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**State of California**  
**California Department of Technology**  
**Office of Information Security**

**Information Security Compliance Reporting**  
**Schedule**

**SIMM 5330-C**  
**April 2024**

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<b>Title</b>	Information Security Compliance Reporting Schedule
<b>Owner</b>	Office of Information Security
<b>Publish Date</b>	January 2018
<b>Last Review Date</b>	April 2024

## Purpose

This SIMM establishes the standardized procedures and timelines for all state entities to submit annual and quarterly information security and privacy compliance reports.

## Audience

The Information Security Compliance Reporting Schedule applies to all California state entities, including departments, divisions, bureaus, boards, commissions, and independent and constitutional entities, as defined in [GOV Section 11546.1](#) and [11000](#).

The reporting requirements identified in this document are applicable to all state entities in accordance with [State Administrative Manual \(SAM\) Section 5330.2](#).

## Scope

This document specifies the required documents, timelines, and protocols for reporting compliance with the state's information security and privacy policies. It covers annual and quarterly reporting and provides instructions for securely submitting information to the Office of Information Security (OIS).

## Compliance

[GOV Section 11549.3](#) empowers the Office of Information Security (OIS) to create, issue, and maintain policies, standards, and procedures; oversee information security risk management for agencies and state entities; provide information security and privacy guidance; and ensure compliance with State Administrative Manual (SAM) Chapter 5300 and Statewide Information Management Manual (SIMM) section 5300.

Agency/state entities must adhere to OIS-issued information security and privacy policies and all relevant laws, regulations, rules, and standards governing their agency/state entity.

## Submission Instructions

All state entities are required to follow the Information Security Compliance Reporting Schedule for submitting annual Statewide Information Management Manual (SIMM) security compliance reporting documents in accordance with [State Administrative Manual \(SAM\) Section 5330.2](#).

State entities are required to submit their annual reports to the Office of Information Security (OIS) by the last business day of their scheduled reporting month.

Independent / Constitutional Agencies and Entities outlined in GC 11000 are to submit their reports by February 1<sup>st</sup> annually.

If designees change, the updated report is due within ten (10) business days unless otherwise noted in the instructions provided.

### I. Reporting Requirements for Agencies, Independents/Constitutionals, and Unaffiliated Entities outlined in ([GOV Section 11546.1](#) & [GOV Section 11000](#))

Independent and Constitutional entities are required to report partially. However, full compliance reporting is expected to ensure adherence to regulatory standards.

#	Document Required	GC11546.1 Entities	GC11000 Entities
1	<a href="#">SIMM 55-B</a> - Information Technology Cost Report	Required (Yearly)	Encouraged (Yearly)
2	<a href="#">SIMM 55-C</a> - Information Technology Cost Report Transmittal	Required (Yearly)	Encouraged (Yearly)
3	<a href="#">SIMM 5305-C</a> - Risk Register and Plan of Action and Milestones Worksheet (RRPOAM) <ul style="list-style-type: none"> <li>Quarterly submissions are due on the last business day of the following months: January, April, July, and October.</li> <li>Information contained in the RRPOAM is confidential; securely send the entire form(s) to OIS using the Secure Automated File Exchange (SAFE) system.</li> </ul>	Required (Quarterly)	Required (Yearly)
4	<a href="#">SIMM 5305-C</a> - Risk Register and Plan of Action and Milestones Certification	Required (Quarterly)	Required (Yearly)
5	<a href="#">SIMM 5325-A</a> - Technology Recovery Plan	Required	Encouraged

	(TRP) <ul style="list-style-type: none"> <li>The information in the TRP is confidential. Securely send the entire form and any attachments to OIS using SAFE or hand deliver to OIS.</li> </ul>	(Yearly)	(Yearly)
6	<a href="#">SIMM 5325-B</a> - Technology Recovery Program Certification	Required (Yearly)	Encouraged (Yearly)
7	<a href="#">SIMM 5330-A</a> - Designation Letter	Required (Yearly and ad-hoc upon a designation change)	Encouraged (Yearly)
8	<a href="#">SIMM 5330-B</a> - Information Security and Privacy Program Compliance Certification	Required (Yearly)	Encouraged (Yearly)
9	<a href="#">SIMM 5330-E</a> - Host/Hosted Self-Certification	Required (Yearly)	Encouraged (Yearly)
10	<a href="#">SIMM 5330-F</a> - Information Security and Privacy Program Compliance Certification		Required (Yearly)
11	Independent Security Assessment		Required (Yearly)

