

STATE LEADERSHIP ACCOUNTABILITY ACT



WEB PORTAL USER GUIDE

California Department
of Finance
Revised 12/2015

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Introduction

The 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 Corrective Action Plan information and web portal use. The Guide is organized by sections which correspond with initial portal access, major features, establishing portal users, report and corrective action plan sections, and navigation within the portal. 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.

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SLAA Web Portal Access

Access into the SLAA web portal (portal) is limited by a username and password. The Agency Head, Primary Contact, and the SLAA Administrator are the only contacts that can add a new contact into the portal. When a new contact has been added, that person will receive an e-mail with a username and temporary password. This password must be changed before signing in to the portal.

If at any point a username or password has been forgotten, you can reset it by clicking the corresponding link on the Sign In screen of the portal.

See [Appendices](#) for more information regarding Level of Authorization or contacts.

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SLAA Web Portal Access

SLAA Web Address

You can access the SLAA web portal at <https://SLAA.dof.ca.gov>.

DOF/SLAA Webpage

The SLAA web portal is also accessible through the Department of Finance (DOF), SLAA web page, www.dof.ca.gov/osae/fisma. The SLAA web page provides guidance, templates, tools and other resources to assist your entity throughout the SLAA process.

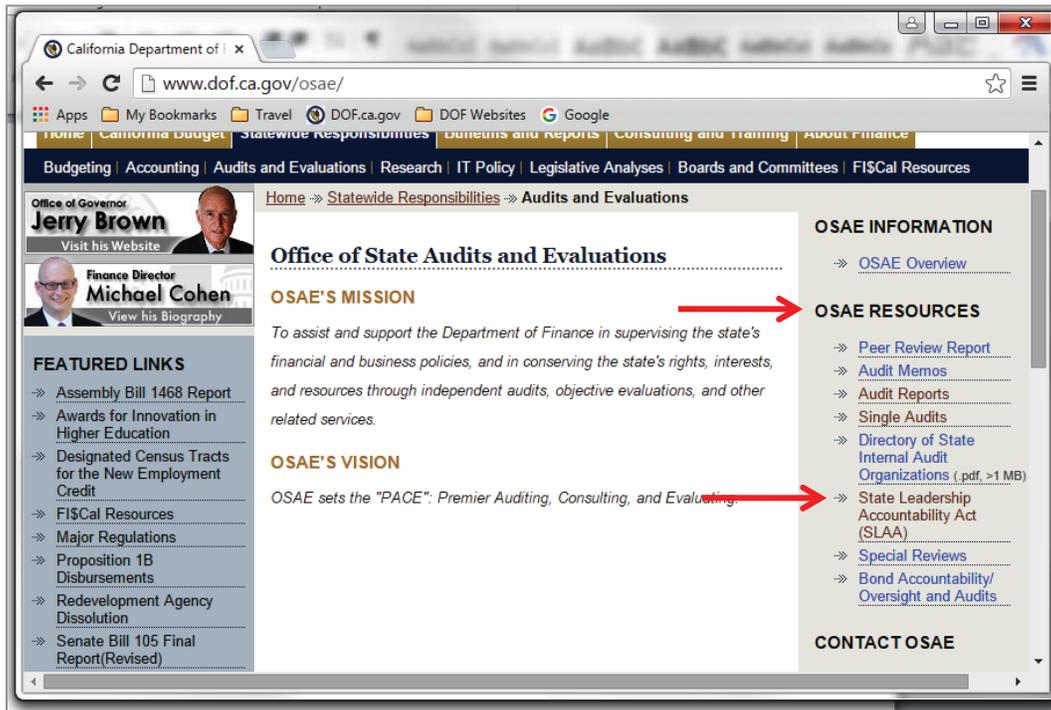
Follow the steps below to access the SLAA web portal through the DOF website.

1. Go to www.dof.ca.gov.
2. Click the **Statewide Responsibilities** tab.
3. Click **Audits and Evaluations**.

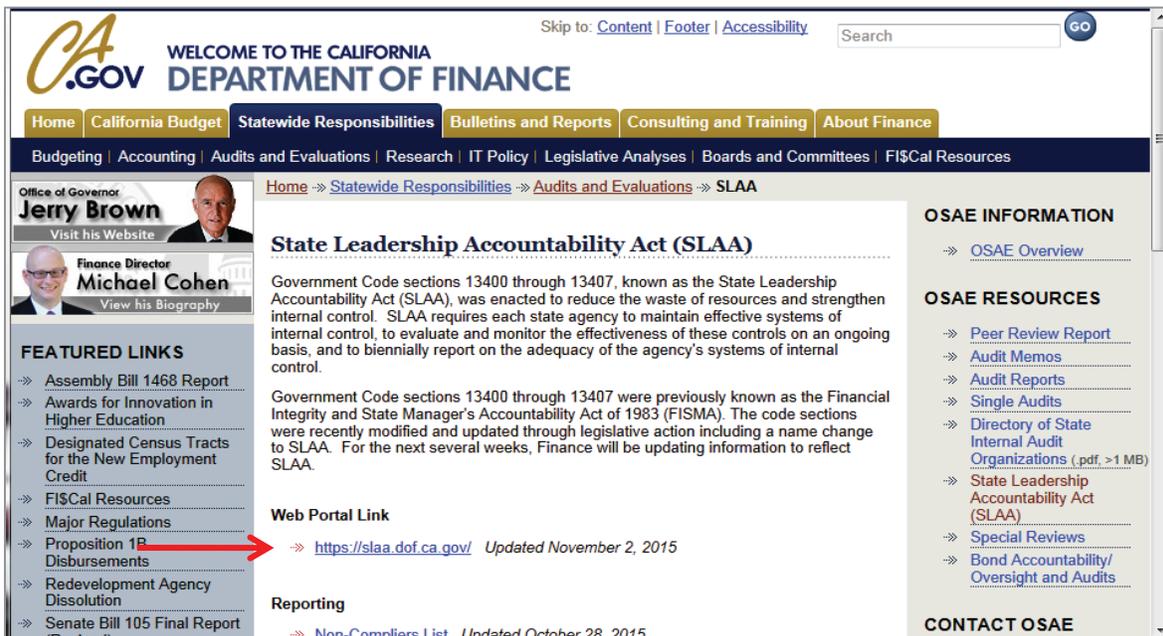
The screenshot shows the California Department of Finance website. The browser address bar displays www.dof.ca.gov/statewide_responsibilities/. The page header includes the CA.GOV logo and the text "WELCOME TO THE CALIFORNIA DEPARTMENT OF FINANCE". A navigation menu contains tabs for Home, California Budget, Statewide Responsibilities, Bulletins and Reports, Consulting and Training, and About Finance. Below this is a secondary navigation bar with links for Budgeting, Accounting, Audits and Evaluations, Research, IT Policy, Legislative Analyses, Boards and Committees, and FI\$Cal Resources. The main content area is titled "Statewide Responsibilities" and lists various services: Budgeting, Accounting, Audits and Evaluations, Research, IT Policy, Legislative Analyses, Boards and Committees, and FI\$Cal Resources. A "FEATURED LINKS" sidebar on the left lists several programs, with "State-County Assessors' Partnership Program" highlighted by a red arrow.

SLAA Web Portal Access

4. Look on the right side of the web page under **OSAE RESOURCES** for the link **State Leadership Accountability Act (SLAA)**.



5. Click link, this will direct you to the SLAA website.
6. Click the link under the heading “Web Portal Link”.



7. You will be directed to the SLAA web portal Sign In page.

SLAA Web Portal Access

Sign In

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage.
2. Enter your username in the Username field.
 - a. Username is the username assigned to you through e-mail when you were added as a contact for the SLAA portal.
3. Enter your password in the Password field.
 - a. The password is a minimum of 8 characters and must include 1 number. (e.g. *password1*)
4. Click **Sign In** to access your entity's SLAA web portal.

State Leadership Accountability Act (SLAA)

Sign In

Username:

Password:

[Forgot Username](#) [Forgot Password](#) [Reset Password](#)

Legal Disclaimer

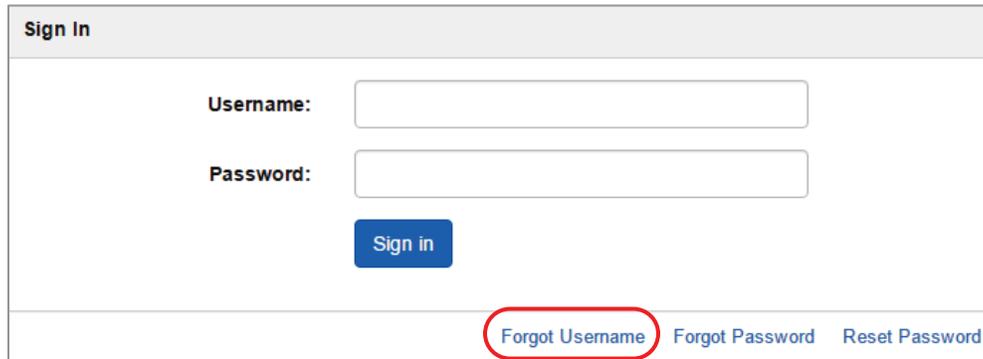
Access to this website is restricted. The California Department of Finance (Finance) provides you with a username and password to enable you to access this website. You must ensure that the username and password are kept confidential. The data captured by this website are self-reported by agencies. Finance accepts no responsibility for any information reported. This website is provided "as is" without any representations or warranties, express or implied.

If you are experiencing difficulties signing in, contact the SLAAhotline@dof.ca.gov.

SLAA Web Portal Access

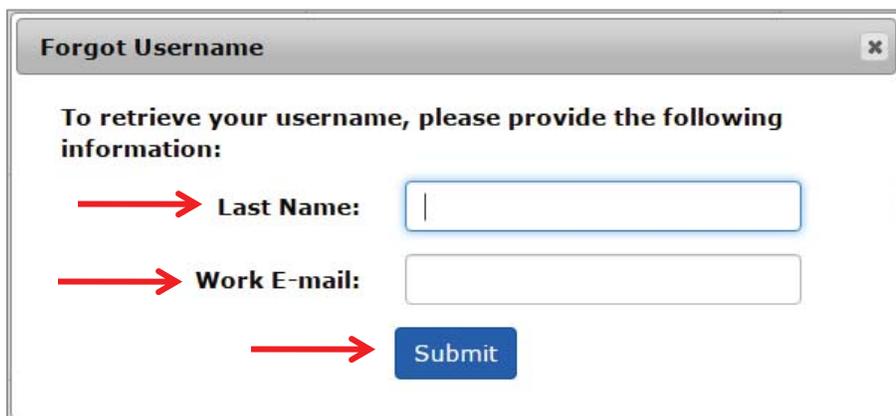
Forgot Username

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage.
2. Click **Forgot Username**.



The screenshot shows a 'Sign In' form with two input fields: 'Username:' and 'Password:'. Below the fields is a blue 'Sign in' button. At the bottom right of the form, there are three links: 'Forgot Username' (circled in red), 'Forgot Password', and 'Reset Password'.

3. The **Forgot Username** form will appear.
4. Enter your last name as it was entered into the Contact Information page of the SLAA web portal.
5. Enter your work e-mail address as it was entered into the Contact Information page of the SLAA web portal.
6. Click **Submit**.



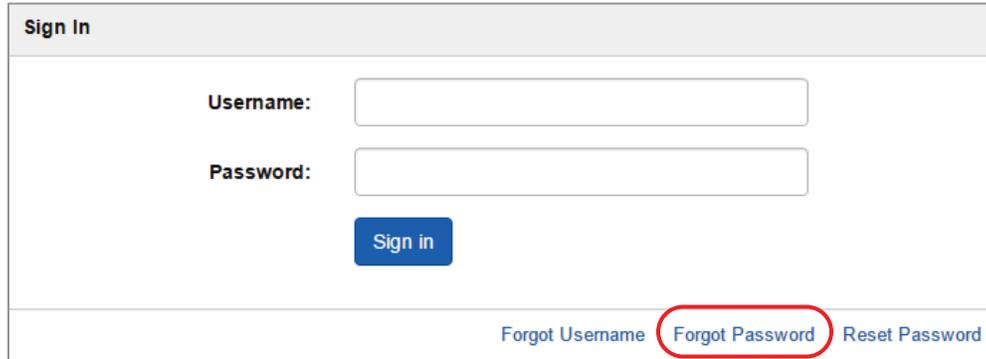
The screenshot shows a 'Forgot Username' form window. The title bar says 'Forgot Username'. The main text reads: 'To retrieve your username, please provide the following information:'. Below this, there are three input fields: 'Last Name:', 'Work E-mail:', and a blue 'Submit' button. Red arrows point to each of these three elements.

7. An e-mail from the SLAA hotline will be sent to your e-mail address providing you with your SLAA web portal username.
8. Once you have received your username, go to <https://SLAA.dof.ca.gov> and follow instructions for **Sign In**.

If you are experiencing difficulties receiving your username, please contact the SLAAhotline@dof.ca.gov.

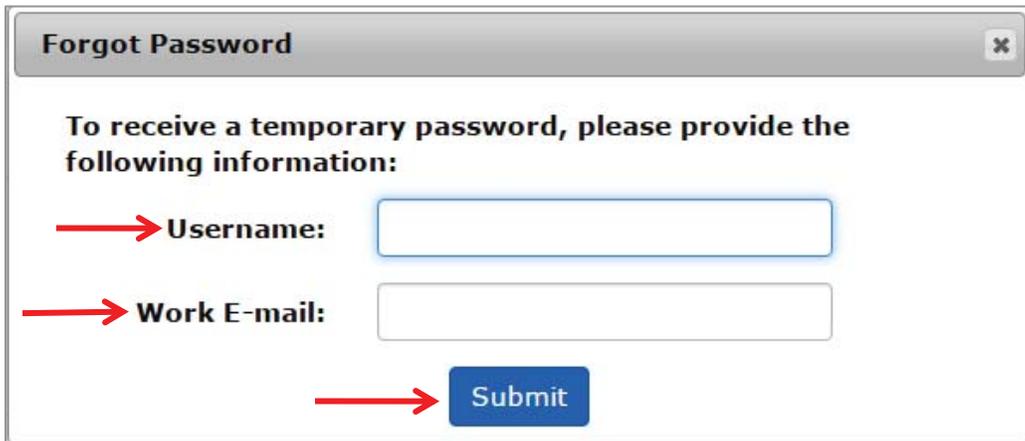
Forgot Password if Username is Known

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage.
2. Click **Forgot Password**.



