Through...

10. Select how your entity's risk was identified from the "**This risk was identified through:** drop down menu.



See Selecting Other - This Risk Was Identified Through..., page 29, if your entity's risk identification method is not listed.

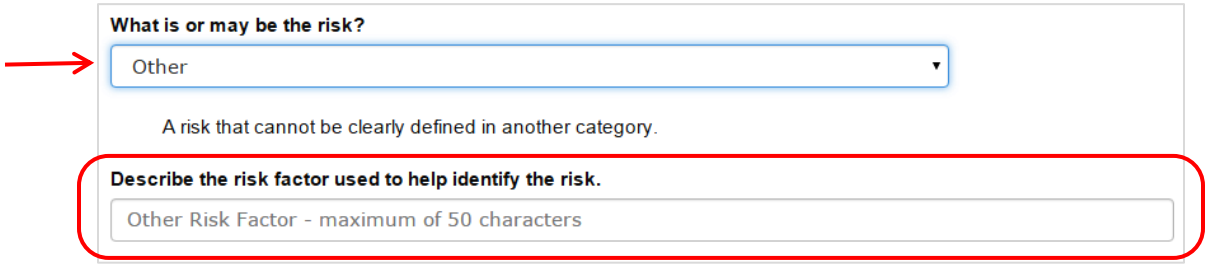
Continue to the Controls component

Selecting Other

Risk Factor

Other may be used if your entity has risk that is not listed in the populated drop down menu.

1. Select **Other** from the **Risk Factor** drop down menu.
2. A text field will appear under the drop down menu.
3. Give a brief descriptive label for your entity's risk.

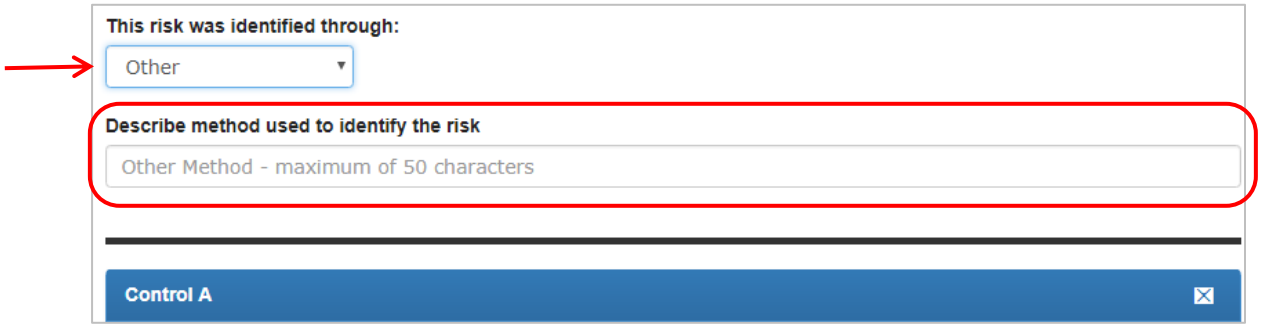


4. Return to Step 8, page 27, under Risks for the next steps to completing the Risks and Controls Section.

This Risk Was Identified Through...

Other may be used if your entity's risk was identified through a method not listed in the populated drop down menu.

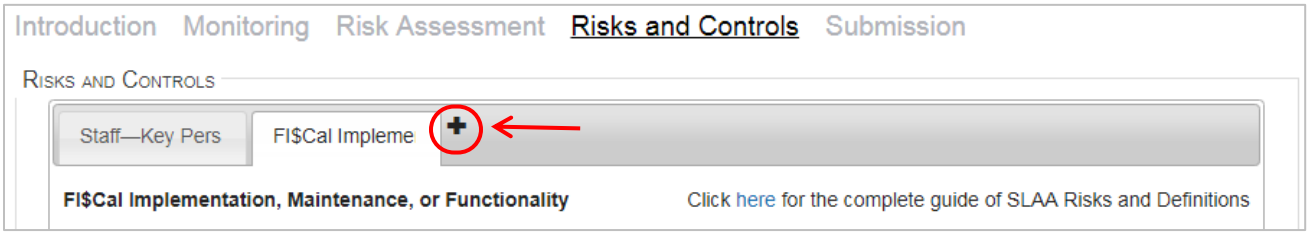
1. Select **Other** from the **This Risk Was Identified Through** drop down menu.
2. A text field will appear under the drop down menu.
3. Give a brief descriptive label for your entity's method of identifying the current risk.



