
State of California

California Department of Technology

Office of Information Security

Host/Hosted Self-Certification

SIMM 5330-E

July 2022

REVISION HISTORY

REVISION	DATE OF	OWNER	SUMMARY OF CHANGES
Initial Release	January 2020	Office of Information Security (OIS)	NAME CHANGE: Parent/Child Relationship to Host/Hosted Relationship
Minor Update	July 2022	OIS	Added the “No Host/Hosted Relationship” requirement to update within 10-business days of any change in Host/Hosted Relationship status.

TO: Office of Information Security,
California Department of Technology
Attn: Security Compliance Reporting
P.O. Box 1810, Mail Stop Y- 01
Rancho Cordova, CA 95741

DATE: _____

ENTITY NAME: _____

ORG CODE: _____ (As identified in the [Uniform Codes Manual](#))

SUBJECT: Host/Hosted Self-Certification (**Previously referred to as the Parent/Child Relationship**)

IMPORTANT: The Host/Hosted¹ relationship is used for AUDIT & ASSESSMNT² PURPOSES ONLY

This certification identifies if there is a Host/Hosted Relationship and authorizes the Hosted entity to be included within a single³ Host entity’s audit and/or assessment for a reduced fee. The signatures on this SIMM 5330-E must reflect the Information Security staff, as designated on the Designation Letter (SIMM 5330-A), for BOTH of the Host and Hosted entities.

In order to be considered a Hosted entity in a Host/Hosted relationship, the Hosted entity must meet **ALL THREE** of the below criteria:

- **POLICY BOUNDARY:** Hosted entity does NOT have a separate information security policy boundary from the Host entity.
- **SECURITY BOUNDARY:** Hosted entity is ENTIRELY contained within the security boundary of the Host entity.
- **ACTIVE DIRECTORY ENVIRONMENT:** Hosted entity must meet at least one of the following:
 - does NOT have a separate Active Directory from the Host entity, **and/or**
 - has an Active Directory that is FULLY managed by the Host entity.

This form is submitted annually in accordance with the Information Security Compliance Reporting Schedule (SIMM 5330-C) and within 10-business days of any change, and certifies one of the following (select one):

- This entity has no Host/Hosted Relationship
- The identified Hosted entity meets **ALL THREE** of the required criteria above to be considered a Hosted entity to the designated Host entity. The Host and Hosted entities are identified below:

HOST ENTITY NAME	ORG CODE	HOSTED ENTITY NAME	ORG CODE

ADDITIONAL INFORMATION: If it is determined at the time of an audit or assessment that the Hosted entity **does not meet ALL THREE of the criteria above**, the Hosted entity will still be audited or assessed and any amount billed or due will be direct billed to the designated Host entity.

All state entities, **including “Hosted” entities**, must comply with all mandatory compliance reporting requirements. Separate compliance forms are required for **ALL** state entities regardless if they meet the criteria for a Host/Hosted relationship. The Host entity may assist the Hosted entity with meeting the compliance requirements.

¹ Previously referred to as the Parent/Child relationship.

² “Audit” refers to the OIS Information Security Program Audit (ISPA). “Assessment” refers to the Independent Security Assessment (ISA) performed by the California Military Department or an approved third party.

³ In order to meet the Host/Hosted relationship, a Hosted Entity may not be supported by multiple entities. To be considered a Hosted Entity, the Hosted Entity must meet all of the Host/Hosted criteria and can only be supported by a SINGLE Host Entity.

This form must be signed by **ALL** Information Security staff listed below, as identified on the Designation Letter (SIMM 5330-A), for BOTH entities.

HOST ENTITY:

By signing this certification, my entity certifies that they are the Host entity and that the Hosted entity meets **ALL THREE** of the previously listed criteria to be a considered a Hosted entity. My entity fully accepts the role and the requirements that come with being the Host entity.

CHIEF INFORMATION OFFICER:

Name Date Signature

INFORMATION SECURITY OFFICER:

Name Date Signature

AGENCY CHIEF INFORMATION OFFICER:

Name Date Signature

AGENCY CHIEF INFORMATION SECURITY OFFICER:

Name Date Signature

HOSTED ENTITY:

By signing this certification, my entity certifies that they are the Hosted entity and meets **ALL THREE** of the previously listed criteria to be a considered a Hosted entity under the listed Host entity.

CHIEF INFORMATION OFFICER:

Name Date Signature

INFORMATION SECURITY OFFICER:

Name Date Signature

AGENCY CHIEF INFORMATION OFFICER:

Name Date Signature

AGENCY CHIEF INFORMATION SECURITY OFFICER:

Name Date Signature