

Statewide Information Management Manual – SIMM 05A
 Summary of Required Information Technology Reports and Activities
 December 2018

Report/Activity	Source	Instructions to Agencies and State Entities	Send To	Due Dates
Project-related Documents				
Special Project Report (SPR)	SAM Section 4945 ITPL10-07	Send an electronic copy to the Department of Technology with a cc to the Legislative Analyst's Office (LAO).	Department of Technology OSP , LAO	<ul style="list-style-type: none"> • Second Monday in January each year if related to a budget action for the spring process. • Third Monday in July each year if related to a budget action for the fall process. • SPRs that are not related to a budget action can be submitted at any time of the year.
Project Approval Lifecycle Stage/Gate Deliverables	SAM Sections 4800 and 4900 TL 15-02, 16-02 & 16-07	Send an electronic copy to the Department of Technology.	Department of Technology OSP	May be submitted any time of the year in accordance with the SIMM 19 Submittal Instructions.
Project Approval Lifecycle Project Delegation Request (PAL-PDR)	SAM Sections 4819 and 4920-4945 TL 15-02 TL 18-06	Send an electronic copy to the Department of Technology.	Department of Technology OSP	May be submitted any time of the year in accordance with the SIMM 19 Submittal Instructions.
Agency State Entity Portfolio Report	SIMM 19A.5 TL 16-08	Agencies are required to provide a portfolio report of all Agency approved Stage 1 Business Analyses.	Department of Technology OSP and the Department of Finance (DOF)	The fifth working day of the month.

Statewide Information Management Manual – SIMM 05A
 Summary of Required Information Technology Reports and Activities
 December 2018

Independent Project Oversight Report (IPOR)	SAM Section 4819.36 BL 08-06 and ITPL 09-01 ITPL 10-07	Send an electronic copy to the Department of Technology.	Department of Technology OSP	The tenth working day of the month, as follows: High Criticality/Risk – Monthly Medium Criticality/Risk – Quarterly in January, April, July, and October Low Criticality/Risk – Semi-Annually in January and July, if requested by the Department of Technology.
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Project Status Report IT Project Oversight Framework SIMM Section 45: Appendix E – Project Status Reports Template and Appendix F – Project Status Reports Preparation Instructions	SAM Sections 4819.31, 4819.35 and 4910 ITPL 10-07 TL 16-04	Send an electronic copy of the Executive Status Report, Cost Tracking, and Milestone Tracking templates in Excel to the Department of Technology for all IT projects reportable to the Department of Technology (i.e., for projects with Department of Technology-approved Project Approval Lifecycle Stage/Gate Deliverables, FSRs or equivalent documents).	Department of Technology OSP	Unless otherwise specified by the Department of Technology, the fifth working day of the month as follows: High Criticality/Risk – Monthly Medium Criticality/Risk – Quarterly in January, April, July, and October Low Criticality/Risk – Semi-Annually in January and July.
Microsoft Project Schedule	ITPL 10-07	Send a copy of the project schedule in MS Project	Department of Technology OSP	See PSR Due Dates.

Statewide Information Management Manual – SIMM 05A
 Summary of Required Information Technology Reports and Activities
 December 2018

		format with the Project Status Report (PSR). Note: The Project Schedule for low criticality/risk projects should not be included with the PSR unless requested by the Department of Technology.		
Post Implementation Evaluation Report (PIER)	SAM Section 4947	Send an electronic copy to the Department of Technology and one hard copy to the LAO.	Department of Technology OSP D, and LAO	Within 18 months of project completion.

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Organizational/Planning Documents				
Agency Information Management Strategy (AIMS) and Certification	SAM Sections 4900.3 and 4900.5	Departments should collect internally. Retain the AIMS with the department's CIO.		Annually, August. However, submittal to the Department of Technology is suspended until further notice.
Information Management Organization	SAM Section 4903.1	Send electronic version of organization charts to the Department of Technology.	Department of Technology OSP D	Annually, June.
Information Technology Cost Report	SAM Section 4903.2 SIMM 55 TL 17-01 and	Send electronic versions of the completed IT Cost Report Template and the signed and scanned Transmittal Letter. When	Department of Technology, Secure Automated File Exchange	Annually by February 1.

Statewide Information Management Manual – SIMM 05A
 Summary of Required Information Technology Reports and Activities
 December 2018

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	Policy/Guidelines Update 18-002	naming each document, use your Agency or state entity code followed by your departmental acronym at the front of each file name (e.g., 8860_DOF_ITCostReport_FY20xx-xx.xls)	(SAFE) system.	
Software Management Policy Annual Statement of Compliance	SAM Section 4846.2	Retain annual certification along with summary of updated inventories for three years.	Each agency CIO shall retain internally for three years.	Annually, January.
Enterprise Architecture Construction Review	SAM Sections 4819.31 and 4906 ITPL 09-03.	Reporting instructions will be provided at a later date.	Department of Technology EA	Report completion and submittal is suspended until further notice from the Department of Technology.
Security-related Documents				
The following security-related documents and schedule for submission are located on the Department of Technology's SIMM web site at http://www.cio.ca.gov/Government/IT_Policy/SIMM.html .				
Designation Letter	SIMM 5330-A Policy/Guidelines Update 18-001		Department of Technology, CISO	Annually by January 31 and within ten (10) business days of any change in designee.
Risk Management and Privacy Program Compliance Certification	SIMM 5330-B Policy/Guidelines Update 18-001		Department of Technology, CISO	Annually by January 31.

Statewide Information Management Manual – SIMM 05A
 Summary of Required Information Technology Reports and Activities
 December 2018

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Technology Recovery Program Certification	SIMM 5325-A SIMM 5325-B		Department of Technology, CISO	Annually pursuant to TRP Submission Schedule .

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Information Security Incident Report	SIMM 5340-A 5340-B 5340-C Policy/Guidelines Update 18-001		Department of Technology, CISO	Immediately report incidents in accordance with SAM Sections 5340-5340.4 requirements.

Please note the below method and directions for where to send the required submissions.

<i>Send documents to:</i>	California Department of Technology Attn: Office of Statewide Project Delivery (OSPD) 1325 J Street, Suite 1600, Sacramento, CA 95814
◦Submit electronically to ProjectOversight@State.ca.gov with a cc: to your Portfolio Oversight Manager.	
▼Submit electronically to EASubmission@state.ca.gov	
<i>Send CISO documents to:</i>	California Department of Technology Attn: California Information Security Office (CISO) P.O. Box 1810, Mail Stop Y-12 Rancho Cordova, CA 95741-1810
<i>Submit electronically to:</i>	Security@state.ca.gov

Statewide Information Management Manual – SIMM 05A
Summary of Required Information Technology Reports and Activities
December 2018

Send LAO documents electronically to:

Lourdes.Morales@lao.ca.gov

Budget-related Documents

Please see the Department of Finance's Budget Letters web page for submission instructions and due dates for budget-related documents, i.e., Budget Change Proposals and Spring Finance Letters at http://www.dof.ca.gov/budgeting/budget_letters/.