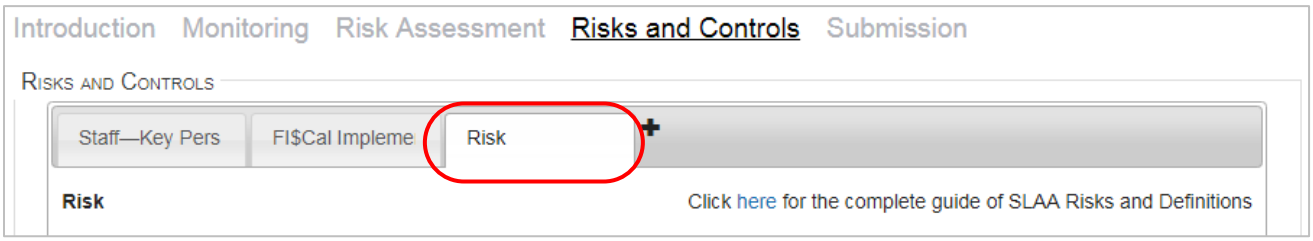
4. Continue to the Controls component to continue completing the Risks and Controls section.

Add New Risk

1. Click the **+** next to the risk tabs at the top of the Risks and Controls section.



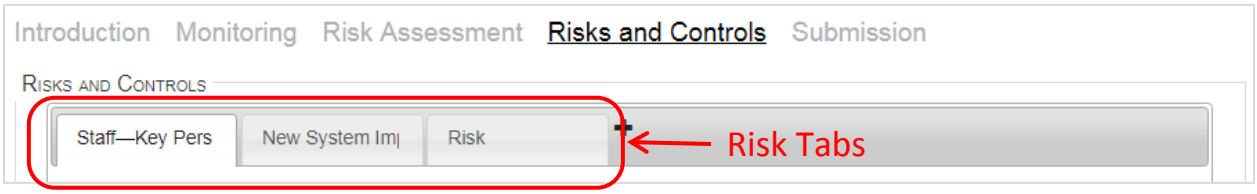
2. A blank risk tab labeled **Risk** will populate.



3. Repeat Steps 2-10, starting on page 24, under Risks, for each risk added.

Arranging Risks

The order the risks appear in the final report can be rearranged by using a drag and drop method.



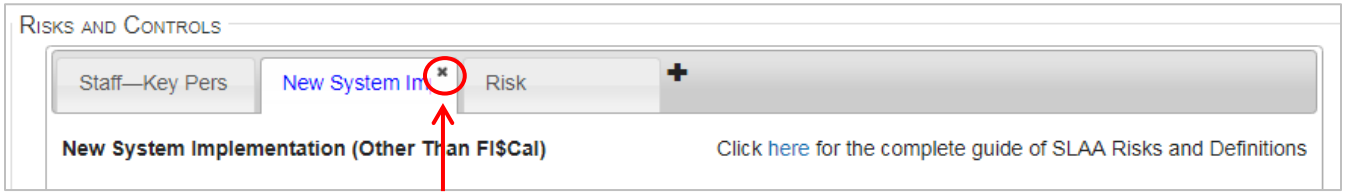
1. Click and hold the risk tab to be moved.
2. Drag the risk tab to the desired location for the order of risks in the final report.
3. Drop, or release, the risk tab.
4. The risk tab will appear in the location it was released.
   Note: The order the risk tabs appear in the SLAA web portal is the order the risks appear in the final report.

