

December 25, 2021

Keely Martin Bosler, Director
California Department of Finance
915 L Street
Sacramento, CA 95814

Dear Director Keely Martin Bosler,

In accordance with the State Leadership Accountability Act (Leadership Accountability), the Commission on Teacher Credentialing submits this report on the review of our internal control and monitoring systems for the biennial period ending December 31, 2021.

Should you have any questions please contact Brigid Hanson, Administrative Services Director, (A), at (916) 445-0474, Brigid.Hanson@ctc.ca.gov.

GOVERNANCE

Mission and Strategic Plan

The mission of the Commission is to ensure integrity and high quality in the preparation, conduct and professional growth of the educators who serve California's public schools. Its work reflects both statutory mandates that govern the Commission and research on professional practices. Critical business functions, objectives and activities for the Commission have been organized by division.

Certification Division

Professional Services Division

Division of Professional Practices

All of these program areas, along with Legal and the Administrative functions collectively ensure the integrity and high quality for the Commission to serve California's educational system.

Control Environment

The Commission staff continue to have conversations and meetings around the need for a workforce that includes succession planning, staff training needs and support for the workplace morale and retention. The implementation of a workforce plan with oversight by Executive management will be directed toward increased training, transfer of historical knowledge, improved documentation, and more opportunities for upward mobility.

The Commission strives to reduce the risks inherent in our work and accepts the responsibility to continuously improve by addressing newly recognized risks and revising controls to prevent those risks.

Information and Communication

The Executive/Senior Managers team holds weekly meetings to review any deficiencies as well as new

risks that have been recently identified. Policy and procedure changes as part of the mitigation process will be broadcast to staff via internal memoranda or internal website. There are Commission meeting with Executive management and the Commissioners to update on any changes to policies and procedures. The Commission also has a website for external individuals to view for any updates, credentialing requirements and other relevant information necessary to ensure there is communication flowing in both directions.

MONITORING

The information included here discusses the entity-wide, continuous process to ensure internal control systems are working as intended. The role of the executive monitoring sponsor includes facilitating and verifying that the Commission on Teacher Credentialing monitoring practices are implemented and functioning. The responsibilities as the executive monitoring sponsor(s) have been given to: Mary Sandy, Executive Director; and Brigid Hanson, Administrative Services Director, (A).

All staff are empowered to raise issues of concern to their immediate supervisor or manager. This may occur through an informal process or may be brought up at monthly unit meetings. Senior Management bring potential actions items to weekly management meetings for discussion and decision making. Upon Executive and management concurrence, staff resources are assigned to undertake and mitigate risks and report back on progress/completion. For long term projects, periodic updates are provided to management along with any problems that may require management resolution to accomplish remediation and mitigation goals. In conjunction with the above the Commission on Teacher Credentialing is in the process of implementing and documenting the ongoing monitoring processes as outlined in the monitoring requirements of California Government Code Sections 13400-13407.

RISK ASSESSMENT PROCESS

The following personnel were involved in the Commission on Teacher Credentialing risk assessment process: executive management, and middle management.

The following methods were used to identify risks: brainstorming meetings, ongoing monitoring activities, audit/review results, external stakeholders, performance metrics, and other.

The following criteria were used to rank risks: likelihood of occurrence, potential impact to mission/goals/objectives, timing of potential event, potential impact of remediation efforts, and tolerance level for the type of risk.

The Commission uses a variety of methods to identify ongoing and current risks within the agency. In addition, to regular meetings of senior management and directors the Agency holds regular safety meetings that cover a variety of topics from physical or electronic. Additionally, the Commission has spent time throughout the past two years working on identifying risk throughout the Agency. The Commission has strengthened our electronic systems to better ensure privacy particularly as it relates to educator information and back up technical security within the Agency to protect sensitive information. The Commission worked closely with educational partners, other state agencies and staff to ensure proposed risk remedies were stronger and more streamlined. This engagement included regular meetings, surveys, and follow-up to ensure the objectives were met. In addition, related safety risks identified for physical risks for individuals working at the Commission were identified as well as

solutions. Risks were identified by surveying all staff as well as engaging in dialogue with senior managers and directors. The improvements and solutions identified through the committee and Commission leadership are currently being implemented.

RISKS AND CONTROLS

Risk: Privacy for Educators

The Commission on Teacher Credentialing security policy imposes a security in depth posture to protect the confidentiality, integrity, and availability of the Commission network and the data within. Commission resources are protected through various layers of technical, physical and administrative controls. These controls include routers, firewalls, identify and authentication management software, multi-factor authentication etc. In addition, data is encrypted at rest and in motion using industry standard encryption algorithms. Vulnerability scanning is continuously applied on all infrastructure and endpoint devices on a regular schedule. Lastly, annual assessments and audits are used to further access potential risks to the Commission.

Control: A

The Commission completed a two-year funded project that helped strengthen our electronic systems to better ensure privacy particularly as it relates to educator information and back up technical security within the Agency to protect sensitive information. Throughout this process the Commission worked closely with educational partners, other state agencies and staff to ensure proposed risk remedies were stronger and more streamlined. This engagement included regular meetings, surveys, and follow-up to ensure the objectives were met.

Control: B

The emphasis on internal controls with the project that strengthened the security of sensitive information for privacy on educators assists in reducing our risks.

CONCLUSION

The Commission on Teacher Credentialing strives to reduce the risks inherent in our work and accepts the responsibility to continuously improve by addressing newly recognized risks and revising risk mitigation strategies as appropriate. I certify our internal control and monitoring systems are adequate to identify and address current and potential risks facing the organization.

Mary Sandy, Executive Director

CC: California Legislature [Senate (2), Assembly (1)]
California State Auditor
California State Library
California State Controller
Director of California Department of Finance
Secretary of California Government Operations Agency