The screenshot shows a 'Sign In' form with two input fields: 'Username:' and 'Password:'. Below the fields is a blue 'Sign in' button. At the bottom right of the form, there are three links: 'Forgot Username', 'Forgot Password' (which is circled in red), and 'Reset Password'.

3. The **Forgot Password** form will appear.
4. Enter your username in the **Username** field.
5. Enter your work e-mail address in the **Work E-mail** field.
6. Click **Submit**.

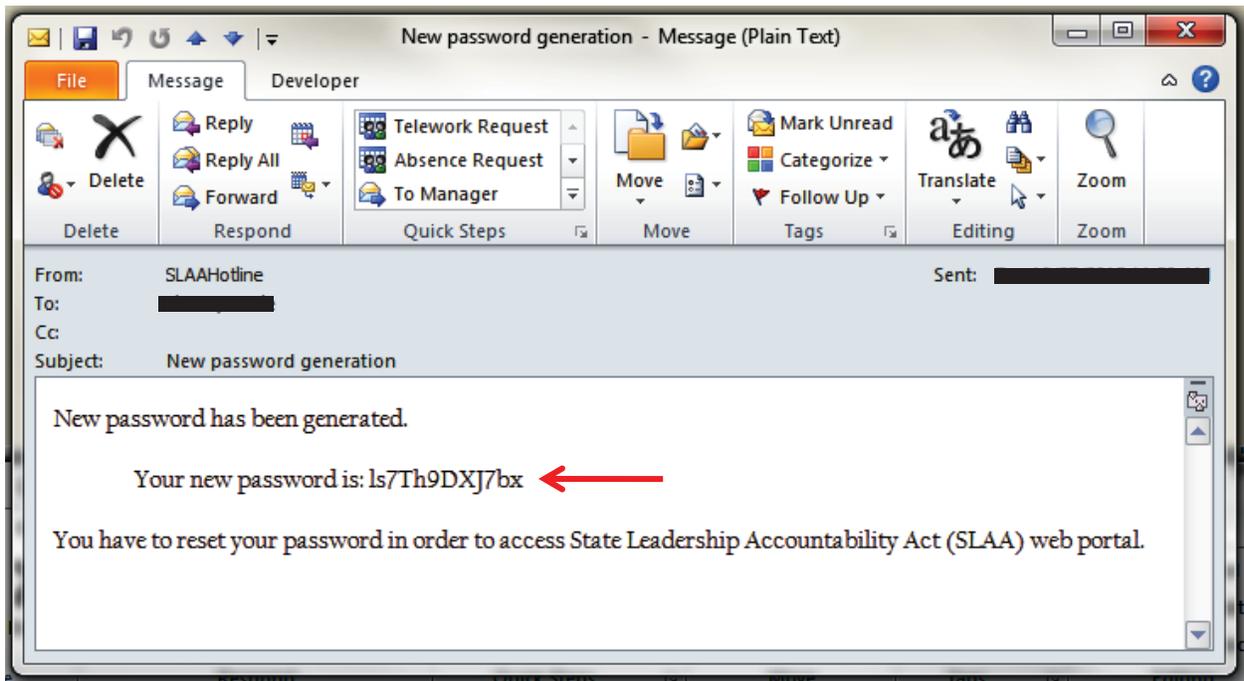


The screenshot shows the 'Forgot Password' form. It has a title bar with 'Forgot Password' and a close button. The main text reads: 'To receive a temporary password, please provide the following information:'. Below this are two input fields: 'Username:' and 'Work E-mail:'. A blue 'Submit' button is at the bottom. Red arrows point to the 'Username:' label, the 'Work E-mail:' label, and the 'Submit' button.

Continue to [Step 7.](#) 

SLAA Web Portal Access

7. A notice will be sent to the e-mail address provided with your temporary password.

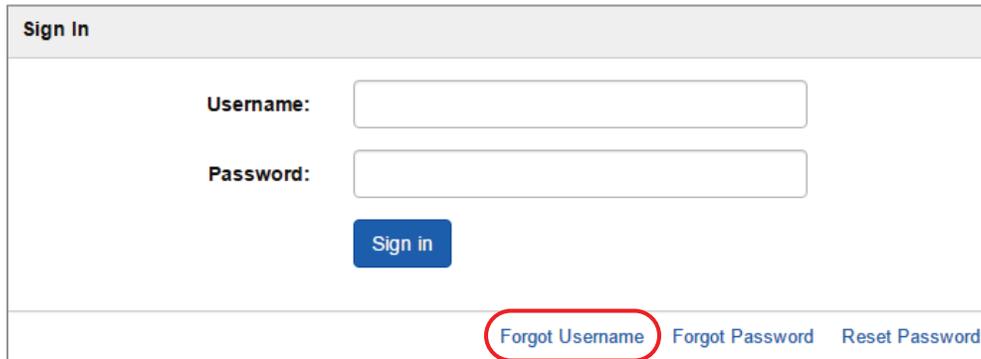


8. When the temporary password is received, go to <https://SLAA.dof.ca.gov> to change your password.
9. Type your **username** and **temporary password** in the corresponding fields. Click **Sign In**. You will be redirected to **Reset Password**.
10. Follow instructions for [Reset Password](#) beginning at [Step 3](#).

If you are experiencing difficulties receiving a temporary password, please contact the SLAAHotline@dof.ca.gov.

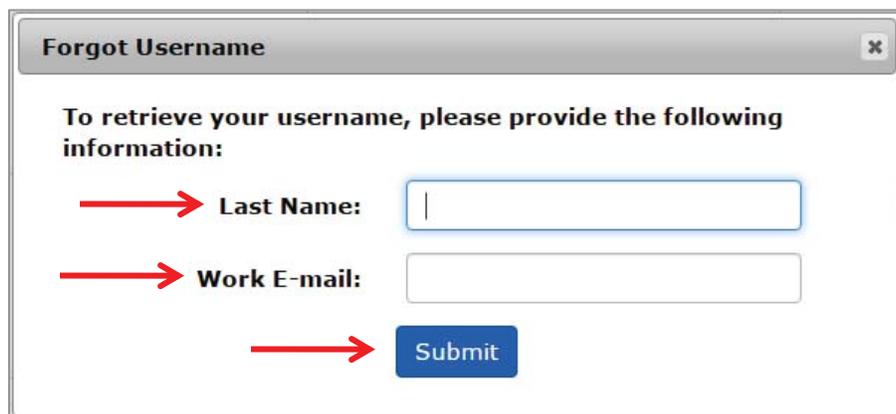
Forgot Password if Username is Unknown

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage.
2. Click **Forgot Username**.



The screenshot shows a "Sign In" form with two input fields: "Username:" and "Password:". Below the fields is a blue "Sign in" button. At the bottom right of the form, there are three links: "Forgot Username" (circled in red), "Forgot Password", and "Reset Password".

3. The **Forgot Username** form will appear.
4. Enter your last name as it was entered into the **Contact Information** page of the SLAA web portal.
5. Enter your work e-mail address as it was entered into the **Contact Information** page of the SLAA web portal.
6. Click **Submit**.



The screenshot shows a "Forgot Username" form window. The title bar says "Forgot Username" with a close button. The main text reads: "To retrieve your username, please provide the following information:". Below this, there are three input fields: "Last Name:", "Work E-mail:", and a "Submit" button. Red arrows point to each of these three elements.

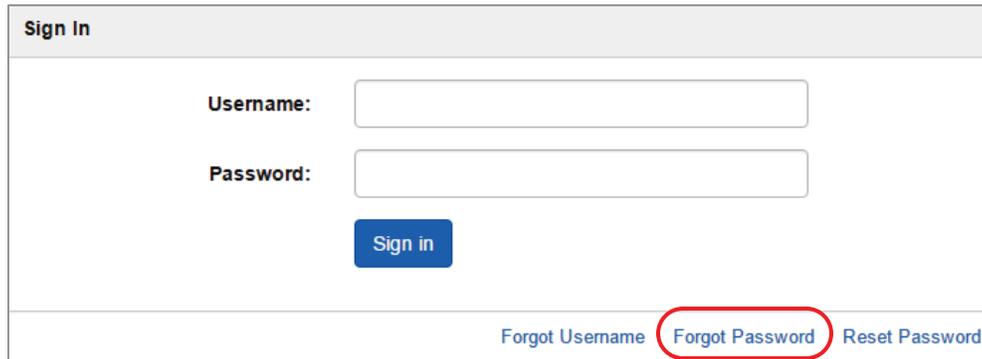
7. A notice will be sent to your e-mail address providing you with your SLAA web portal username.

Continue to [Step 8](#).



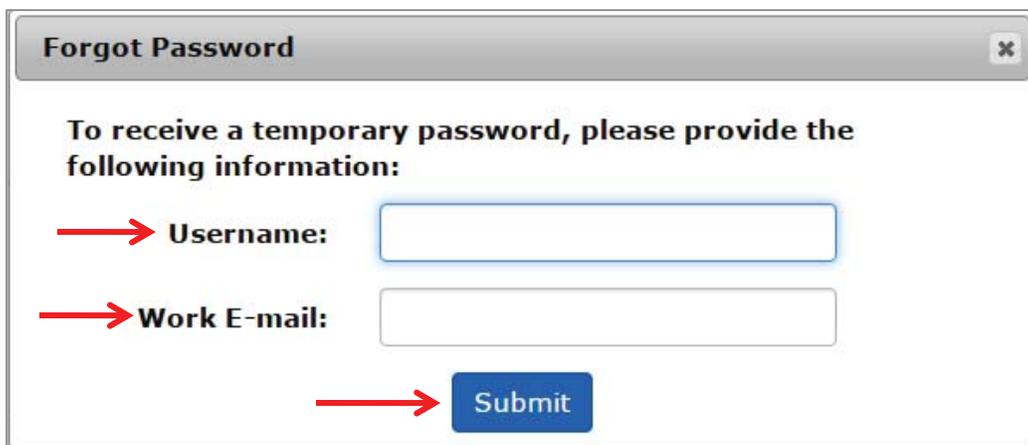
SLAA Web Portal Access

- Once your username is received, go to <https://SLAA.dof.ca.gov>. Click **Forgot Password**.



The screenshot shows a 'Sign In' form with two input fields: 'Username:' and 'Password:'. Below the fields is a blue 'Sign in' button. At the bottom right of the form, there are three links: 'Forgot Username', 'Forgot Password' (which is circled in red), and 'Reset Password'.

- The **Forgot Password** form will appear.
- Enter your username in the **Username** field.
- Enter your work e-mail address in the **Work E-mail** field.
- Click **Submit**.



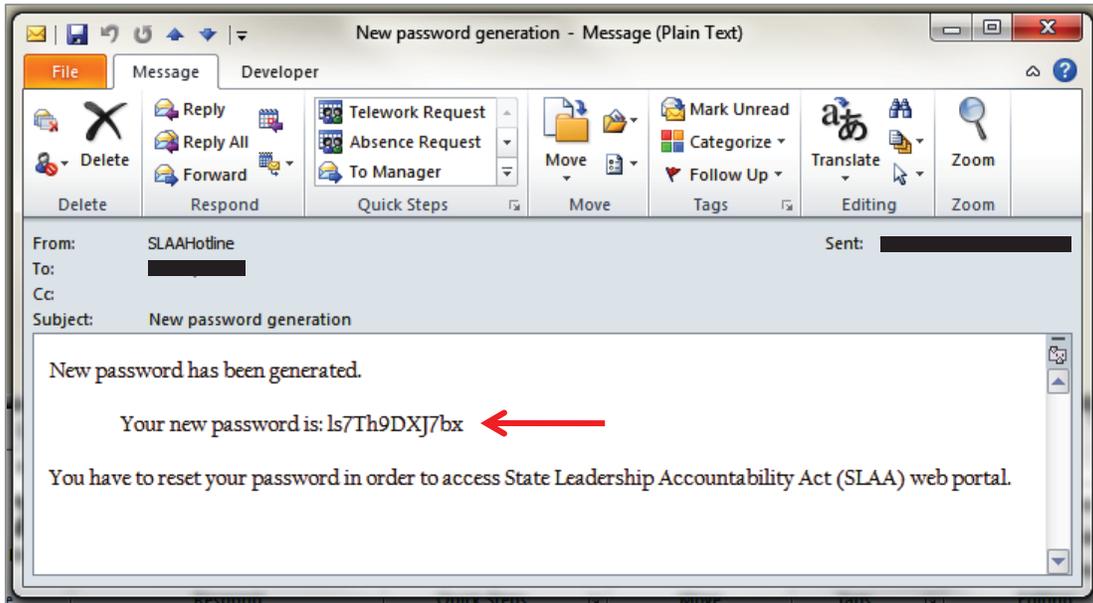
The screenshot shows the 'Forgot Password' form. It has a title bar with 'Forgot Password' and a close button. Below the title bar, it says 'To receive a temporary password, please provide the following information:'. There are two input fields: 'Username:' and 'Work E-mail:'. A red arrow points to the 'Username:' field. Another red arrow points to the 'Work E-mail:' field. A third red arrow points to the blue 'Submit' button.

Continue to Step 13.