Note: *The order the risks appear in the SLAA Web portal is the order the risks will be printed on the final report. Click* ***Save Progress*** *before continuing to a new section to ensure the risk order does not shift.*

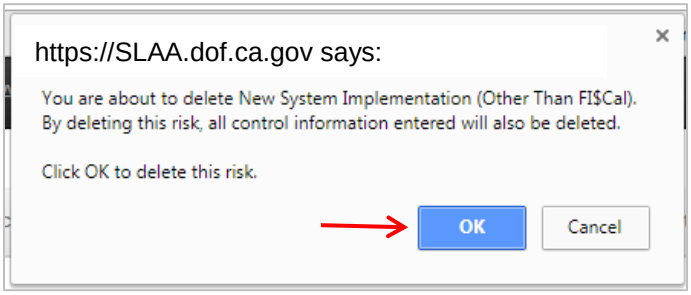
Delete Risk →

Delete Risk

1. Click the **X** by hovering cursor over the upper right hand side of the risk tab you wish to delete.



2. A message will appear confirming that you wish to delete the risk.

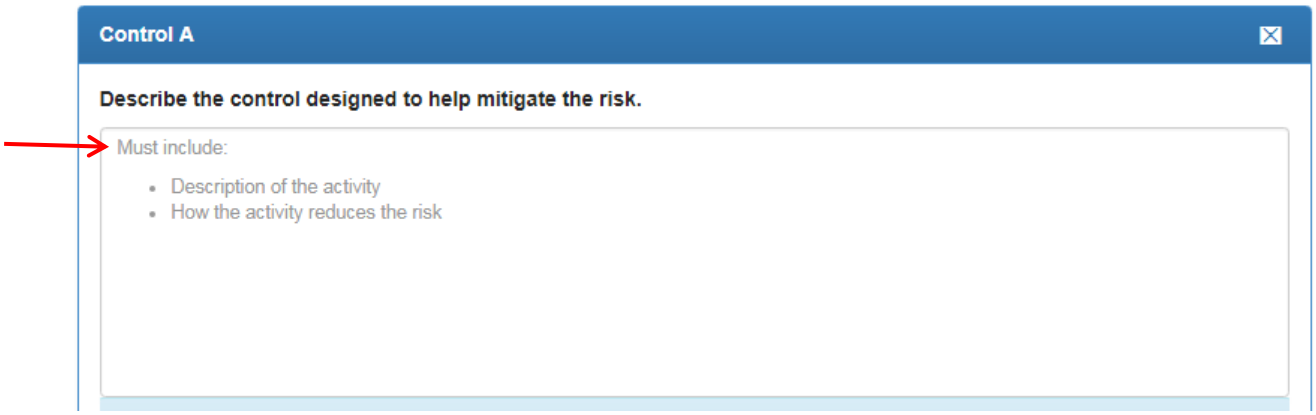


3. Click **OK.**

Note: *Deleting a risk will delete all of the information listed on the risk's tab, including the control(s).*

Controls

1. Read instructions provided above the **Control A** text field and the suggested topics that appear within the text field.
    a. The suggested topics will disappear once you begin typing in the text field.
2. Describe your entity's control designed to help mitigate the related risk.
    a. Content can be typed or copied and pasted (ctrl + shift + v) from a word document.
    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.

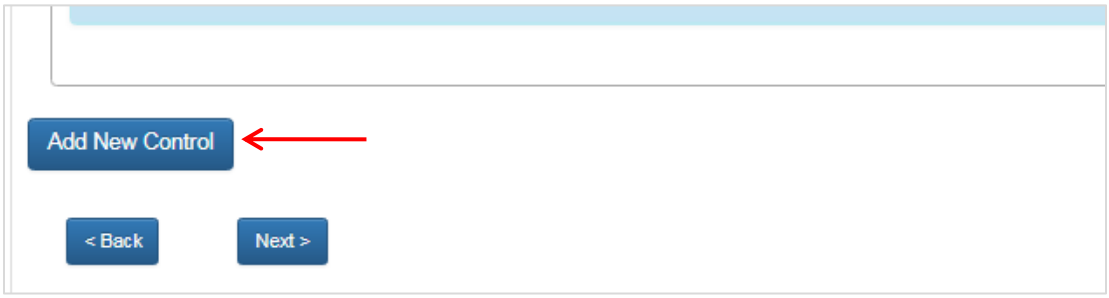


3. Read the **Control Implementation Status questions**.
4. Select **Yes, Partially, or No** from the radials under each question. This selection should reflect the current status of the related control.
   For definitions of each status, see Appendix.

