

# Department of Developmental Services SLAA Report

Monitoring and Documenting Process

# DDS HQ Risk Monitoring

- ▶ There are multiple review meetings and updates provided throughout the current SLAA Monitoring Period
  - Monthly Risk Updates by each Division's Responsible Person
  - Quarterly Executive Team Updates by the Designated SLAA Monitor
  - Semi Annual SLAA updates to the Department of Finance by the Designated SLAA Monitor and approved by the Chief Deputy Director.

[Refer to following Monitoring Report examples](#)

# DDS HQ Risk Monitoring

- ▶ The following will outline the steps taken to obtain and maintain current monthly updates from the Divisions on their Assigned Risk.
  - A Blank report template is sent to each responsible person at the start of each month for a report on actions/activities performed the month prior.
  - The Divisions Responsible Person (DRP) updates the template and sends the report back to the Designated SLAA Monitor (DSM) by the date requested.
  - The DSM updates the [DDS SLAA Monitoring Report](#) and adds analysis commentary to [Quarterly DDS SLAA Monitoring Report Page](#).
  - The DSM reports out to the Executive Team regarding the progress and barriers for the mitigation or removal of each identified risk.

[Refer to following Monitoring Report examples](#)

# DDS HQ Reporting & Documenting

- ▶ **Reporting and Documenting Monitoring Activities**
- ▶ **DDS Designated Agency Monitor requires reports from each unit on a monthly basis.**  
These reports inform management of the monitoring practices being conducted, improvements needed, and the overall monitoring success or weakness within each unit. This information is summarized and reported to the DDS Director.

<i>these cells will be copied and pasted from update cells</i>			<i>oversight comments by "Designated Agency Monitor" after reviewing Division Updates</i>	
Control Updates (by Responsible Party)			Outcome / Results	
Events or Actions in CAP Period	Steps used to Implement control	Limitations or Restrictions to implementing control		
<i>Collected copies of all reports to identify data collected</i>	<i>Looked at common report sources or titles and combined critical information.</i>			
<i>Created list of Acronyms for data sources, alphabetically formatted</i>	<i>Looked at common report data outcomes and combined like or similar to</i>			

These updates are provided by the Divisions assigned person each month

Updates will be provided on a monthly basis; this is a key "internal action" report for accurate analysis of the progress on risk items

# DDS HQ Reporting & Documenting

DDS HQ - Risk Monitoring - SLAA - ASD UPDATE									
updated on 04/03/17				these cells will be copied and pasted into Monitoring page cells					
Risk Category	Risk Title	Risk Description	Control Plan(s)				Control Updates (by Responsible Party)		
			Division	Contact	Progress	Control Description	ACTIONS COMPLETED (Events or Actions in CAP Period)	NEXT MONTH ACTIONS (Steps used to implement control)	BARRIERS (Limitations or Restrictions to implementing control)
Data Management		DDS data gathered from regional centers and information summarized	Administrative	Becky Pipoly (interim) 916-664-2219	fully implemented	Identify resources to establish a unit within DDS to implement a team and fiscal research plan and fiscal research plan to improve accuracy, adequacy, relevance, timeliness, and timeliness of data and information for external reporting and internal decision making.	FEB17 - A Research Analyst I started on February 8, 2017 and a Graduate Student Assistant from UC Davis was selected and will start in early April 2017.  JAN17 - A Research Specialist II was transferred from CSD to the Research Section in early January to provide for greater oversight of CPP data and reporting as well as expand the research capacity of the Section. A Research Analyst I was hired and will start in February 8, 2017. Recruitment outreach was done for the CPS IV position at regional centers and for the Graduate Student Assistant at UC Davis.	FEB17 - Recruitment and interviews continuing for CPS IV position and Research Program Specialists. Working with Personnel for creative recruitment approaches.  JAN17 - Recruitment and interviews continuing for CPS IV position, Graduate Student Assistant, and Research Program Specialists. Working with Personnel for creative recruitment approaches.	FEB17 - Recruiting highly qualified RPSs and other positions in Section is proving to be difficult and there is a delay in the filling of positions.  JAN17 - Recruiting highly qualified RPSs and other positions in Section is proving to be difficult and there is a delay in the filling of positions.
					partially implemented	Inventory reports and information being compiled, reviewed, and reported in all divisions.	FEB17 - Monthly meetings with Director continue on short term projects. Research section is on a priority project to assess regional data.	FEB17 - Project to assess regional center data will continue into March. Longer term planning for Research Section will be done after May Revision and budget hearings are completed.	FEB17 - Other DDS priorities making it difficult for the Director, Chief Deputy Director, and other duties to review governance structure and data.
					partially implemented	Publish a Data Dictionary.	JAN17 - Monthly meetings with Chief Deputy Director and Section assess legislative data.	JAN17 - Project to assess regional center data and develop a plan for the Legislature will continue into planning for Revision.	JAN17 - Other DDS priorities making it difficult for the Director, Chief Deputy Director, and other duties to review governance structure and data.
					not implemented				
Operational		Failure to Recruit and retain sufficient qualified staff to fill positions may jeopardize our ability to provide services to our consumers and				Perform succession planning and identify the key person dependency areas and the positions that are at greatest risk	FEB17 - Workforce Planning Policy released by CalHR on 2/23/17. We reviewed the new policy and associated tools. However, no new actions have been implemented.	JAN17 - Review and approve draft survey monkey document. DEC16 - Continue to meet and discuss what is needed to develop effective succession plan for DDS.	JAN17 - Need to obtain license to use Survey Monkey tool. DEC16 - Staffing and time availability continue to be a barrier to work on succession planning

This information is copied and pasted into Quarterly Monitoring document as it is received.

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Actions taken or key events during month (reflects 3 months info)

Actions planned for the next month (reflects 3 months info)

Barriers causing delay in mitigation of risk.

SLAA Risk Monitoring

Updates - ASD

Updates - CSD

Updates - DCD

+

# DDS HQ Reporting & Documenting

DDS HQ - Risk Monitoring - SLAA											
updated on 01/04/16											
<div>fully implemented</div> <div>partially implemented</div> <div>not implemented</div>											
oversight comments by "Designated Agency Monitor" after reviewing Division Updates											
Risk Category	Risk Sub-Category	Risk Factor	Title	Control Plan(s)					Outcome / Results		
				Division	Contact	Status	Progress	Control Description	Metrix	Comments and/or Actions	
Reporting	Internal	Information Collected - Inadequate, Inaccurate, Misinterpreted, or Standards	Data Management	Division	Jean Johnson 916-654-3432	New	not implemented	Identify resources to establish a unit within DDS to implement a program and fiscal research centralized function to improve accuracy, adequacy, relevance, consistency, and timeliness of DDS data and information for both external reporting and internal decision making.	FTE need versus FTE filled	Resource needs have been identified, job roles and responsibilities have been written, however, filling those roles will take some time to complete;	
								being in all	QTY Reports versus Qty Refined		
						New	not implemented		Open or Closed		

This date is changed to reflect latest review & analysis of Risk Status

Executive Team will be updated using this analysis on a quarterly basis

These comments are written by the Designated Monitor for Quarterly update



# DDS HQ Risk Monitoring (sample)

DDS HQ - Risk Monitoring - SLAA									

This information will be provided by the "Designated Agency Monitor" after updates from Division Contact

This information was determined by Division Deputy Directors and submitted on initial SLAA Report