SLAA Web Portal Access

13. A notice will be sent to the e-mail address provided containing your temporary password.



14. When the temporary password is received, go to <https://SLAA.dof.ca.gov> to change your password.

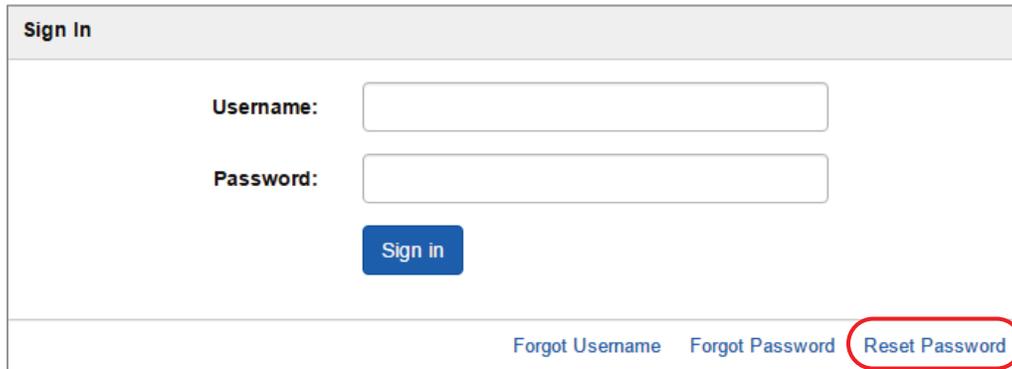
15. Type your **username** and **temporary password** in the corresponding fields. Click **Sign In**. You will be redirected to **Reset Password**.

16. Follow instructions for [Reset Password](#) beginning at [Step 3](#).

If you are experiencing difficulties receiving your username or a temporary password, please contact the SLAAhotline@dof.ca.gov.

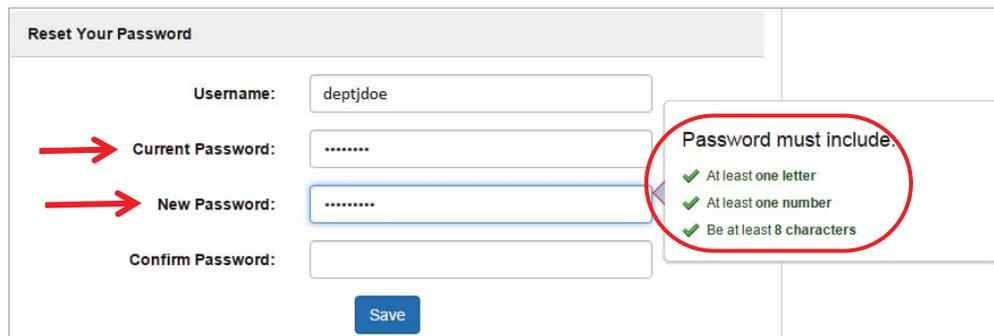
Reset Password

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage.
2. Click **Reset Password**.



The screenshot shows the 'Sign In' page. It has a header 'Sign In' and three input fields: 'Username:', 'Password:', and a 'Sign in' button. At the bottom right, there are three links: 'Forgot Username', 'Forgot Password', and 'Reset Password', which is circled in red.

3. Enter your **username**.
4. Enter your *current* or *temporary* password in the **Current Password** field.
5. Enter a new password in the **New Password** field.
 - a. Passwords are case sensitive and at least 8 characters with one number.
 - b. Each requirement must be met to change password.



The screenshot shows the 'Reset Your Password' page. It has a header 'Reset Your Password' and four input fields: 'Username:' (filled with 'deptjdoe'), 'Current Password:', 'New Password:', and 'Confirm Password:'. There is a 'Save' button at the bottom. A red arrow points to the 'Current Password' field, and another red arrow points to the 'New Password' field. A red circle highlights a 'Password must include:' box with three requirements: 'At least one letter', 'At least one number', and 'Be at least 8 characters', all with green checkmarks.

6. Retype your new password in the **Confirm Password** field.
7. Click **Save**.



The screenshot shows the 'Reset Your Password' page with the 'Confirm Password' field highlighted by a red arrow. The 'Save' button is also highlighted by a red arrow. The 'Password must include:' box now has a red 'X' next to the requirement 'Password confirmation must match'.

8. A message will appear stating your password has been changed. Click **Ok**.
9. You will be directed to the **Sign In** page.
10. Sign in using your **username** and your **new password**.

If you are experiencing difficulties resetting your password, please contact the SLAAhotline@dof.ca.gov.

SLAA Homepage

The SLAA homepage is the first screen you will see when signed into the web portal. The homepage is designed to give you needed information regarding your reports in one place. The homepage allows each entity to view information regarding reports that have been submitted or accepted and the due date of the next report. You will also be able to access the current report based on the button you select for your entity's SLAA report, Corrective Action Plan, or Fraud and Loss report.

The homepage displays a SLAA status based on your entity's report submissions. The SLAA status informs you whether your entity is or is not compliant with California Government Code sections 13400-13407.

Example: Your entity failed to submit a corrective action plan (CAP) due June 30, 2014; the SLAA status on your entity's homepage will read **Non-Compliant** because of the failure to submit the CAP on time.

The SLAA status can change if your entity submits the late CAP or submits the CAP due December 31, 2014 on time.

At the top of the homepage, there are six tabs. Each tab redirects you to a different part of the web portal.

1. **SLAA Home**—directs you back to your entity's homepage from anywhere in the portal.
2. **Contact Information**—directs you to the contact page where you can add, edit, or delete contacts.
3. **SLAA Reports**—directs you to your entity's current SLAA report.
4. **Corrective Action Plans**—directs you to your entity's current corrective action plan, if applicable.
5. **Emerging Risks**—coming soon!
6. **Fraud and Loss**—coming soon!

SLAA Homepage

The screenshot shows the SLAA reporting portal interface. At the top, a black navigation bar contains the SLAA logo and name, and a 'Sign Out' link. Below this is a white welcome message. A horizontal menu bar includes links for 'SLAA Home', 'Contact Information', 'SLAA Reports', 'Corrective Action Plans', 'Emerging Risks', and 'Fraud and Loss'. The main content area features a large heading for the '2015 SLAA Cycle' and a status message indicating that the 'SLAA Report Due' and a link to the 'Non-Compliers List'. Below this is a summary table with three columns: 'SLAA Report' (due Dec 31, 2015), 'Corrective Action Plan' (not currently due), and 'Fraud and Loss Report' (coming soon). Each column has a corresponding 'Current Report' button. A footer section contains a welcome message and contact information for the SLAA Hotline.

L ← State Leadership Accountability Act (SLAA) Sign Out

K ← Welcome, Department of General Services!

F ← SLAA Home

G ← Contact Information

H ← SLAA Reports

I ← Corrective Action Plans

J ← Emerging Risks

A ← **2015 SLAA Cycle**

B ← SLAA Status: **SLAA Report Due**

C ← Non-Compliers List

D ←

SLAA Report	Corrective Action Plan	Fraud and Loss Report
2015 Report Due: December 31, 2015	Not Currently Due	Coming soon!
Current Report	Current Corrective Action Plan	Current Report

E ←

M ← The Department of Finance welcomes you to the State Leadership Accountability Act (SLAA) reporting portal. SLAA requirements are found at Government Code sections 13400-13407. This site was created and is maintained by the California Department of Finance. For any issues please contact the SLAA Hotline.

See legend at next page.

SLAA Homepage

- A. **Current SLAA Cycle**
- B. **SLAA Status of Entity**—See [Appendices](#) for status definitions.
- C. **Non-Compliers List**—directs you to the current Non-Compliers list posted the SLAA website at www.dof.ca.gov/osae/FISMA.
- D. **SLAA Reports, Corrective Action Plans, and Fraud and Loss Reports**—this section shows:
 - a. Due dates of the corresponding reports.
 - b. When your entity has submitted the corresponding report.
 - c. When Finance has accepted the corresponding report.
- E. **Current Report and Current Corrective Action Plan Buttons**—directs you to the beginning page of the current corresponding report, including reports in process.
- F. **SLAA Home Tab**—directs you to the home page from anywhere in the portal.
- G. **Contact Information Tab**—directs you to the Contact page.
 - a. See **Contact Information** for further instruction.
- H. **SLAA Reports, Corrective Action Plans Tabs**—directs you to the corresponding reports.
- I. **Emerging Risks Tab**—directs you to the Emerging Risks homepage.
 - a. See **Emerging Risks** for further instruction.
 - i. *Emerging Risks will be available in the future.*
- J. **Fraud and Loss Tab**—directs you to the Fraud and Loss homepage.
 - a. See **Fraud and Loss** for further instruction.
 - i. *Fraud and Loss Reporting will be available in the future.*
- K. **Entity Name**
- L. **SLAA Banner**—features the State Leadership Accountability Act (SLAA) title and the Sign Out icon, this banner will appear on every window in the portal.
 - a. Click the State Leadership Accountability Act (SLAA) title on any window within the portal to be brought back to the home screen.
 - b. Click **Sign Out** to sign out of the portal.
- M. **SLAA Hotline**—Send e-mail to the SLAA hotline.

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Contact Information

The Contact Information page lists every person within your entity that has access to the SLAA web portal (portal). Access to the portal is determined by the level of authorization given to the contact when they are added. The levels of authorization are as follows:

1. Agency Head
2. Primary Contact
3. SLAA Administrator
4. Resource (Additional Resources with Portal Access)

The Agency Head and Primary Contact are the only contacts with authorization to sign and submit reports. Also, the Agency Head, Primary Contact *and* the SLAA Administrator are the only contacts who have the ability to add, delete, or edit contacts and entity headquarters information.

Designated Agency Monitors are appointed by the Agency Head. Those appointed to the role must be added as a contact to the portal. This information is required for the Ongoing Monitoring component of the SLAA reports.

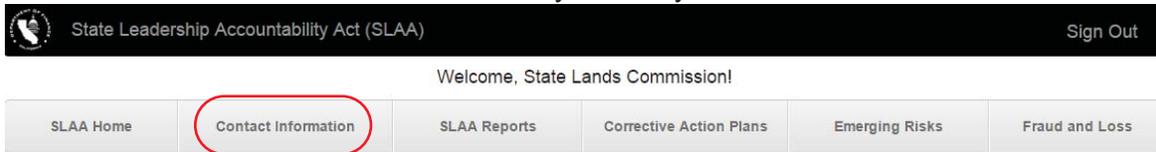
To determine the level of authorization for a contact, please see [Appendices](#).

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Contact Information

Add Contact or Additional Resource with Portal Access

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage, sign into the SLAA web portal.
1. Click the **Contact Information** tab on your entity's home screen.



2. Scroll to the bottom of the page and click on **Add Contact** to access the **Add New Contact or Resource** form.

For steps 4-10, see *Add New Contact or Resource form below*. All fields must be completed except the Prefix and the Ext.

3. Select appropriate **Title** (Mr., Ms., Mrs., Dr.) from the drop down menu.
4. Enter contact's first *and* last name in the **Name** field.
5. Enter contact's current **Job Title**, e.g. Grants Manager, Enterprise Risk Manager.
6. Enter contact's **Work Phone Number** and **Work E-mail** in the corresponding fields.
7. Select contact's **Level of Authorization** from the drop down menu.
 - a. See *Appendices* for definitions.
8. Check the box if the contact has been selected by the Agency head as a **Designated Agency Monitor**.
9. Click **Save** after all information has been entered correctly.
 - a. A message will appear stating "New Contact is successfully added."

4 → Prefix: [dropdown] Name: [Name] ← 5

6 → Job Title: [Director of Produce Sales]

7 { Work Phone Number: [(XXX) XXX-XXXX] Ext: [XXXX]
Work E-mail: [johnsmith@agency.ca.gov]

Level of Authorization: [Resource] ← 8

Check if **Designated Agency Monitor** ← 9

10 → [Save]

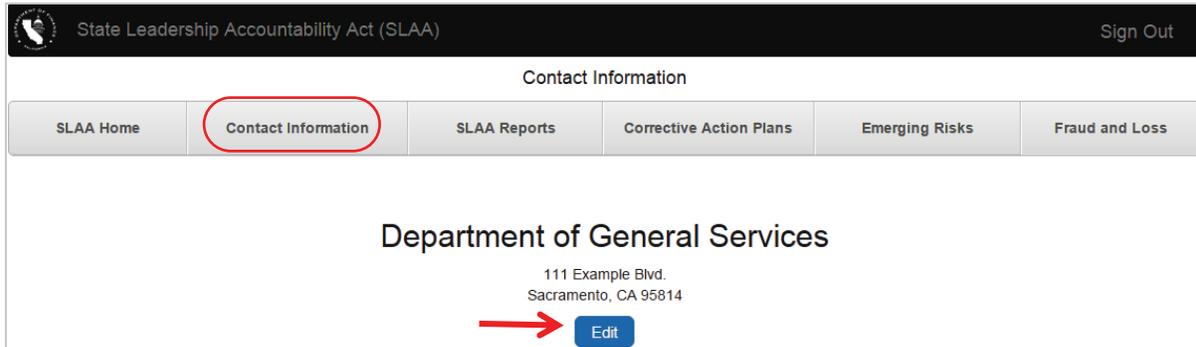
Level of Authorization: [Resource] [dropdown]
Head
Primary
Admin
Resource

The new contact will need to reset their password once sign in information is received. See [Reset Password](#) for further instructions. If the contact does not appear, contact the SLAAhotline@dof.ca.gov.

Contact Information

Edit Entity Information

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage, sign into the SLAA web portal.
2. Click the **Contact Information** tab on your entity's home screen.
3. Located at the top of the **Contact Information** page is your entity's main address.
4. Click **Edit**.



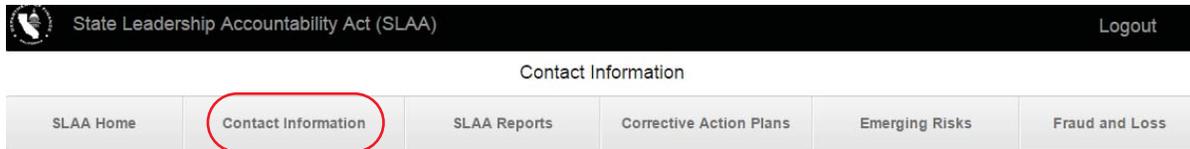
5. The **Edit Entity Information** form will appear with your entity's current address prepopulated.
6. Click the field(s) you wish to edit.
7. Click **Save** after edit(s) are completed.