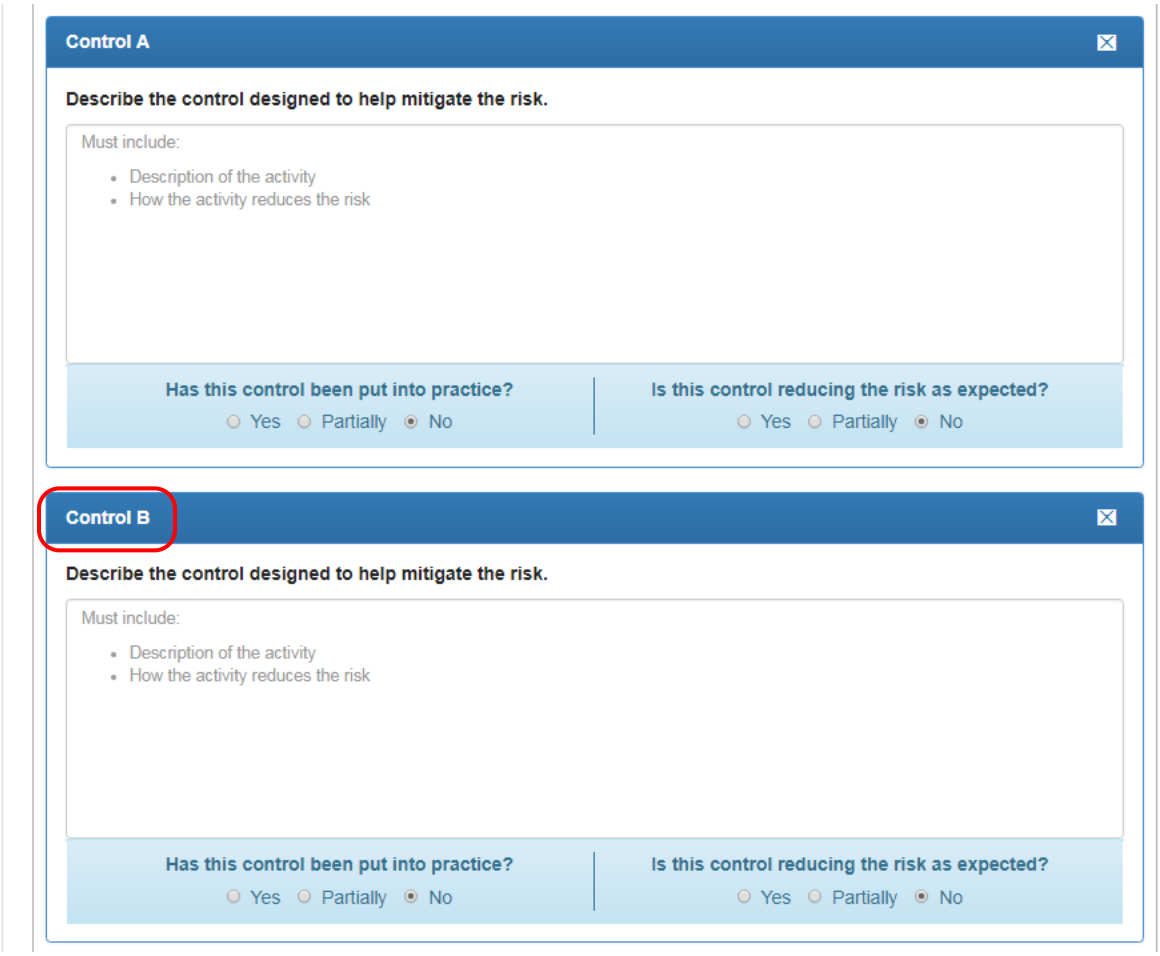
5. Continue to Risk Acceptance, page 35, for instructions on how to accept a risk.

Add New Control

1. Click **Add New Control** located beneath the Risk Acceptance statement.



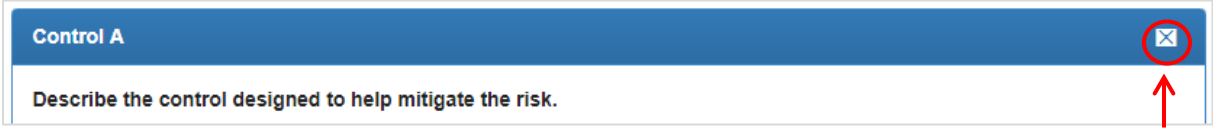
2. A new text field will appear labeled **Control A, Control B, Control C, Control D,** etc.



