

Statewide Information Management Manual – SIMM 05A
 Summary of Required Information Technology Reports and Activities
 July 2019

| 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 BL 19-06 | Send an electronic copy to the Department of Technology. CDT will send an electronic copy of the approved SPR to the Legislative Analyst's Office (LAO). | Department of Technology Office of Statewide Project Delivery (OSPD) | <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. • Projects modifying project budget in the subsequent budget year must submit draft SPR documents by July 15. |
| Project Approval Lifecycle Stage/Gate Deliverables | SAM Sections 4800 and 4900 TL 15-02, 16-02 & 16-07 BL 19-06 | Send an electronic copy to the Department of Technology. CDT will send an electronic copy of the approved Stage/Gate Deliverable to the Legislative Analyst's Office (LAO). | Department of Technology OSPD | <p>May be submitted any time of the year in accordance with the SIMM 19 Submittal Instructions.</p> <p>Projects requesting planning dollars in the subsequent budget year must submit draft Stage 1 documents by July 15.</p> <p>Project requesting project dollars in the subsequent budget year must submit draft Stage 2 documents by July 15.</p> |
| 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 OSPD | May be submitted any time of the year in accordance with the SIMM 19 Submittal Instructions. |

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| 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. |
| 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 | 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. |

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| Reports Preparation Instructions | | | | |
| Microsoft Project Schedule | ITPL 10-07 | Send a copy of the project schedule in MS Project 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. | Department of Technology OSP | See PSR Due Dates. |
| Post Implementation Evaluation Report (PIER) | SAM Section 4947 | Send an electronic copy to the Department of Technology and Department of Finance. CDT will send an electronic copy of the approved Stage/Gate Deliverable to the Legislative Analyst's Office (LAO). | Department of Technology OSP | 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. |

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| Information Management Organization | SAM Section 4903.1 | Send electronic version of organization charts to the Department of Technology. | Department of Technology Office of Government Affairs | Annually, June. |
| Information Technology Cost Report | SAM Section 4903.2 SIMM 55 TL 17-01 and Policy/Guidelines Update 18-002 | Send electronic versions of the completed IT Cost Report Template and the signed and scanned Transmittal Letter. When 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) | Department of Technology, Secure Automated File Exchange (SAFE) system. | Annually by February 1. |
| 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 (EA) 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 . | | | | |

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| Designation Letter | SIMM 5330-A Policy/Guidelines Update 18-001 | | Department of Technology, CISO | Annually by the last business day of the state entity's scheduled reporting month and within ten (10) business days of any designee changes. See Security Compliance Reporting Schedule, SIMM 5330-C for annual submission reporting month. |
| Information Security and Compliance Certification | SIMM 5330-B Policy/Guidelines Update 18-001 | | Department of Technology, CISO | Annually by the last business day of the state entity's scheduled reporting month and within ten (10) business days of any designee changes. See Security Compliance Reporting Schedule, SIMM 5330-C for annual submission reporting month. |
| Technology Recovery Program Certification | SIMM 5325-A SIMM 5325-B | | Department of Technology, CISO | Annually by the last business day of the state entity's scheduled reporting month. |
| Security-related Documents | | | | |
| 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; Incident Reporting and Response Instructions, SIMM 5300-A; and, Requirements to Respond to a Incidents Involving a Breach of Personal Information, SIMM 5340-C. |

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

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| <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 |
| <i>Send LAO documents electronically to:</i> | Brian.Metzker@lao.ca.gov |
| <i>Send DOF documents electronically to:</i> | itcudocs@dof.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://dof.ca.gov/budget/Budget Letters/](http://dof.ca.gov/budget/Budget_Letters/).