The screenshot shows a modal window titled "Edit Entity Information". It contains four input fields for address information, each with a label above it: "Street Address:" with the value "111 Transportation Way", "City:" with the value "Sacramento", "State:" with the value "CA", and "Zip:" with the value "95814". At the bottom of the form is a blue "Save" button, which is highlighted with a red arrow pointing to it from the right.

Contact Information

Edit Contact or Additional Resource

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage, sign into the SLAA web portal.
2. Click the **Contact Information** tab on your entity's home screen.



3. Find the contact you wish to edit and click **Edit**.



OR

Additional Resources with Portal Access

Name	Job Title	Work Phone Number	Role	Updates
John Smith	Analyst	(916) 555-5555 ext. 9999	Designated Agency Monitor	<input type="button" value="Edit"/> <input type="button" value="Delete"/>

 *Be sure to select the corresponding edit button with the contact you wish to edit.*

4. The **Edit Contact or Resource** form will appear with the current contact information prepopulated.
5. Edit the field(s) to make changes.

6. Click **Save** after edit(s) are completed.

Contact Information

Delete Contact

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage, sign into the SLAA web portal.
2. Click the **Contact Information** tab on your entity's home screen.



3. Click **Delete** on the contact you wish to delete.



OR

Additional Resources with Portal Access

Name	Job Title	Work Phone Number	Role	Updates
John Smith	Analyst	(916) 555-5555 ext. 9999	Designated Agency Monitor	Edit Delete

 Be sure to select the corresponding delete button with the contact you wish to delete.

4. A message will appear confirming that you wish to delete contact. Click **OK**.
5. The contact will automatically be removed from the **Contact Information** page.

Note: If a new Agency Head has been appointed to your entity, please inform SLAA team through the SLAA hotline to update the Agency Head.

SLAA Reports

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

1. Introduction/Background
2. Risk Assessment Process
3. Evaluation of Risks and Controls
4. Ongoing Monitoring
5. Conclusion

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Access to SLAA Reports

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage, 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.

State Leadership Accountability Act (SLAA) Sign Out

Welcome, Department of General Services!

SLAA Home | Contact Information | **SLAA Reports** | Corrective Action Plans | Emerging Risks | Fraud and Loss

2015 SLAA Cycle

SLAA Status: **SLAA Report Due**

[Non-Compliers List](#)

SLAA Report 2015 Report Due: December 31, 2015	Corrective Action Plan Not Currently Due	Fraud and Loss Report Coming soon!
Current Report	Current Corrective Action Plan	Current Report

The Department of Finance welcomes you to the State Leadership Accountability Act (SLAA) reporting portal. SLAA requirements are found at Government Code sections 13400-13407.

This site was created and is maintained by the California Department of Finance. For any issues please contact the [SLAA Hotline](#).

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

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SLAA Report Sections

Introduction

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

Along with the introduction language, you are asked to provide background information regarding your entity. The background information of your entity may include:

- Mission and goals
- Strategic initiatives
- Core values and principles
- Critical business functions, objectives, and activities
- The history and duties of your entity

Important: If your entity reports for multiple entities on the same report, you must list each entity in the background section of the report. The Agency Head was previously notified of this reporting requirement.

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 text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
3. Describe your entity's background in the text box.
 - a. This information can be typed or copied and pasted from a word document.
 - b. You have a character limit of **25,000** maximum. Text will stop at the character limit.

The screenshot shows the 'SLAA Report' interface. At the top, there is a navigation bar with 'State Leadership Accountability Act (SLAA)' on the left and 'Sign Out' on the right. Below this is a 'SLAA Report' header. A horizontal menu contains several options: 'SLAA Home', 'Contact Information', 'SLAA Reports', 'Corrective Action Plans', 'Emerging Risks', and 'Fraud and Loss'. The 'Introduction' section is active, with a breadcrumb trail: 'Introduction > Risk Assessment Process > Evaluation of Risks and Controls > Ongoing Monitoring > Conclusion'. The main content area is titled 'INTRODUCTION' and contains the following text: 'In accordance with the State Leadership Accountability Act (SLAA), the Department of Demonstrations and Examples 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 Jane Doe, Deputy Director, at (916) 555-5555 ext. 2222, jane.doe@example.ca.gov'. Below this is a section titled 'Briefly give a background of your entity.' with a text box containing instructions: 'Must include: All entities under your reporting responsibility' and 'Consider including: Mission and goals, Strategic initiatives, core values/principles, Critical business functions, objectives, and activities, History and statutory duties'. At the bottom of the text box is a 'Next >' button. Below the text box are two buttons: 'Save Progress' and 'Print Report'. The 'Next >' button, 'Save Progress' button, and 'Print Report' button are all circled in red in the image.

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
6. To proceed to a different section within the SLAA report, select the corresponding page link.

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

SLAA Report Sections

Risk Assessment Process

The risk assessment process section of the report allows you to describe management's process for identifying the risks that may affect your entity's ability to meet its missions, goals, and objectives.

Risk Assessment Process

1. Read instructions provided above text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
2. Describe your entity's risk assessment process in the text box.
 - a. This information can be typed or copied and pasted from a word document.
 - b. You have a character limit of **4,500** maximum. Text will stop at the character limit.

Introduction **Risk Assessment Process** Evaluation of Risks and Controls Ongoing Monitoring Conclusion

RISK ASSESSMENT PROCESS

The risk assessment process explains an entity's process for identifying reported risks.

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

< Back Next >

Save Progress Print Report

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
5. To proceed to a different section within the SLAA report, select the corresponding page link.

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

SLAA Report Sections

Evaluation of Risks and Controls

The Evaluation of Risks and Controls section of the SLAA report has been developed to use standardized, common language.

Your entity can report up to 50 risks with up to 10 controls per risk.

While describing your entity's risks, a set of three dropdown fields with menus provide standardized language to identify the risk.

The three fields 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—a broad area that helps define the risk

Based on your selections, the risk subcategory and risk factor dropdown menus change to reflect the previous selection.

The risk, control(s), and the control implementation status are entered in this section. The implementation status of the control must be selected to submit the report.

For further information regarding the control implementation status, see [Appendices](#).

Evaluation of Risks and Controls

Risks

The risk subcategory drop down menu and the risk factor drop down menu are dynamic based on the prior drop down menu selections. See the [Risks and Definitions](#) document for a complete list of risk categories, subcategories, and factors.

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

The screenshot shows the 'EVALUATION OF RISKS AND CONTROLS' form. At the top, there is a navigation bar with links: Introduction, Risk Assessment Process, Evaluation of Risks and Controls, Ongoing Monitoring, and Conclusion. Below the navigation bar, the form title 'EVALUATION OF RISKS AND CONTROLS' is displayed. The main content area shows a card for 'Risk 1' with a 'Delete' button and a link: 'Click here for the complete guide of SLAA Risks and Definitions'. Below this, the 'What is being affected?' dropdown menu is open, showing options: Operations (highlighted), Reporting, and Compliance. A red circle highlights the dropdown menu.

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 and Definitions.

The screenshot shows the 'EVALUATION OF RISKS AND CONTROLS' form. At the top, there is a navigation bar with links: Introduction, Risk Assessment Process, Evaluation of Risks and Controls, Ongoing Monitoring, and Conclusion. Below the navigation bar, the form title 'EVALUATION OF RISKS AND CONTROLS' is displayed. The main content area shows a card for 'Risk 1' with a 'Delete' button and a link: 'Click here for the complete guide of SLAA Risks and Definitions'. Below this, the 'What is being affected?' dropdown menu is open, showing the selected option: Operations. A red arrow labeled '3a' points to the dropdown menu. Below the dropdown menu, the definition for 'Operations' is displayed: 'Effective and efficient functions to achieve an entity's mission or objectives.' A red arrow labeled '3b' points to the link 'Click here for the complete guide of SLAA Risks and Definitions'.

Evaluation of Risks and Controls

4. Move to the second drop down menu and select the risk subcategory labeled “Where does the problem originate?”
 - a. If the Risk Category selected is Reporting, the drop down menu will be labeled as “Is the report used internally or externally?”

What is being affected?

Operations ▼

Effective and efficient functions to achieve an entity's mission or objectives.

Where does the problem originate?

Internal

External

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.

Risk 1 [Delete](#) [Click here for the complete guide of SLAA Risks and Definitions](#)

What is being affected?

Operations ▼

Effective and efficient functions to achieve an entity's mission or objectives.

Where does the problem originate?

Internal ▼

Risks originating within an entity affecting its ability to effectively and efficiently achieve its mission or objectives.

6. Select the risk factor from the third drop down menu labeled “What is or may be the risk?” See [Selecting Other](#) if your entity's risk factor is not listed.

What is or may be the risk?

FI\$Cal Conversion

New System Implementation (Other Than FI\$Cal)

Organizational Structure

Oversight, Monitoring, Internal Control Systems

Physical Resources—Maintenance, Upgrades, Replacements, Security

Program/Activity—Changes, Complexity

Resource Management

Staff—Key Person Dependence, Succession Planning

Staff—Safety

Staff—Training, Knowledge, Competence

Technology—Data Security

Technology—Inadequate Support, Tools, Design, or Maintenance

Technology—Outdated, Incompatible

Workplace Environment

Other

Evaluation of Risks and Controls

Note: The completed view of the risk selections with definitions is shown below.

Introduction Risk Assessment Process Evaluation of Risks and Controls Ongoing Monitoring Conclusion

EVALUATION OF RISKS AND CONTROLS

Risk 1

Risk 1 [Delete](#) [Click here for the complete guide of SLAA Risks and Definitions](#)

What is being affected?

Operations

Effective and efficient functions to achieve an entity's mission or objectives.

Where does the problem originate?

Internal

Risks originating within an entity affecting its ability to effectively and efficiently achieve its mission or objectives.

What is or may be the risk?

Staff—Key Person Dependence, Succession Planning

Loss of institutional knowledge due to heavy reliance on staff who may become temporarily or permanently unavailable.

7. Read instructions provided above the text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
8. Describe your entity's risk in the text box.
 - a. The risk description can be typed or copied and pasted from a word document.
 - b. You have a character limit of **2,500** maximum. Text will stop at the character limit.

Describe the risk.

Consider including:

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

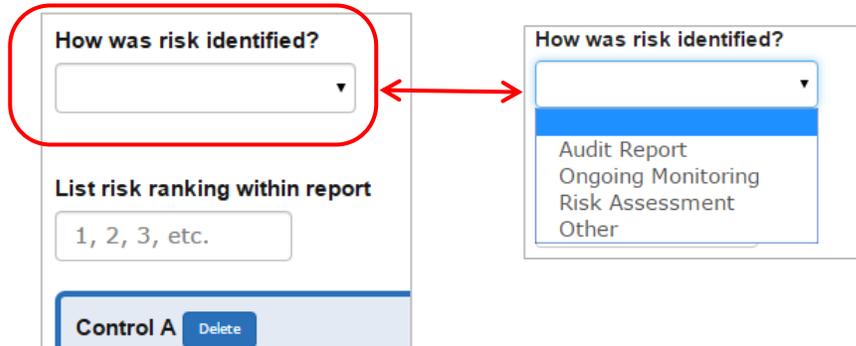
If new system implementation, please include system name.

7a →

Evaluation of Risks and Controls

How Was Risk Identified

9. Select how your entity's risk was identified from the **How Was Risk Identified** drop down menu.



The image shows two views of a form field. On the left, the field is labeled 'How was risk identified?' and is circled in red. Below it is a field for 'List risk ranking within report' with the text '1, 2, 3, etc.'. At the bottom, there is a 'Control A' label and a 'Delete' button. On the right, the same field is shown with a dropdown menu open, listing 'Audit Report', 'Ongoing Monitoring', 'Risk Assessment', and 'Other'. A red arrow points from the dropdown menu on the right to the dropdown menu on the left.

See [Selecting Other](#) if your entity's risk identifier method is not listed.

Risk Ranking

Your entity must select the order the risks appear in your SLAA report.

10. In the **List Risk Ranking within Report** field, enter a number to determine the order in which your risks will be listed. *i.e. 1, 2, 3, 4... etc. relative to the number of risks your entity has.*



The image shows a form field labeled 'List risk ranking within report' with a text input field containing '1, 2, 3, etc.'. A red arrow points to the input field. Below the field is a 'Control A' label and a 'Delete' button.

Note: The risk ranking you chose will not appear immediately. To view the new order of your entity's risks follow instructions below.

1. Click **Save Progress** and exit the SLAA Report by clicking **SLAA Home**.
 2. Click **SLAA Reports** on the SLAA Home Page.
 3. Click the **Evaluations of Risks and Controls** link.
 4. Your entity's risks will reflect the updated order that you have selected.
11. Continue forward to [Controls](#) for instructions on how to enter your entity's controls for each risk.

Evaluation of Risks and Controls

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 box will appear under the drop down menu.
3. Give a brief descriptive label for your entity's risk.

What is or may be the risk?

Other

A risk that cannot be clearly defined in another category.

Describe the risk factor used to help identify the risk.

Other Risk Factor - maximum of 50 characters

4. Return to [Step 7](#) under [Risks](#).

How Was Risk Identified

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

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

How was risk identified?

Other

Describe method used to identify the risk

Other Method - maximum of 50 characters

List risk ranking within report

1, 2, 3, etc.