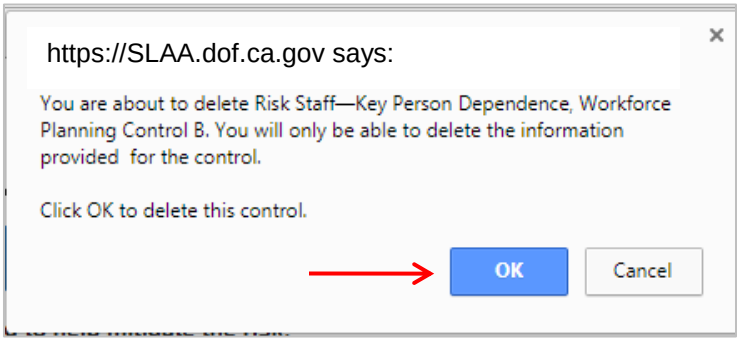
3. Repeat steps for Adding a New Control to add up to 10 controls per risk.

Delete Control

1. Click the **X** in the upper right hand side of the control text field you wish to delete.



2. A message will appear confirming that you wish to delete the control.

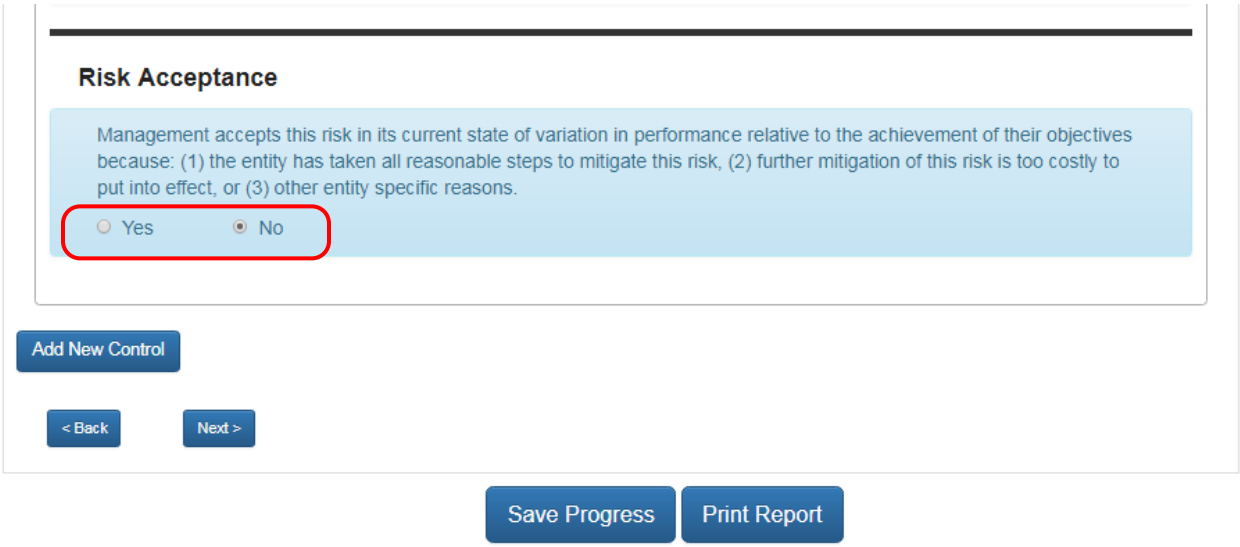


3. Click **OK**.

Note: *Deleting a control will only delete the control selected.*

Risk Acceptance

1. Read the Risk Acceptance statement to determine if your entity is accepting the risk based on the three options listed.
2. Select the status by clicking on the corresponding radial.
   ***Note**: See Appendix for information about the Risk Acceptance selection.*



3. Click **Save Progress** to save the information you have entered.
4. Click **Next** to proceed to the next section of the SLAA report.
   Or
   Proceed to a different section within the SLAA report by selecting the corresponding section link.

