Entity
Implementation Plan

BLUE text is determined by the reporting entity. BLACK text is determined by the web portal.

DRAFT

Submission Date
Agency Head, Title

Implementation Plan Submitted for:
Current Plan Date

ONGOING MONITORING

As the head of Entity, Name, Title, is responsible for the overall establishment and maintenance of the internal control and monitoring systems.

Executive Monitoring Sponsor(s)
The executive monitoring sponsor responsibilities include facilitating and verifying that the Entity internal control monitoring practices are implemented and functioning as intended. The responsibilities as the executive monitoring sponsor(s) have been given to: Selected Name, Title, and Selected Name, Title (as listed in the SLAA report).

Monitoring Activities
Monitoring Activities description populated from the SLAA report.

Update With/Without Progress—Plan Date
Provide an update for the progress made within the last six months.
If update with progress, must include:
- *Events that occurred to advance the progress of the activity over the last six months*
- *Changes or challenges that may have occurred*

Why hasn't any progress been made within the last six months?
If update without progress, must include:
- *Reason(s) why progress wasn't made*
- *Events that occurred limiting or restricting progress*

Contact Person(s): First and Last Name(s)

Is the process implemented: Yes/ Partially/ No

Is the process documented: Yes/ Partially/ No

What's Next
What activities and accomplishments are anticipated for the next six months?
Must Include:
- *Plans to futher develop activities in the next six months*

Next Milestone: Date

Addressing Vulnerabilities
Addressing Vulnerabilities description populated from the SLAA report.

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Contact Person(s): First and Last Name(s)

Is the process implemented: Yes/ Partially/ No

Is the process documented: Yes/ Partially/ No

What's Next
What activities and accomplishments are anticipated for the next six months?
Must Include:
- *Plans to futher develop activities in the next six months*

Next Milestone: Date

___

Communication
Communication description populated from the SLAA report.

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- *Events that occurred limiting or restricting progress*

Contact Person(s): First and Last Name(s)

Is the process implemented: Yes/ Partially/ No

Is the process documented: Yes/ Partially/ No

What's Next
What activities and accomplishments are anticipated for the next six months?
Must Include:
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Next Milestone: Date

___

Ongoing Monitoring Compliance
The Entity has implemented and documented/ is in the process of implementing and documenting/ has not begun the process of implementing and documenting the ongoing monitoring processes as outlined in the

monitoring requirements of California Government Code sections 13400-13407. These processes include reviews, evaluations, and improvements to the Entity systems of controls and monitoring.

RISKS AND CONTROLS

Risk: Risk Category—Risk Subcategory—Risk Factor
Risk description populated from the SLAA report.

Control A
Control A description populated from the SLAA report.

> **Update With/Without Progress—Plan Date**
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> - *Changes or challenges that may have occurred*
>
> Why hasn't any progress been made within the last six months?
> *If update without progress, must include:*
> - *Reason(s) why progress wasn't made*
> - *Events that occurred limiting or restricting progress*
>
> Contact Person(s): First and Last Name(s)
>
> Is the control put into practice: Yes/ Partially/ No
>
> Is this control reducing the risk as expected: Yes/ Partially/ No
>
> **What's Next**
> What activities and accomplishments are anticipated for the next six months?
> *Must Include:*
> - *Plans to futher develop activities in the next six months*
>
> Next Milestone: Date

Control B
Control B description populated from the SLAA report.

> **Update With/Without Progress—Plan Date**
> Provide an update for the progress made within the last six months.
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> - *Changes or challenges that may have occurred*
>
> Why hasn't any progress been made within the last six months?
> *If update without progress, must include:*
> - *Reason(s) why progress wasn't made*
> - *Events that occurred limiting or restricting progress*
>
> Contact Person(s): First and Last Name(s)

Is the control put into practice: Yes/ Partially/ No

Is this control reducing the risk as expected: Yes/ Partially/ No

What's Next
What activities and accomplishments are anticipated for the next six months?
Must Include:
- *Plans to futher develop activities in the next six months*

Next Milestone: Date

Risk: Risk Category—Risk Subcategory—Risk Factor
Risk description populated from the SLAA report.

Control A
Control A description populated from the SLAA report.

Update With/Without Progress—Plan Date
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Contact Person(s): First and Last Name(s)

Is the control put into practice: Yes/ Partially/ No

Is this control reducing the risk as expected: Yes/ Partially/ No

What's Next
What activities and accomplishments are anticipated for the next six months?
Must Include:
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Next Milestone: Date

Control B (if applicable)
New Control— Describe the control designed to help mitigate the risk.

Must Include:
- *Description of the activity*
- *How the activity reduces the risk*