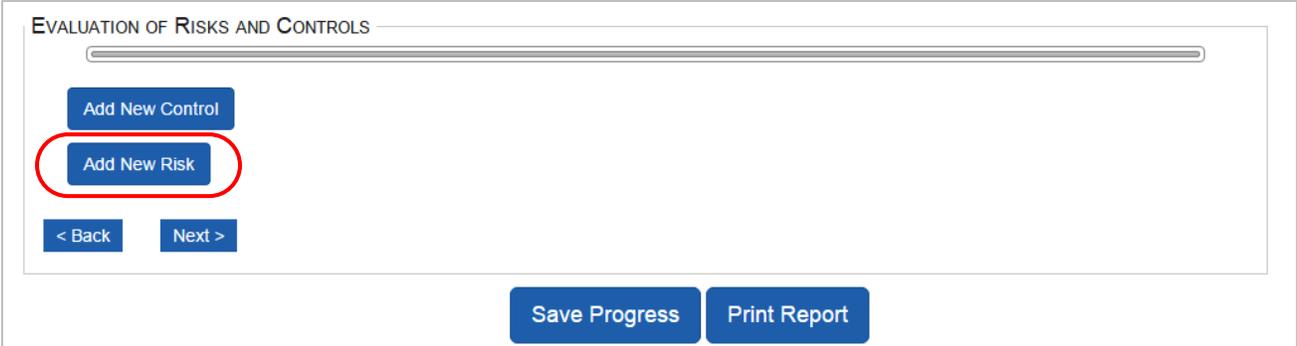
Control A Delete x

4. Return to [Step 10](#) under [Risk Ranking](#).

Evaluation of Risks and Controls

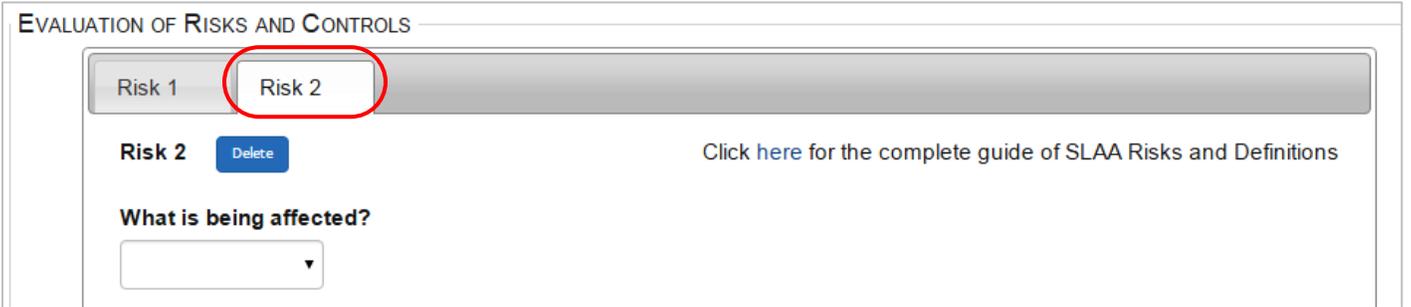
Add New Risk

1. Click **Add New Risk** located at the bottom of the page.



The screenshot shows a web interface titled "EVALUATION OF RISKS AND CONTROLS". At the top, there is a progress bar. Below it, there are three buttons: "Add New Control", "Add New Risk" (circled in red), and "< Back". To the right of the "Add New Risk" button is a "Next >" button. At the bottom of the page, there are two buttons: "Save Progress" and "Print Report".

2. You will be redirected to the top of the page, on a blank risk tab labeled **Risk 2** or the next sequential number.



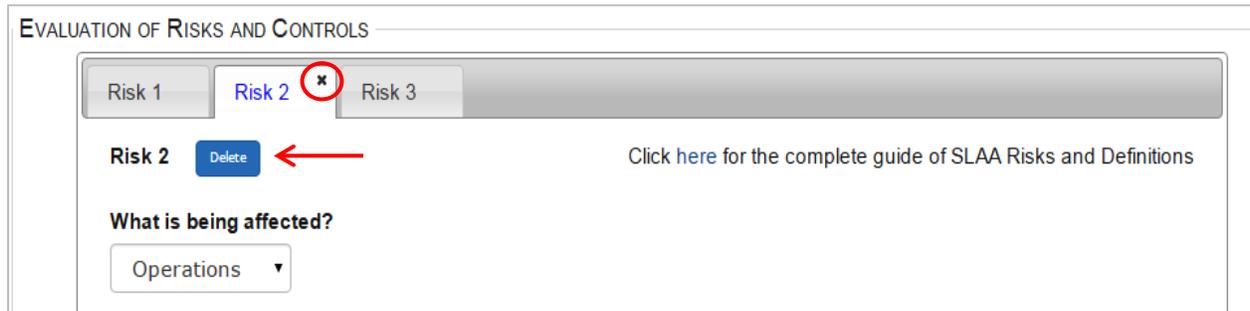
The screenshot shows the same web interface as above, but now with two tabs: "Risk 1" and "Risk 2". The "Risk 2" tab is selected and circled in red. Below the tabs, there is a "Delete" button next to "Risk 2". To the right, there is a link: "Click [here](#) for the complete guide of SLAA Risks and Definitions". Below this, there is a section titled "What is being affected?" with a dropdown menu.

3. Return to Steps 2-11 of [Risks](#) for each risk added.

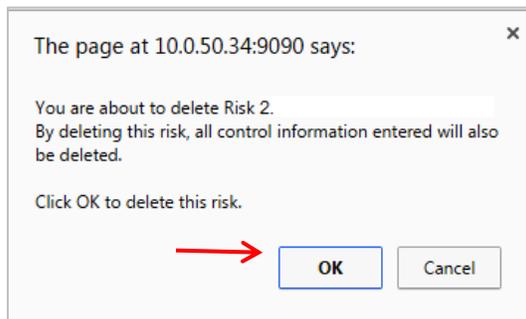
Evaluation of Risks and Controls

Delete Risk

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



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



4. Click **OK**.

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

Evaluation of Risks and Controls

Controls

1. Read instructions provided above the **Control A** text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
2. Describe your entity's control designed to help mitigate the related risk.
 - a. Control A can be typed or copied and pasted from a word document.
 - b. You have a character limit of **2,500** maximum. Text will stop at the character limit.

Control A Delete

Describe the control designed to help mitigate the risk.

Consider including:

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

3. Select **Control A Implementation Status** from the radials at the bottom of the text box. *For definitions of each status, see [Appendices](#).*

Fully Implemented Partially Implemented Not Implemented

Add New Control

Add New Risk

< Back

Next >

Save Progress

Print Report

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

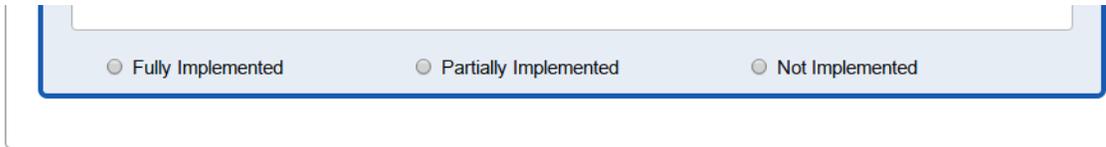
Or
6. To proceed to a different component within the SLAA report, select the corresponding page link.

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

Evaluation of Risks and Controls

Add New Control

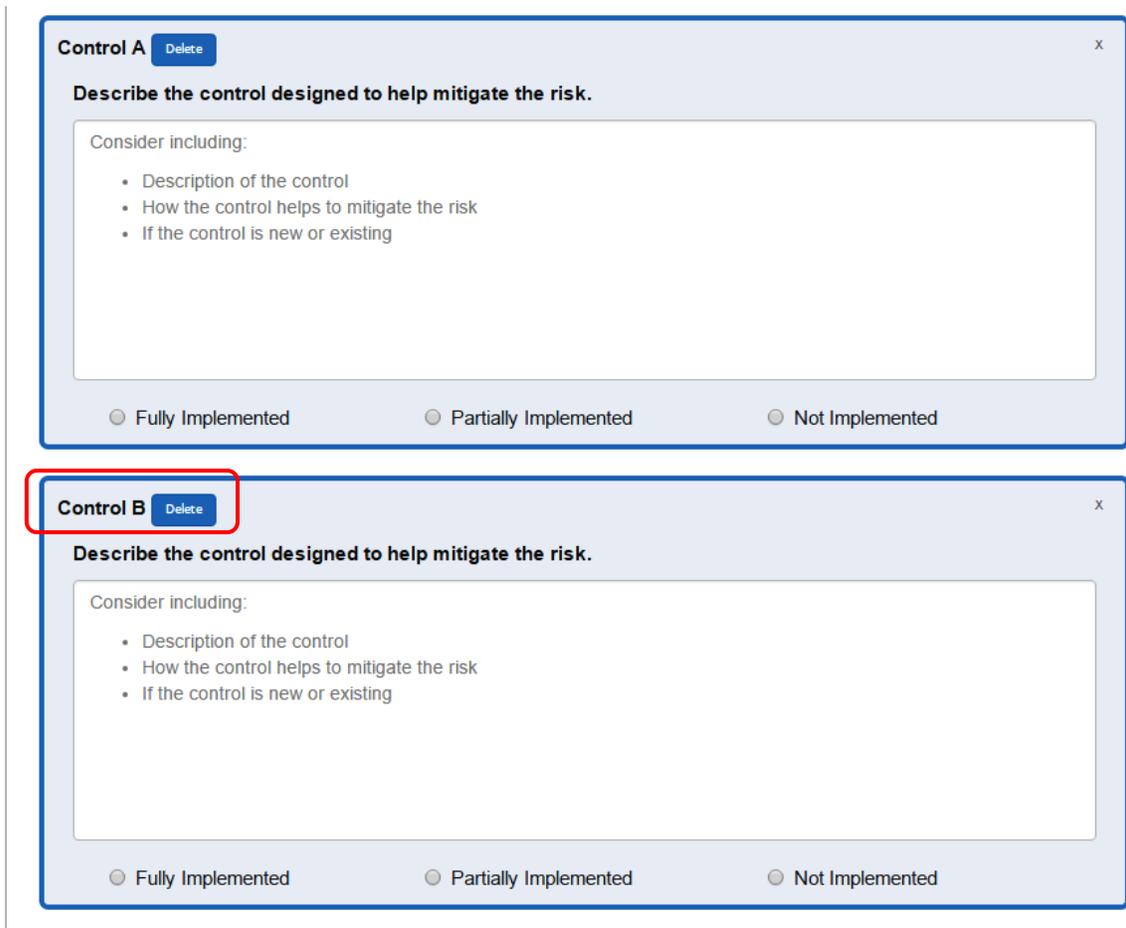
1. Click **Add New Control** located beneath the last control text box.



A horizontal box with a light blue background and a blue border. It contains three radio button options: Fully Implemented, Partially Implemented, and Not Implemented.



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



Two control entry forms are shown, one above the other. Each form has a title bar with the control name and a "Delete" button. The first form is titled "Control A" and the second is titled "Control B". Both forms have a "Describe the control designed to help mitigate the risk." section with a text area and a list of considerations: "Consider including:" followed by a bulleted list: "Description of the control", "How the control helps to mitigate the risk", and "If the control is new or existing". At the bottom of each form are three radio button options: Fully Implemented, Partially Implemented, and Not Implemented. The "Control B" title bar and its "Delete" button are highlighted with a red rectangle.

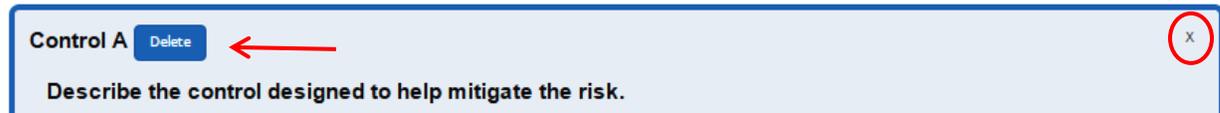


3. Repeat steps to add new control.

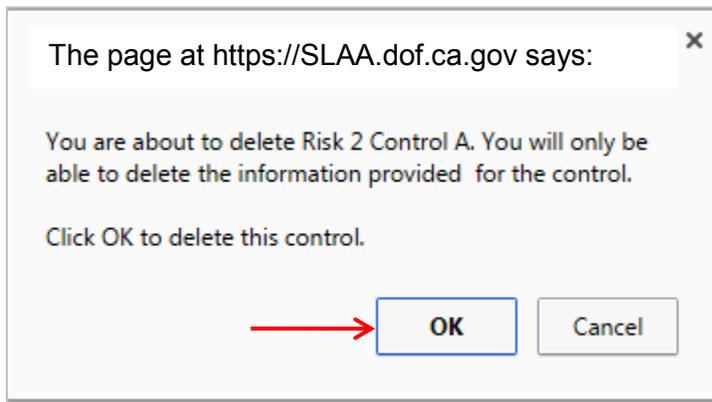
Evaluation of Risks and Controls

Delete Control

1. Click **Delete** next to the control title.
Or
2. Click the **X** in the upper right hand side of the control text box you wish to delete.



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



4. Click **OK**.

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

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SLAA Report Sections

Ongoing Monitoring

Ongoing monitoring is reported in your SLAA report beginning in 2015.

SLAA requires that your entity state whether you comply, partially comply, or do not comply with Government Code.

Ongoing Monitoring

1. Select the statement that applies regarding compliance with Government Code sections 13400-13407 for ongoing monitoring.

Introduction	Risk Assessment Process	Evaluation of Risks and Controls	Ongoing Monitoring	Conclusion
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ONGOING MONITORING

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

- Through our ongoing monitoring processes, the Department of General Services 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 Department of General Services reviews, evaluates, and improves our systems of internal controls and monitoring processes. The Department of General Services 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 Department of General Services reviews, evaluates, and improves our systems of internal controls and monitoring processes. The Department of General Services 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.

2. The Roles and Responsibilities information will populate based on the selections made for Monitoring on the Contact Information page.
 - 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 [Contact Information](#).

Roles and Responsibilities

As the head of Department of General Services, John Doe, Director, is responsible for the overall establishment and maintenance of the internal control system. We have identified Jane Doe, Deputy Director, John Smith, Chief Operating Officer, as our designated agency monitor(s).