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

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Submission

The SLAA web portal has included conclusion language that will appear on the final report. This language cannot be changed or deleted. The entity's name is populated to identify the reporting entity.

Entities have the option to complete the following component for this section:

- Additional Comments*—provide any additional comments regarding the entity's SLAA processes.

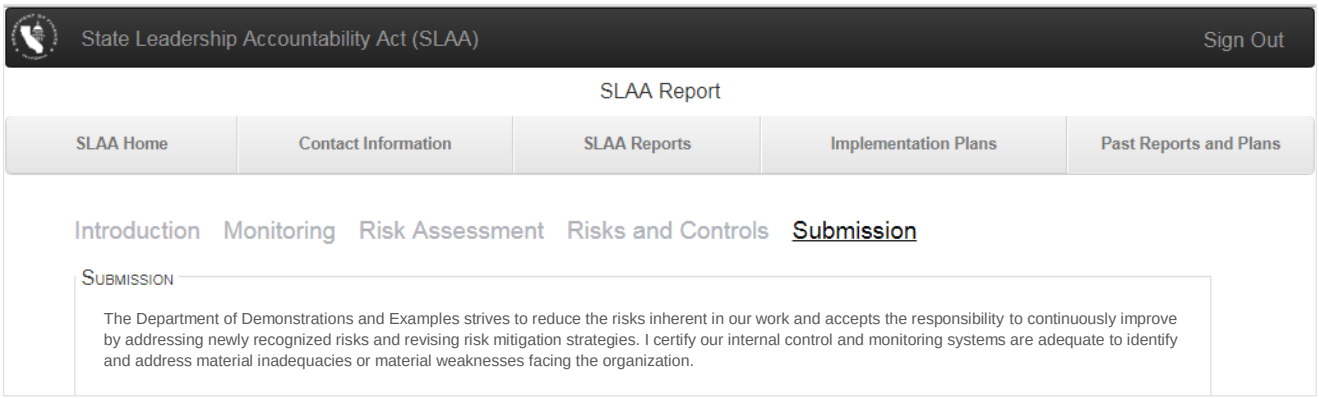
*This text field will appear in the entity's final SLAA report ONLY if it is completed. This is the only text field within the SLAA report that is allowed to be left blank.

Important: The conclusion language and if completed, the Additional Comments component, will appear in the final report.

Important: Only the Agency Head and the Primary Contact are authorized to sign and submit the SLAA report.

