

# Entity Name

## Odd Year SLAA REPORT

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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

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## **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