3. Scroll down to the following three text boxes labeled: **Frequency of Monitoring Activities, Reporting and Documenting Monitoring Activities**, and **Procedures for Addressing Identified Internal Control Deficiencies**.

Continue to Step 4 

Ongoing Monitoring

4. Read instructions provided above the **Frequency of Monitoring Activities** text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
5. Describe your entity's frequency of monitoring activities in the text box.
 - a. This information can be typed or copied and pasted from a word document.
 - b. You have a character limit of **1,250** maximum. Text will stop at the character limit

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



6. Read instructions provided for the **Reporting and Documenting Monitoring Activities** text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
7. Describe your entity's reporting and documenting monitoring activities in the text box.
 - a. This information can be typed or copied and pasted from a word document.
 - b. You have a character limit of **1,250** maximum. Text will stop at the character limit.

Reporting and Documenting Monitoring Activities

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

Consider including:

- The individuals responsible for performing monitoring functions
- How monitoring results will be documented
- Where monitoring results will be documented
- Forms of communicating the monitoring results within the entity



Ongoing Monitoring

8. Read instructions provided above the **Procedures for Addressing Identified Internal Control Deficiencies** text box and the suggested topics that appears within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
9. Describe your entity's procedures for addressing identified internal control deficiencies in the text box.
 - a. This information can be typed or copied and pasted from a word document.
 - b. You have a character limit of **1,250** maximum. Text will stop at the character limit.

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

< BackNext >

Save Progress Print Report

10. Click **Save Progress** to save the information you have entered.
11. Click **Next** to proceed to the next component of the SLAA report.

Or
12. To proceed to a different component within the SLAA report, select the corresponding page link.

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

SLAA Report Sections

Conclusion

The portal has automated conclusion language that will appear on the final report. This language cannot be changed or deleted. Your entity's name is populated to identify the report as yours.

Along with the conclusion language, you are provided an optional text box for any additional comments you would like to include regarding your entity's SLAA reporting process. This comment field will appear in your entity's final SLAA report if you decide to include additional comments. This comment field is the only field within the SLAA report that is allowed to be blank when you submit your report.

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

Conclusion

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Conclusion

Conclusion—Submission

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

1. Review the SLAA report to ensure all boxes have been filled out.
 - a. Only the optional box on the Conclusion 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 **Conclusion** page.
4. Type your **Name** in the Signature field under **Signed By**.
 - a. Your name should be typed as shown in the Contact Information portal component tab.
 - b. Your typed name is your electronic signature.
 - c. Your job title and current date are automatically populated.

Signed By
John Doe Director
 9/1/2015

< Back

Submit Report Save Progress Print Report Upload Cover Page

5. Click **Submit Report**.
 - a. The Submit Report button will be unlocked only if you have authorization to sign.
6. You will receive a confirmation e-mail from the SLAA hotline verifying that you have submitted your entity's SLAA report.

Corrective Action Plans

Corrective Action Plans (CAP) are created when a control status is submitted as partially or not implemented. A CAP allows your entity to submit updates on the progress of the control implementation. Your entity has the ability to summarize progress or create multiple updates that arise per control. Your entity may add new controls to a CAP if a new control needs to be or has been developed between CAPs.

There are up to four CAPs in a two-year SLAA cycle. Each CAP is due every six months or until all controls have been fully implemented. When a control becomes fully implemented, it does not get carried forward. A CAP period refers to the six months between CAP due dates.

You will receive an e-mail if your entity owes a CAP once your SLAA report has been submitted. The first CAP is due on the same day as your SLAA report, December 31, odd year.

If your entity submits a June 30, odd year CAP with control status as partially or not implemented, the risks and controls will populate onto the SLAA report that is due December 31 of that year. At this time, your entity's management will be able to edit the risks and corresponding controls, add new risks and controls or delete the risks and controls carried forward from the June 30 CAP, if they feel the risk is no longer necessary to be identified in the report.

CAPs may be submitted after the due date for up to three months. Failure to submit your entity's CAP will result in a SLAA status of Non-Compliant. This status may change once the required CAP has been submitted or the next CAP due has been submitted.

Your entity's due dates, submissions, or acceptance of each CAP period is shown on the entity's homepage.

For further information regarding the control status see [Appendices](#).

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Corrective Action Plans

Access to Corrective Action Plans

1. Go to <https://SLAA.dof.ca.gov> or the DOF/SLAA webpage, sign into the SLAA web portal.
2. Click **Corrective Action Plans** or **View Current Corrective Action Plan**.
 - a. Either button will direct you to the Evaluations of Risks and Controls Update page of the current Corrective Action Plan.

The screenshot shows the State Leadership Accountability Act (SLAA) reporting portal. At the top, there is a navigation bar with the following items: SLAA Home, Contact Information, SLAA Reports, Corrective Action Plans, Emerging Risks, and Fraud and Loss. A red arrow points to the 'Corrective Action Plans' menu item. Below the navigation bar, the main content area displays '2015 SLAA Cycle' in large text. Underneath, it states 'SLAA Status: Compliant' and provides a link for 'Non-Compliers List'. There are three main sections: 'SLAA Report' with a '2015 Report: Submitted' status and a 'Current Report' button; 'Corrective Action Plan' with a 'December 31, 2015: Due' status and a 'Current Corrective Action Plan' button; and 'Fraud and Loss Report' with a 'Coming soon!' status and a 'Current Report' button. A red arrow points to the 'Current Corrective Action Plan' button. At the bottom of the page, there is a footer with a welcome message and contact information.

Note: If your Corrective Action Plan (CAP) has been submitted, you will be able to view the final PDF CAP report by clicking on the date of the CAP on your entity's home page.

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

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Corrective Action Plan Sections

Corrective Action Plan

The Corrective Action Plan (CAP) report has been developed to allow agencies to have a standardized form to give updates of controls that have been put in place, in progress, or have yet to be designed.

An update is required for every control with a status of partially or not implemented. The control update must include the name and job title of the person responsible for making sure the control is implemented, the anticipated date when the control will be implemented and the current status of the control. Prior information that appears on each CAP regarding risks, controls, and updates are locked from further modifications. The only fields that are unlocked for modifications are the current update text fields.

For further information regarding the control status, see [Appendices](#).

Corrective Action Plan

Page Blank Intentionally

Corrective Action Plan

1. After clicking on the Corrective Actions Plans (CAP) tab, you will be directed to the Corrective Action Plan page where you will provide the control updates for the current CAP period.
2. Risks and controls with a status of partially or not implemented are populated from the previous report and locked from editing.
3. Scroll down until you see the unlocked **Control A Update** text box for the current CAP period outlined in blue.
4. Read instructions provided above the **Control A Update** text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
5. Describe your entity's control updates for the controls listed in the current CAP report.
 - a. Control updates can be typed or copied and pasted from a word document.
 - b. You have a character limit of 1,250 maximum. Text will stop once you've met the character limit.

Control A Update - December 31, 2015

Provide an update on the control's progress to help to mitigate the risk.

Consider including:

- Sequence of events that have occurred or will occur during the current CAP period
- Steps designed to implement control
- Limitations or restrictions preventing the implementation of the control.

4a →

Person Responsible → Job Title → Date of Action

Fully Implemented Partially Implemented Not Implemented

6. Fill in the **Person Responsible** and their **Job Title** responsible for overseeing the control implementation process.

Corrective Action Plan

7. Select the **Date of Action** for control implementation. The Date of Action is a drop down calendar. Click the arrows next to the month to find the corresponding date.

The screenshot shows a 'Date of Action' dropdown menu. The selected month is 'September 2015', which is circled in red. Below the month is a calendar grid with days of the week (Su, Mo, Tu, We, Th, Fr, Sa) and dates from 1 to 30. The date '28' is highlighted in yellow. A 'Clear' button is located at the bottom right of the calendar.

8. Select the **Control A Update Status** from the radials at the bottom of the text box.
For definitions of each status, see [Appendices](#).

The screenshot shows three radio buttons for the 'Control A Update Status' section. The first radio button, labeled 'Fully Implemented', is selected and has a red arrow pointing to it. The second radio button, labeled 'Partially Implemented', is unselected and has a red arrow pointing to it. The third radio button, labeled 'Not Implemented', is unselected and has a red arrow pointing to it.

9. If you have more than one risk on your CAP, scroll to the top of the page and click on the next risk tab to continue your control updates until all updates have been completed.

The screenshot shows the 'IDENTIFIED RISKS' section. There are two tabs: 'Risk 1' and 'Risk 2'. A red arrow points to the 'Risk 2' tab, indicating it should be selected to continue updates.

10. Click **Save Progress** to save the information you have entered.
11. Click **Next** to proceed to the next component of the current Corrective Action Plan.
Or
12. Proceed to a different component within the current Corrective Action Plan by selecting the corresponding page link.

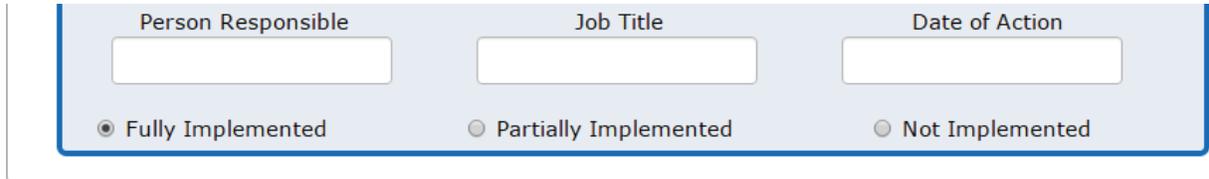
Note: Information will be lost if you do not save progress before navigating away from the SLAA report section.

Corrective Action Plan

Add New Control

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

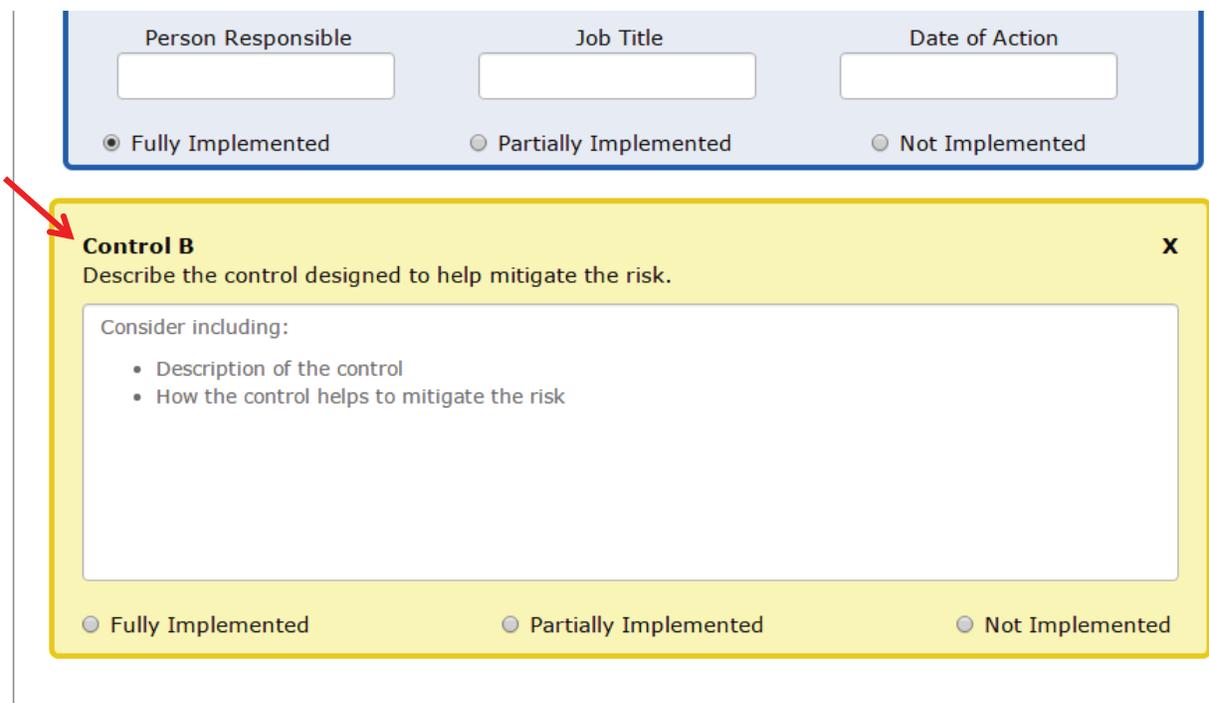
1. Click **Add New Control** located below the Control Update text box.



A screenshot of a form titled 'Add New Control'. It features three input fields: 'Person Responsible', 'Job Title', and 'Date of Action'. Below these fields are three radio buttons: 'Fully Implemented' (selected), 'Partially Implemented', and 'Not Implemented'.

Add New Control

2. A new control text box will appear.



A screenshot of the 'Add New Control' form after clicking the 'Add New Control' button. A new yellow box labeled 'Control B' has appeared. It contains the text 'Describe the control designed to help mitigate the risk.' and a list of suggested topics: 'Description of the control' and 'How the control helps to mitigate the risk'. Below the text box are three radio buttons: 'Fully Implemented', 'Partially Implemented', and 'Not Implemented'. A red arrow points to the 'Control B' box.

Add New Control

3. Read instructions provided above the new **Control** text box and the suggested topics that appear within the text box.
 - a. The suggested topics will disappear once you begin typing in the text box.
4. Describe your entity's control designed to help mitigate the risk listed.
 - a. Control B text box can be typed or copied and pasted into from a word document.

Corrective Action Plan

- b. You have a character limit of **2,500** maximum. Text will stop once you've met the character limit.
5. Select the new **Control Status** from the radials at the bottom of the text box.
For definitions of each status, see [Appendices](#).

4a

Control B X

Describe the control designed to help mitigate the risk.