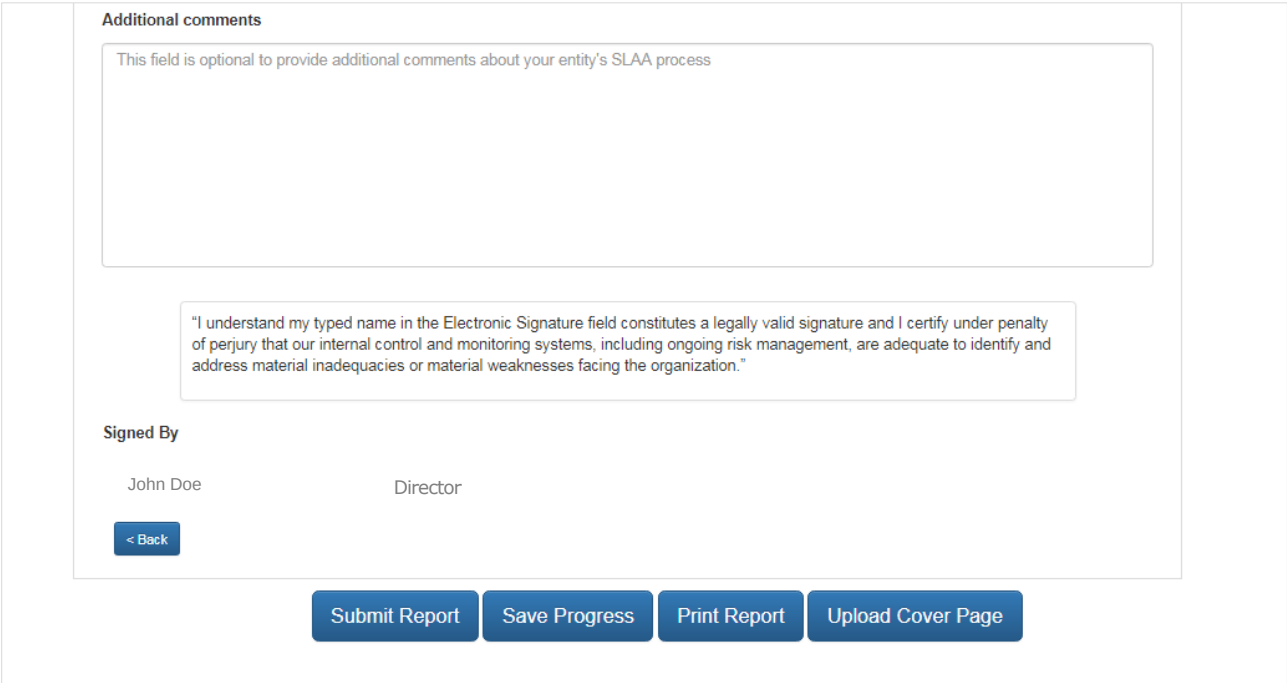
Submission

1. The **Submission** language is standard and cannot be edited. This language will appear on the printed version of your entity's SLAA report.



*The following text field is **optional**. This text field will appear in your final report if your entity chooses to include additional comments regarding your entity's SLAA process.*

2. Read instructions provided above the text field and the suggested topics that appear within the text field.
    a. The suggested topics will disappear once you begin typing in the text field.
3. Enter comments regarding your entity's SLAA process in the text field.
    a. This information can be typed or copied and pasted from a word document.
    b. There is a character limit of 750 maximum, including spaces, for this text field. Text will stop once the character limit is met.



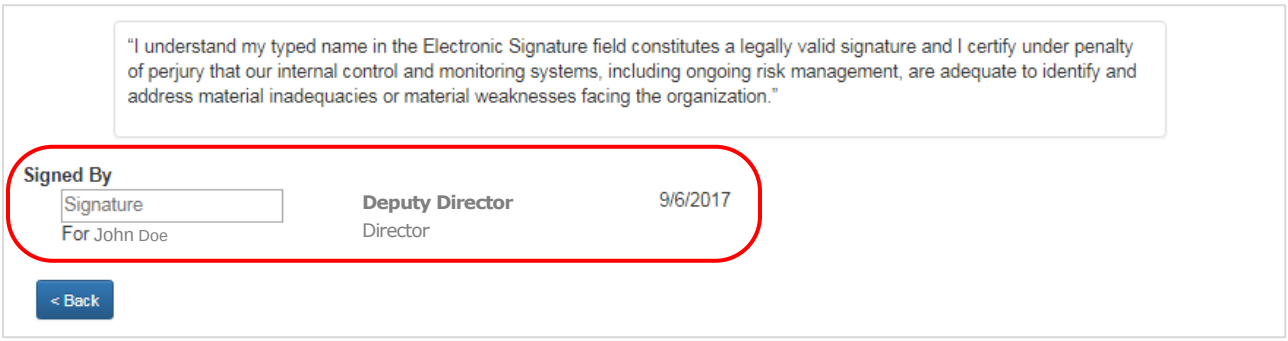
Submitting the Report

Only the **Agency Head** and **Primary Contact** listed on the Contact Information page have authorization to sign the SLAA report. *See* Appendix *for more information.*

