

Entity Name

Odd Year SLAA REPORT

Submission Date

Agency Secretary Name, Title
Agency Name
Agency Street Address
Sacramento, CA zip
Or
Director of Finance Name, Title (if no Agency)

All text in **BLACK** is populated automatically by the portal. All text in **BLUE** is input by the reporting entity.

Dear Agency Secretary Name,

In accordance with the State Leadership Accountability Act (SLAA), the Entity submits this report on the review of our systems of internal control and monitoring processes for the biennial period ended December 31, 2015.

Should you have any questions please contact [Primary Contact Name, Title](#) at [Phone Number, Email Address](#).

BACKGROUND

Briefly give a background of your entity.

Must include:

- All entities under your reporting responsibility

Consider including:

- Mission and goals
- Strategic initiatives, core values/principles
- Critical business functions, objectives, and activities
- History and statutory duties>.

RISK ASSESSMENT PROCESS

Briefly describe your risk assessment process used to identify the reported risks affecting the ability to meet entity objectives.

Consider including:

- How was the risk assessment performed entity-wide
- What management levels were involved
- What methods and procedures were used (e.g., surveys, questionnaires, interviews, etc.)
- Did the process focus on a specific area/subject? Why?
- Consideration given to risk impact and likelihood
- Prior audit findings; include the necessary citations

EVALUATION OF RISK AND CONTROL

Risk Category- Risk Subcategory- Risk Factor

Risk Description--Consider including:

- Description of the risk
- How the risk affects your entity
- Why the risk affect your entity

If new system implementation, please include system name.

Control Description—Consider including:

- Description of the control
- How the control helps to mitigate the risk
- If the control is new or existing

Control Description—Consider including:

- Description of the control
- How the control helps to mitigate the risk
- If the control is new or existing

Risk Category- Risk Subcategory- Risk Factor

Risk Description--Consider including:

- Description of the risk
- How the risk affects your entity
- Why the risk affect your entity

If new system implementation, please include system name.

Control Description—Consider including:

- Description of the control
- How the control helps to mitigate the risk
- If the control is new or existing

Control Description—Consider including:

- Description of the control
- How the control helps to mitigate the risk
- If the control is new or existing

Risk Category- Risk Subcategory- Risk Factor

Risk Description--Consider including:

- Description of the risk
- How the risk affects your entity
- Why the risk affect your entity

If new system implementation, please include system name.

Control Description—Consider including:

- Description of the control
- How the control helps to mitigate the risk
- If the control is new or existing

Control Description—Consider including:

- Description of the control
- How the control helps to mitigate the risk
- If the control is new or existing

ONGOING MONITORING

Through our ongoing monitoring processes, the Entity reviews, evaluates, and improves our systems of internal controls and monitoring processes. As such, we have determined we **comply** with California Government Code sections 13400-13407.

Through our ongoing monitoring processes, the Entity reviews, evaluates, and improves our systems of internal controls and monitoring processes. The Entity is in the process of formalizing and documenting our ongoing monitoring and as such, we have determined we **partially comply** with California Government Code sections 13400-13407.

Through our ongoing monitoring processes, the Entity reviews, evaluates, and improves our systems of internal controls and monitoring processes. The Entity has not begun the process of formalizing and documenting our ongoing monitoring and as such, we have determined we **do not comply** with California Government Code sections 13400-13407.

Roles and Responsibilities

As the head of Entity, **Name, Title**, is responsible for the overall establishment and maintenance of the internal control system. We have identified **Name(s), Title(s)** as our designated agency monitor(s).

Frequency of Monitoring Activities

Describe the frequency of planned monitoring activities within your entity.

Consider including:

- The frequency of separate evaluations
- The frequency of planning/prioritizing monitoring activities
- The frequency of monitoring results updates

Reporting and Documenting Monitoring Activities

Describe how monitoring activities will be reported internally to members of the management team.

Consider including:

- How monitoring results will be documented
- Where monitoring results will be documented
- Forms of communicating the monitoring results within the entity

Procedures for Addressing Identified Internal Control Deficiencies

Describe the entity's procedures for addressing deficiencies identified through the ongoing monitoring process.

Consider including:

- The timeframe for deficiencies to be remedied
- How the deficiencies will be reported
- Who receives the deficiency reports

CONCLUSION

The Entity strives to reduce risks inherent in our work and accepts the responsibility to continuously improve by addressing newly recognized risks and revising risk mitigation strategies. I certify our systems of internal control and monitoring processes are adequate to identify and address material inadequacies or material weaknesses facing the organization.

Additional comments--Optional

Agency Head Name, Title

Entity Name

CC: Legislature
Legislature
Legislature
State Auditor
State Controller
Department of Finance
Secretary of Government Operations
State Library