Consider including:

- Description of the control
- How the control helps to mitigate the risk

Fully Implemented Partially Implemented Not Implemented

Add New Control

6. Return to [Step 9](#) under [Corrective Action Plan](#).

You are required to submit an update for your new control at your next CAP.

Corrective Action Plan Sections

Submission

The Submission page allows either the Agency Head or the Primary Contact to sign and submit your entity's current Corrective Action Plan (CAP).

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

Submission

Only the **Agency Head** and **Primary Contact** listed on the Contact Information page have authorization to sign and submit Corrective Action Plans. If you do not have authorization to sign and submit the Corrective Action Plan, all signature fields will be locked.

1. Review the current Corrective Action Plan (CAP) to ensure all updates have been filled out and radials have been selected.
2. Make any changes to the CAP updates and status as you review.
 - a. Edits to your entity's CAP will not be allowed after you submit the CAP.
3. Once you have verified that your CAP is complete, return to the **Agency Signature** page.
4. Type your **Name** in the Signature field under **Signed By**.
 - a. Your name should be typed as shown in the Contact Information portal component tab.
 - b. Your typed name is your electronic signature.
 - c. Your job title and current date are automatically populated.

Corrective Action Plan Submission

SUBMISSION

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

Signed By
John Doe Director
 9/23/2015

[< Back](#)

Submit Report Save Progress Print Report Upload Cover Page

5. Click **Submit Report**.
 - a. The Submit Report button will only be unlocked if you have authorization to sign.
6. You will receive a confirmation e-mail from the SLAA hotline verifying that you have submitted your entity's current Corrective Action Plan.

Navigating the SLAA Web Portal

The following navigation tools are used for all reporting functions within the SLAA web portal.

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Navigate Away from Reporting Components

1. Click **Save Progress** to save the information you have entered.
2. Click **SLAA Home** or the **SLAA Banner** to be directed back to your entity's SLAA home screen.
Or
3. Click **Sign Out** to log out of the SLAA web portal.

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

Navigate to a Different Section of Reporting Components

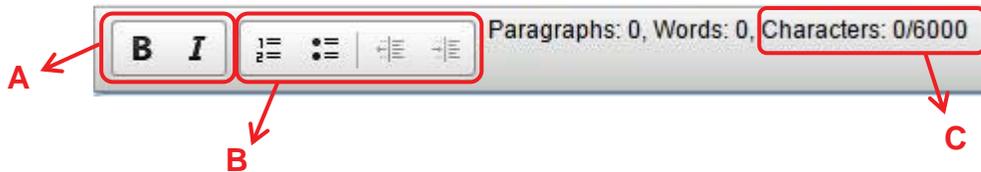
1. Click **Next >** to view the next section of the report.
2. Click **< Back** to view the prior section of the report.
Or
3. To proceed to a different section within the report, scroll to the top of the page and select the corresponding section link.
 - a. The link will highlight **BLUE** when the cursor hovers over it.
 - b. Once the link is selected, it will be **BLACK** and underlined.



Text Box Formatting

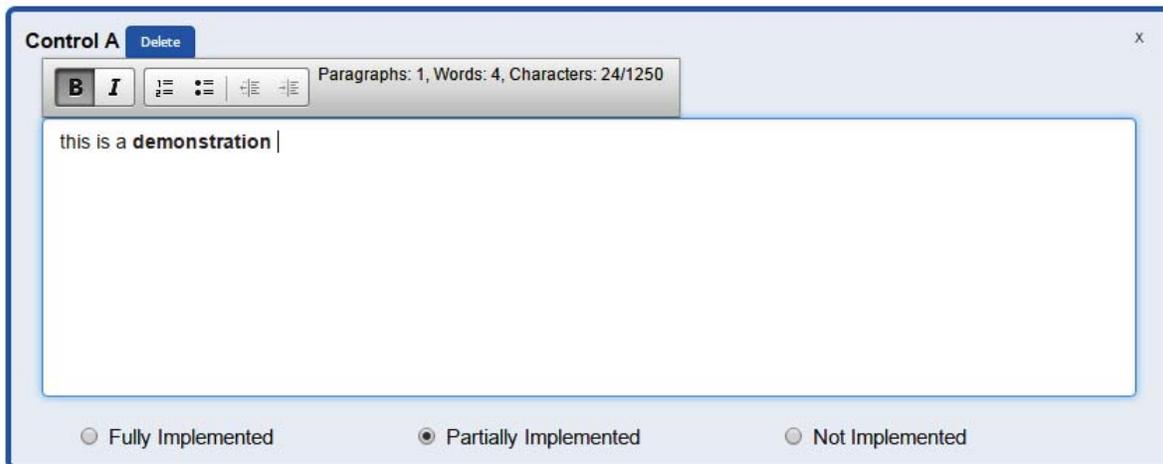
Each component of the State Leadership Accountability Act (SLAA) web portal includes fill in text boxes. These text boxes allow formatting for **bold** or *italic* fonts and bulleting options. The formatting options appear when you click in the text box.

The diagram below identifies each formatting feature.



- A. **Bold or *Italic* Font Choices**
- B. **Bulleting Options**—There is an option to use numbers or bullets.
 - a. *To the right of the bulleting options are indent buttons, these buttons allow you to adjust the indentations in your text boxes only when using the bulleting options.*
 - i. *If a bulleting option is not selected, the indentation buttons are unavailable.*
- C. **Character Count**—the character count varies per text box. If you've used all of the allotted characters, the count turns red and you will be unable to add more characters. Spaces and punctuation count as characters.

The image demonstrates the formatting tool in a text box.



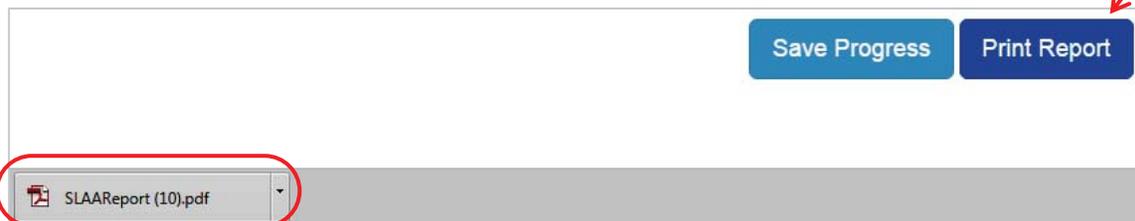
Save PDF Reports

If your entity's report **has not been submitted** by your Agency Head or Primary contact, a draft version of the report can be saved. The draft copy is identified by a DRAFT watermark in the heading of each page.

If your entity's report **has been submitted** by your Agency Head or Primary Contact, a final version of the report can be saved. The final version is identified by not having a DRAFT watermark in the heading of each page.

Google Chrome

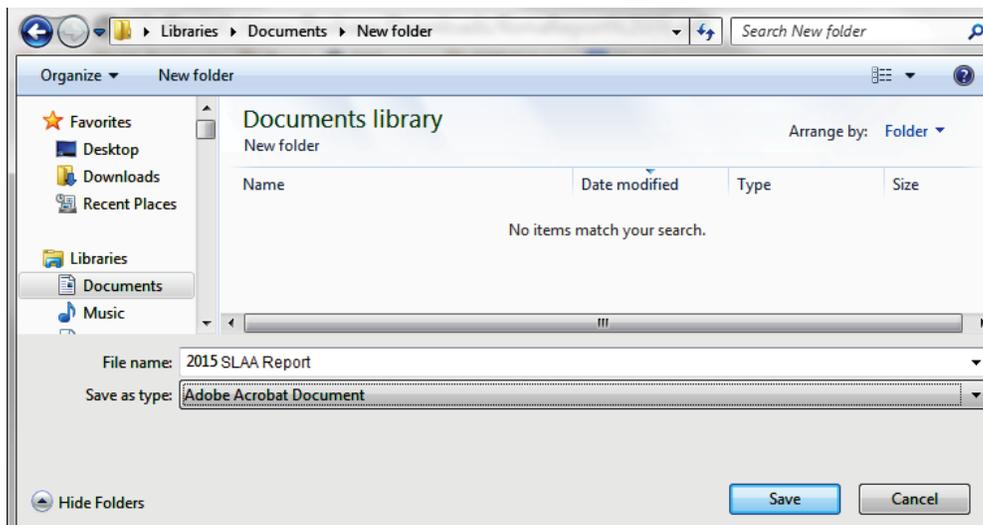
1. Click **Print Report** at the bottom of any page within the report.
2. A PDF file of the report will appear in the lower left hand side of your screen.



3. Click the **PDF file**. The report will appear in a separate window.
4. Right Click in the window showing the report, select **Save as...**

Or

5. Click  located in the upper right-hand corner of your screen. Select **Save page as...**
6. A Save As window will open, edit file name if needed and select where you want to save the report.



7. Click **Save**.

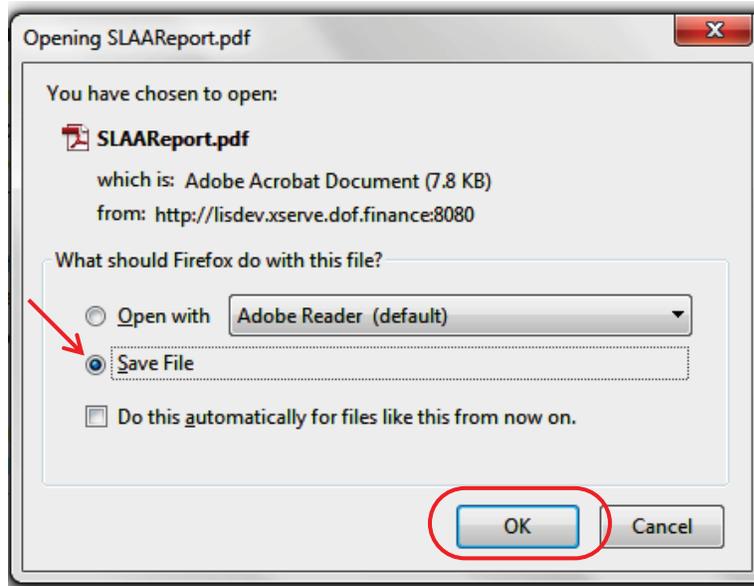
Save PDF Reports

Mozilla Firefox

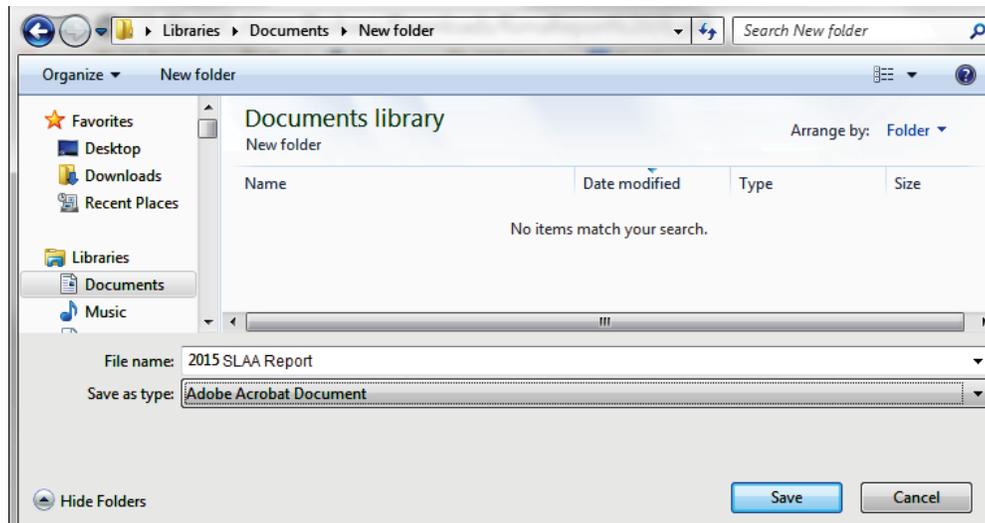
1. Click **Print Report** at the bottom of any page within the report.



2. Select **Save File**, click **OK**.



3. A **Save As** window will open, edit file name if needed and select where you want to save the report.

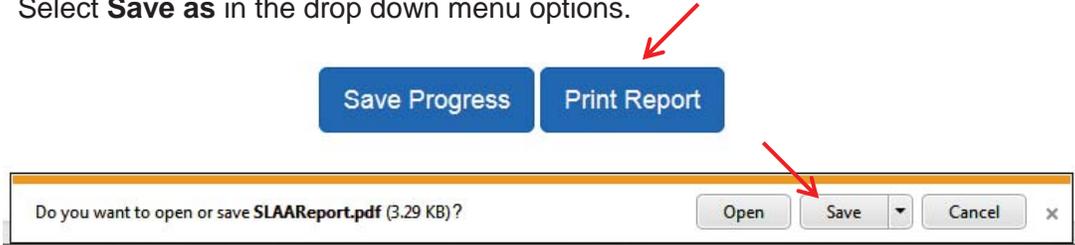


4. Click **Save**.

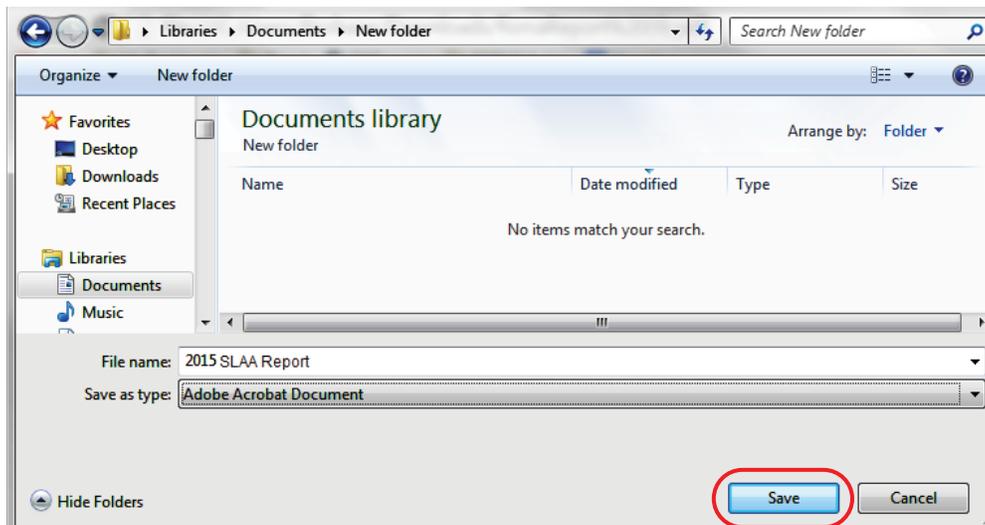
Save PDF Reports

Internet Explorer

1. Click **Print Report** at the bottom of any page within the report.
2. A window will appear at the bottom of your screen, click **Save**.
3. Select **Save as** in the drop down menu options.