## II. Reporting Schedule

Agency Name	Acronym	Due Date
California Natural Resources Agency	CNRA (GC 11546.1)	January 31st
California Environmental Protection Agency	CalEPA (GC 11546.1)	January 31st
California Government Operations Agency	CalGovOps (GC 11546.1)	January 31st
Independent and Constitutional Entities	Independent/Constitutional (GC 11000)	February 1st
Department of Corrections and Rehabilitation	CDCR (GC 11546.1)	April 30th
Un-Affiliated Entities not part of an agency	Un-Affiliated (GC 11546.1)	April 30th
California Health and Human Services Agency	CalHHS (GC 11546.1)	July 31st
Labor and Workforce Development Agency	LWDA (GC 11546.1)	July 31st
Business, Consumer Services and Housing Agency	BCSH (GC 11546.1)	October 31st
California State Transportation Agency	CalSTA (GC 11546.1)	October 31st

### **III. Document Delivery**

Documents can be submitted to OIS using the [Secure Automated File Exchange \(SAFE\) system](#).

Additionally, hand delivery of compliance documents to OIS is available at the address below.

**Office of Information Security**  
10860 Gold Center Drive, Suite 200  
Rancho Cordova, CA 95670

To hand deliver documents, proceed to the security desk on the second floor in Suite 200. The security personnel will contact an OIS representative to collect the compliance documents.

### **Applicable Rules, Laws, and Regulations**

[GOV Section 11546.1](#)

[GOV Section 11549.3](#)

[GOV Section 11000](#)

### **Questions**

Questions regarding this SIMM may be sent to:

**California Department of Technology**

**Office of Information Security**

[Security@state.ca.gov](mailto:Security@state.ca.gov)

## Revision History

REVISION	DATE OF RELEASE	OWNER	SUMMARY OF CHANGES
Initial Release	January 2018	Office of Information Security (OIS)	
Minor Updates	February 2018	OIS	Addition of New State Entity (OTA); Org Code Correction
Minor Updates	March 2019	OIS	Adjusted SOS Due Date; Addition of New State Entities (CCAP & DRE); Added Confidential Statement.
Minor Update	January 2020	OIS	<p>Per WIC Section 5845, removed Mental Health Services Oversight &amp; Accountability Commission (Org Code # 4560) from the purview of the California Health &amp; Human Services Agency (Org Code # 0530) and moved them to "Un-Affiliated".</p> <p>Per the Supreme Court of the United States, the California Correctional Health Care Services (Org Code # 4605) does not fall under the jurisdiction of the California Department of Corrections and Rehabilitation (Org Code # 5225) and moved them to "Un-Affiliated".</p> <p>Per Government Code 14985.1 (e), removed California Commission on Disability Access (previous Org Code # 8790) as an independent entity, resides now within the Department of General Services (Org Code # 7760) and will no longer be tracked separately.</p> <p>Addition of the Host/Hosted Self-Certification (SIMM 5330-E) to the required compliance documents list.</p>

Minor Update	October 2022	OIS	<p>Relabeled Office of the Governor (Org Code # 500) to Independent.</p> <p>Removed Commission on Judicial Performance (Org Code # 280) as not part of Executive Branch.</p> <p>Relabeled California Governor's Office of Business and Economic Development (Org Code # 509) to Independent.</p> <p>Relabeled California Governor's Office of Planning and Research (Org Code # 650) to Independent.</p> <p>Updated entity name from Office of Statewide Health Planning and Development to California Department of Healthcare Access and Information (Org Code # 4140) due to name change.</p> <p>Relabeled California Correctional Health Care Services (Org Code # 4605) to Independent.</p>
Minor Update	November 2022	OIS	<p>Per Assembly Bill No. 172, Chapter 696, Section 13, removed State of California Office of the Patient Advocate (Org Code #0530-0295), now resides within California Health and Human Services Agency (Org Code #0530), and will no longer be tracked separately.</p>
Minor Update	March 2023	OIS	<p>Relabeled Tahoe Regional Planning Agency (Org Code # 3110-2320 (3150)) to Independent.</p>
Minor Update	April 2024	OIS	<p>Updated compliance reporting schedule table to reflect agency level only and removed the name of each individual entity. Each individual entity under their respective agency shall still be required to follow GOV 11549.3.</p> <p>Update to new template structure.</p>