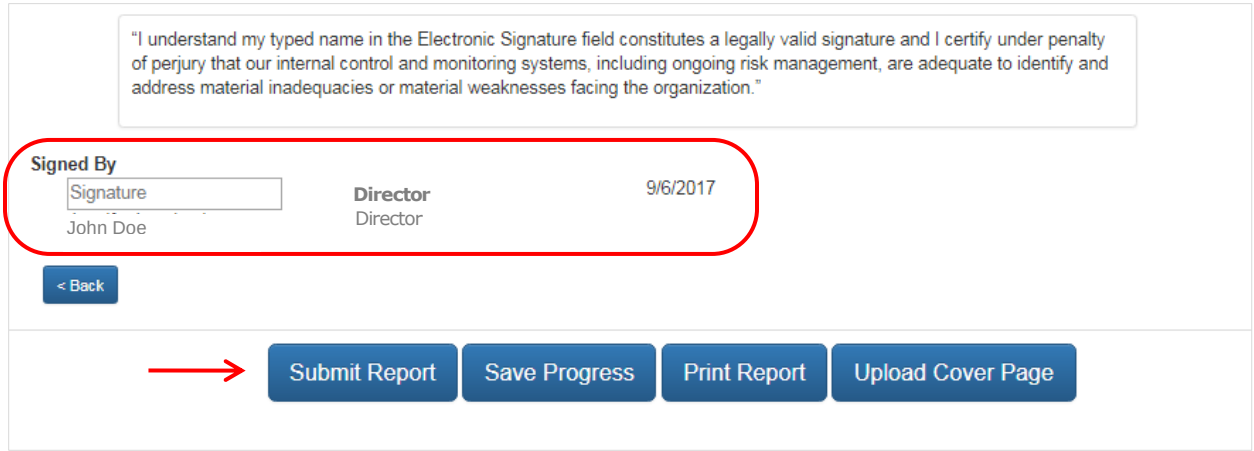
1. Review the SLAA report to ensure all boxes have been filled out.
    a. Only the optional box on the Submission page can be empty.
2. Make changes to the SLAA report sections as necessary.
    a. Edits to your entity's SLAA report will not be allowed after you submit the report.
3. Once you have verified that your SLAA report is complete, return to the **Submission** section.
4. Type your **Name** in the Signature field under **Signed By**.
    a. Your typed name is your electronic signature.
    b. 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 with 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



Agency Head Signature Block



5. Click **Submit Report**.
    c. The Submit Report button will be unlocked only if you have authorization to sign.

6. A confirmation message will appear confirming the submission 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

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

1. Levels of Authorization
2. Ongoing Monitoring Statuses
3. Ongoing Monitoring Compliance
4. Risks and Controls Statuses
5. Risk Acceptance

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Levels of Authorization

Level of authorization refers to the accessibility that a contact has within the web portal. The level of authorization is selected when a contact or resource is added or updated in the web portal by the Agency Head, Primary Contact, or the SLAA Administrator.

Head—Agency Head

- Complete functionality of web portal
- Add, edit, or delete contacts other than the Agency Head
- Enter information regarding Executive Monitoring Sponsor(s)
- Add or modify report contents
- Sign and submit SLAA reports and Implementation Plans (plan)

Primary—Primary Contact

- Complete functionality of web portal
- Add, edit, or delete contacts other than the Primary Contact
- Enter information regarding Executive Monitoring Sponsor(s)
- Add or modify report contents
- Sign and submit SLAA reports and plans

Admin—SLAA Administrator

- Limited functionality of the web portal
- Add, edit, or delete contacts other than SLAA Administrator
- Enter information regarding Executive Monitoring Sponsor(s)
- Add or modify report contents

Resource—Additional Resources with Portal Access

- Limited functionality of the web portal
- Add or modify report contents

*Note: There can only be one **Agency Head, Primary Contact** and **SLAA Administrator** per entity. The **Head, Primary,** or **Admin** selection from the drop down menu will no longer be available once you have added this role.*

Ongoing Monitoring

Each component of Ongoing Monitoring requires two questions to be answered. Based on 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 an 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 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.

Risk Acceptance

Risk Acceptance gives entities the ability to acknowledge if their risk falls within the accepted tolerance. Therefore allowing entities to not report on the risk in future plans.
Important*: The Risk Acceptance selection does not print in the SLAA report.*

If **Yes** is selected:

- A plan **is not required**.
- Management acknowledges the risk is within an acceptable tolerance because of at least one of the following reasons:
    1) The entity has taken all reasonable steps to mitigate the risk.
        - The risk is inherent to the organization and the management has done everything in its power to mitigate the risk, but it will never go away.
    2) Further mitigation is too costly to put into effect.
        - The cost to fully mitigate the risk is too costly for the entity to continue.
    3) Other entity specific reasons
        - Entities may have internal reasons for accepting a risk.

Note*: The selection will update to **Yes** if all the controls are implemented.*

If **No** is selected:

- A plan **is required**.
- Management acknowledges the risk does not fall within the acceptable risk tolerance level for your entity.