4. A **Save As** window will open, edit file name if needed and select where you want to save the report.



5. Click **Save**.

Print PDF Reports

If your entity's report has **not been submitted** by your Agency Head or Primary Contact, a draft of the report will be printed. The draft copy is identified by a DRAFT watermark in the heading of each page.

If your entity's report has **been submitted** by your Agency Head or Primary Contact, a final report will be printed. The final report is identified by not having a DRAFT watermark in the heading of each page.

Google Chrome

1. Click **Print Report** located at the bottom of the page.
2. A PDF file of the report will appear in the lower left hand side of your screen.
3. Click the **PDF file**. The report will appear in a separate window. 



4. Right Click in the window showing the report, select **Print...**
Or
5. Click  located in the upper right-hand corner of your screen. Select **Print...**
6. A Print Screen will open, edit print options as needed.



7. Click **Print**.

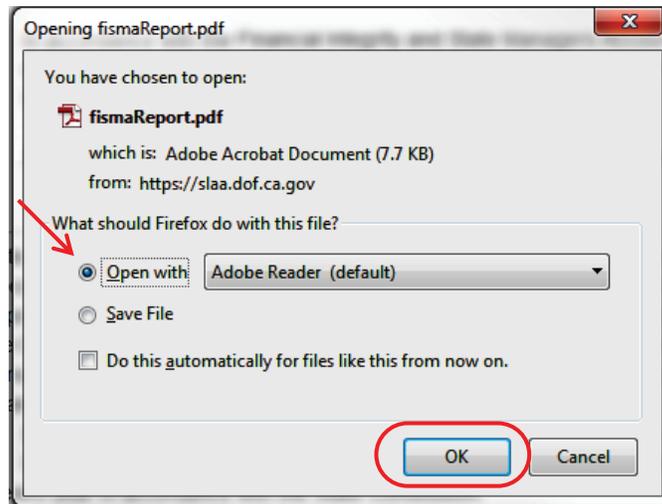
Print PDF Reports

Mozilla Firefox

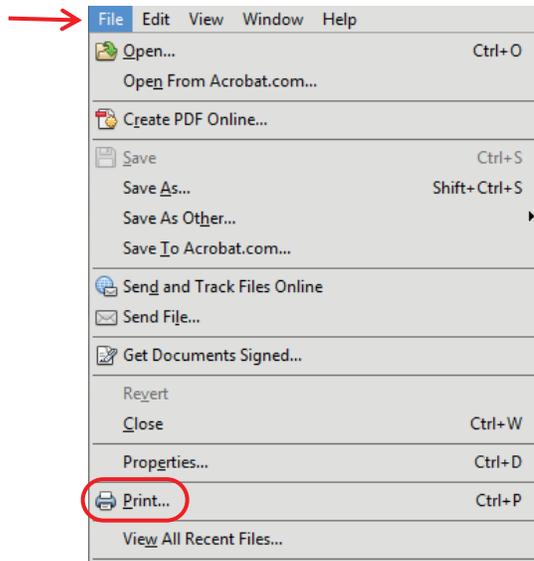
1. Click **Print Report** at the bottom of any page within the report.



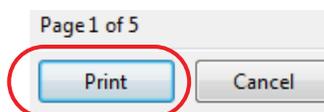
2. Select **Open with Adobe Reader (default)**, click **OK**.



3. The report will open in Adobe Reader. Click **File, Print**.



4. A Print Screen will open, edit print options as needed.
5. Click **Print**.



Print PDF Reports

Internet Explorer

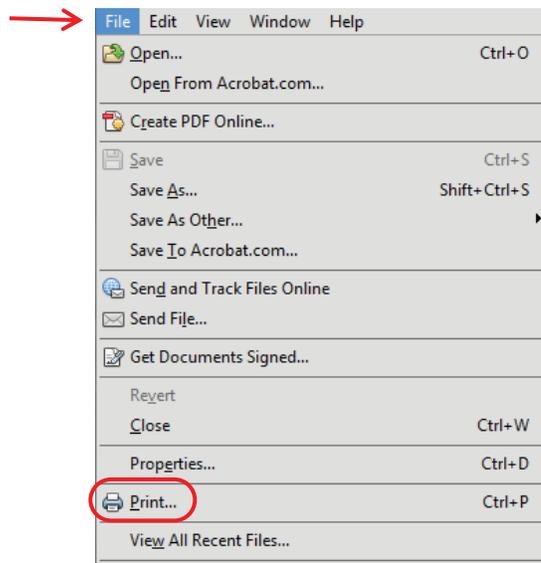
1. Click **Print Report** at the bottom of any page within the report.



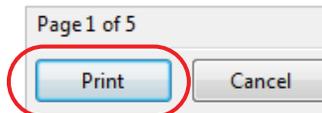
2. A window will appear at the bottom of your screen, click **Open**.



3. The report will open in Adobe Reader. Click **File, Print**.



4. A Print Screen will open, edit print options as needed.
5. Click **Print**.



Corrective Action Plan PDFs

If your entity's Corrective Action Plan (CAP) has **not been submitted** by your Agency Head or Primary Contact, a draft version of the CAP will be printed. The draft copy is identified by a **DRAFT** watermark in the heading of each page. To print a draft version of the CAP, follow the instructions listed in [Print PDF Reports](#), with the browser you are using.

If your entity's CAP has **been submitted** by your Agency Head or Primary Contact, a final CAP will be available to print. The final CAP is identified by not having a **DRAFT** watermark in the heading of each page.

Final PDF of Corrective Action Plans

1. Go to your entity's SLAA homepage.
2. Under the Corrective Action Plan, the status of your CAP reads as **submitted**.

The screenshot shows the SLAA homepage for the Department of General Services. The page title is "2015 SLAA Cycle" and the status is "SLAA Status: Compliant". There are three main sections: "SLAA Report", "Corrective Action Plan", and "Fraud and Loss Report". The "Corrective Action Plan" section is circled in red, showing a "Submitted" status for the "December 31, 2015" report. A red arrow points from this section to a zoomed-in view below.

The zoomed-in view shows the "Corrective Action Plan" section with the date "December 31, 2015" circled in red, indicating it is the link to click. The status is "Submitted" and there is a "Current Corrective Action Plan" button.

3. Click the **date** of the submitted CAP, now a blue link.
4. The link creates your entity's final CAP in PDF form.

To print or save the final CAP, please refer to [Print PDF Reports](#) or [Save PDF Reports](#) associated with your web browser. Begin at Step 2.

Upload Cover Page

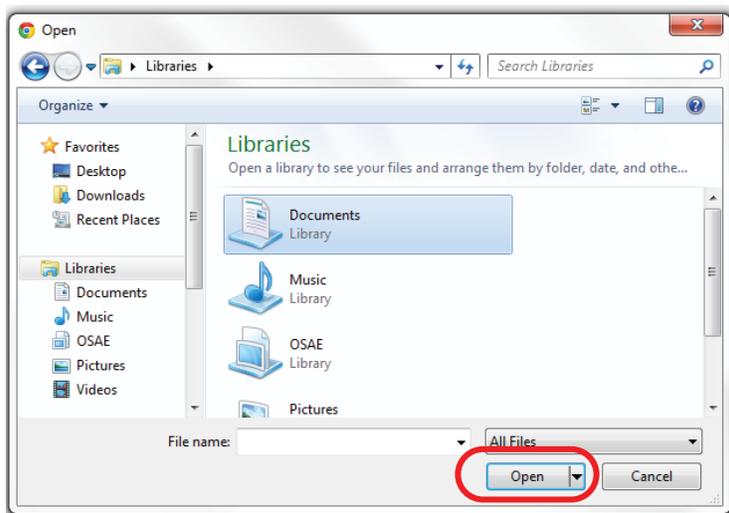
1. Click **Upload Cover Page** on the bottom of the Conclusion page to add a cover page to your entity's SLAA report.



2. A new tab labeled **Upload report cover page** will open on your web browser.
3. Click **Choose File**.



4. The **My Documents** window will open (depending on your computer setup).
5. Find and select your entity's cover page file and click **Open**.



Your entity's cover page must be in a jpg, jpeg, png, gif, or PDF format. You will get an alert if your file is in a different format.



Upload Cover Page

6. Once you click **Open**, The filename will appear next to the **Choose File** button on the web browser tab.
7. Click **Submit**



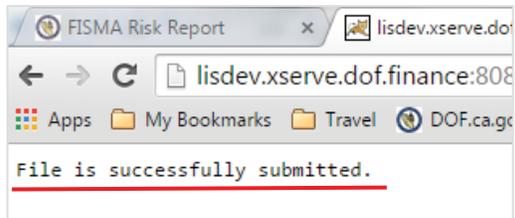
Upload report cover page

Please specify a file, or a set of files:

Choose File dof.gif

Submit

8. You will get a message saying "File is successfully submitted."



9. Close the web browser tab.
10. Proceed into the SLAA portal, click **Print Report** located on any page link within the **SLAA Report** tab.
11. The PDF version of your entity's report will download. **Open** the downloaded PDF.
12. You will see your cover page in your entity's SLAA report.

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Appendices

The Appendix section of the SLAA Web Portal User Guide provides more information regarding the language used within the SLAA web portal.

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Appendix A—Contact Information

Suggested Contact Positions

Below is a list of suggest job titles for each contact position featured in the web portal. These are subjective based on your entity’s organizational structure. Please see [Level of Authorization](#) for the access granted to each contact position within the web portal.

Agency Head—one Agency Head per entity allowed. Examples of position title: Executive Director, Executive Officer, Director, Secretary, Chief Executive Officer, President, Chancellor.

Primary Contact—one Primary Contact per entity allowed. Examples of position title: Chief Deputy Director, Chief Operating Officer, Chief of Staff, Undersecretary, Deputy Executive Director, Deputy Executive Officer, Deputy Director, Deputy Secretary, Assistant Secretary, Assistant Director.

SLAA Administrator—one SLAA Administrator per entity allowed. Performs administrative responsibilities for the SLAA web portal and may be considered the secondary contact person. This person may be a member of the executive management team or an individual who facilitates the SLAA process for your entity.

Additional Resources with Portal Access—any person(s) involved with the SLAA reporting process or that has been selected as Designated Agency Monitor. This person is not listed as an Agency Head, Primary Contact, or the SLAA Administrator.

If the Designated Agency Monitor is someone other than the Agency Head, Primary Contact, or SLAA Administrator, you will enter the Designated Agency Monitor as an Additional Resource.

Appendix A—Contact Information

Level 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 Designated Agency Monitor(s)
- Add or modify report contents
- Sign and submit SLAA reports and Corrective Action Plans

Primary—Primary Contact

- Complete functionality of web portal
- Add, edit, or delete contacts other than the Primary Contact
- Enter information regarding Designated Agency Monitor(s)
- Add or modify report contents
- Sign and submit SLAA reports and Corrective Action Plans

Admin—SLAA Administrator

- Limited functionality of the web portal
- Add, edit, or delete contacts other than SLAA Administrator
- Enter information regarding Designated Agency Monitor(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 each of the **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 contact.*

Appendix B—SLAA Web Portal Statuses

Entity's SLAA Status

The homepage of your entity's web portal shows a SLAA status. The SLAA status tells you if your entity is currently compliant with Government Code 13400-13407. Below is a breakdown of what each status means.

Compliant—your entity is in full compliance with Government Code 13400-13407. To be fully compliant your entity has:

- Submitted the SLAA report
- Submitted current corrective action plan(s) as of the current date—if applicable
- Department of Finance has accepted the report

Non-Compliant—your entity is not in full compliance with Government Code 13400-13407 due to:

- Failure to submit the SLAA report
- Failure to submit the current corrective action plan—if applicable
- Department of Finance has not accepted the report

SLAA Report Due---Your entity's SLAA report is due by December 31 of each odd numbered year.

Appendix B—SLAA Web Portal Statuses

SLAA Reporting Statuses

Certain reporting sections require a control status update. The status selected will determine if your entity is required to submit a Corrective Action Plan. Below is a list of each status and a brief explanation.

Evaluation of Risks and Controls—Control Implementation Status

Fully Implemented—the control is in place and mitigating the risk.

- Your entity is not required to submit a Corrective Action Plan for this control.

Partially Implemented—the control is partially in place to mitigate the risk. The control consists of several components not yet implemented.

- Your entity is required to submit a Corrective Action Plan providing updates on the progress of this control until the control is fully implemented.

Not Implemented—the control does not exist, is not in place, or is in the planning stages.

- Your entity is required to submit a Corrective Action Plan providing updates on the progress of this control until the control is fully implemented.

Ongoing Monitoring—Compliance Status

Comply—your entity has implemented ongoing monitoring that satisfies the requirements set by Government Code sections 13400-13407.

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

Partially Comply—your entity is in the process of designing and implementing ongoing monitoring as required by Government Code sections 13400-13407.

- Your entity is required to submit a Corrective Action Plan providing updates on your entity's progress with ongoing monitoring until your entity is in full compliance with the requirements.

Do Not Comply— your entity is not performing ongoing monitoring 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 Corrective Action Plan providing updates on your entity's progress with ongoing monitoring until your entity is in full compliance with the requirements.