

Statewide Information Management Manual – SIMM 05A  
 Summary of Required Information Technology Reports and Activities  
 August 2016

Report/Activity	Source	Instructions to Agencies and State Entities	Send To	Due Dates
<b>Project-related Documents</b>				
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 ITPOD, LAO	<ul style="list-style-type: none"> <li>• Second Monday in January each year if related to a budget action for the spring process.</li> <li>• Third Monday in July each year if related to a budget action for the fall process.</li> <li>• SPRs that are not related to a budget action can be submitted at any time of the year.</li> </ul>
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 ITPOD	May be submitted any time of the year in accordance with the SIMM 19 Submittal Instructions.
Project Approval Lifecycle Reporting Exemption Request (PAL-RER)	SAM Sections 4819 and 4920-4945 TL 15-02	Send an electronic copy to the Department of Technology.	Department of Technology ITPOD	May be submitted any time of the year in accordance with the SIMM 19 Submittal Instructions.
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 ITPOD	<p>The tenth working day of the month, as follows:</p> <p>High Criticality/Risk – Monthly</p> <p>Medium Criticality/Risk – Quarterly in January, April, July, and October</p> <p>Low Criticality/Risk – Semi-Annually in January and July, if requested by the Department of Technology.</p>

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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 Report 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 ITPOD	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 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 ITPOD	See PSR Due Dates.

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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 ITPOD, LAO	Within 18 months of project completion.
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<b>Organizational/Planning Documents</b>				
Conceptually Approved IT Project Proposals Report	SAM Section 4904	Submit electronically to the Department of Technology.	Department of Technology ITPOD	May be submitted any time of the year in accordance with the SIMM 19 Submittal Instructions.
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 ITPOD	Annually, June.
Information Management Costs	SAM Section 4903.2	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	Department of Technology ITPOD	Annually by February 1

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		each file name (e.g., 8860_DOF_ITCostReport.xls)		
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.
<b>Security-related Documents</b>				
The following security-related documents and schedule for submission are located on the Department of Technology's SIMM web site at <a href="http://www.cio.ca.gov/Government/IT_Policy/SIMM.html">http://www.cio.ca.gov/Government/IT_Policy/SIMM.html</a> .				
Designation Letter	SIMM 5330-A		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		Department of Technology, CISO	Annually by January 31
Technology Recovery Program Certification	SIMM 5325-A SIMM 5325-B		Department of Technology, CISO	Annually pursuant to <a href="#">TRP Submission Schedule</a>

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Information Security Incident Report	SIMM 5340-A 5340-B 5340-C		Department of Technology, CISO	Immediately report incidents in accordance with <a href="#">SAM Sections 5340-5340.4</a> 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: IT Project Oversight Division (ITPOD) 1325 J Street, Suite 1600 Sacramento, CA 95814
◦Submit electronically to <a href="mailto:ProjectOversight@State.ca.gov">ProjectOversight@State.ca.gov</a> with a cc: to your Portfolio Oversight Manager.	
▼Submit electronically to <a href="mailto:EASubmission@state.ca.gov">EASubmission@state.ca.gov</a>	
<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>	<a href="mailto:Security@state.ca.gov">Security@state.ca.gov</a>
<i>Send LAO documents electronically to:</i>	<a href="mailto:Lourdes.Morales@lao.ca.gov">Lourdes.Morales@lao.ca.gov</a>

**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/](http://www.dof.ca.gov/budgeting/budget_letters/).