State of California

Department of Technology

Information Security Compliance Reporting Schedule

Statewide Information Management Manual – 5330-C

June 2026

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Document History

Revision	Date of Release	Owner	Summary of Changes
v1.0	January 2018	Office of Information Security (OIS)	Initial release
v1.1	February 2018	OIS	Addition of New State Entity (OTA); Org Code Correction
v1.2	March 2019	OIS	Adjusted SOS Due Date; Addition of New State Entities (CCAP & DRE); Added Confidential Statement.
v1.3	January 2020	OIS	Per WIC Section 5845, removed Mental Health Services Oversight & Accountability Commission (Org Code # 4560) from the purview of the California Health & Human Services Agency (Org Code # 0530) and moved them to “Un-Affiliated”. 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”. 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. Addition of the Host/Hosted Self- Certification (SIMM 5330-E) to the required compliance documents list.
v1.4	October 2022	OIS	Relabeled Office of the Governor (Org Code # 500) to Independent. Removed Commission on Judicial Performance (Org Code # 280) as not part of Executive Branch. Relabeled California Governor’s Office of Business and Economic Development (Org

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			Code # 509) to Independent. Relabeled California Governor's Office of Planning and Research (Org Code # 650) to Independent. 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. Relabeled California Correctional Health Care Services (Org Code # 4605) to Independent.
v1.5	November 2022	OIS	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.
v1.6	March 2023	OIS	Relabeled Tahoe Regional Planning Agency (Org Code # 3110-2320 (3150)) to Independent.
v1.7	April 2024	OIS	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. Update to new template structure.
v1.8	June 2025	OIS	Removed SIMM 5330-E, no longer required with update to SIMM 5330-A.
v1.9	April 2026	OIS	Clarification of RRPOAM document types. Changed document links to permalinks (CDT Policy page, relevant security sections). Clarified ISA requirement line and entity type descriptions, aligned format/structure to current OIS policy template.
v1.10	June 2026	OIS	Updated compliance reporting schedule table to include new California Housing and Homelessness Agency, renamed Business and Consumer Services Agency, and changed the frequency of submission for

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			SIMM 5305-C for 11546.1 entities. Updated format to new CDT Policy template.

Legal Authority

As outlined in Government Code (GC) Section 11549.3, the California Department of Technology's (CDT) Office of Information Security (OIS) is entrusted with creating, issuing, and maintaining policies, standards, and procedures, overseeing information security risk management for agencies and state entities, providing information security and privacy guidance, and ensuring compliance with SAM Chapter 5300 and Statewide Information Management Manual (SIMM) Section 5300.

As described in GC Section 11549.3.(f) (2), a state agency as defined in GC Section 11000 that is not under the direct authority of the Governor may adopt and implement this policy voluntarily. Such a state agency may discontinue use of this policy at any time.

Background

This SIMM establishes the standardized procedures and timelines for all state entities to submit annual and quarterly information security and privacy compliance reports in accordance with State Administrative Manual (SAM) Section 5330.2.

Security Compliance Reporting 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 1st 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 State Entities

State Entities within the Executive Branch and under the authority of the Governor ("GC 11546.1 Entities" as used here, referenced in Government Code Section 11549.3(b)) shall comply with the full reporting requirements listed below. Independent and Constitutional entities ("GC 11000 Entities" as used here, referenced in Government Code Section 11549.3.(f)) are required to report partially. However, full compliance reporting is highly encouraged to ensure adherence to statutory requirements.

#	Document Required	GC 11546.1 Entities	GC 11000 Entities
1	SIMM 55-B - Information Technology Cost Report	Required (Yearly)	Encouraged (Yearly)
2	SIMM 55-C - Information Technology Cost Report Transmittal	Required (Yearly)	Encouraged (Yearly)
3	SIMM 5305-C - Risk Register and Plan of Action and Milestones (RRPOAM) Worksheet (XLSX) • Quarterly submissions are due on the last business day of the following months: January, April, July, and October. • Information contained in the RRPOAM is confidential; securely send the entire form(s) to OIS using the Secure Automated File Exchange (SAFE) system.	Required Quarterly)	Required (Yearly)
4	SIMM 5305-C - Risk Register and Plan of Action and Milestones (RRPOAM) Certification (DOCX)	Required (Yearly)	Required (Yearly)
5	SIMM 5325-A - Technology Recovery Plan (TRP) • The information in the TRP is confidential. Securely send the entire form and any attachments to OIS using SAFE or hand-deliver to OIS.	Required (Yearly)	Encouraged (Yearly)
6	SIMM 5325-B - Technology Recovery Program Certification	Required (Yearly)	Encouraged (Yearly)

#	Document Required	GC 11546.1 Entities	GC 11000 Entities
7	SIMM 5330-A - Designation Letter	Required (Yearly and ad-hoc upon a designation change)	Encouraged (Yearly)
8	SIMM 5330-B - Information Security and Privacy Program Compliance Certification	Required (Yearly)	n/a
9	SIMM 5330-F - Information Security and Privacy Program Compliance Certification (for Independents and Constitutionals)	n/a	Required (Yearly)
10	Independent Security Assessment	See OIS engagement notification letter Results forwarded to OES by CMD	Certification Required (Yearly) ISA Required (Every Two Years) Results do not need to be provided to OIS (optional)

II. Reporting Schedule

Agency Name	Acronym (Category)	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/Constitutionals (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
California Housing and Homelessness Agency	CHHA (GC 11546.1)	October 31st
Business and Consumer Services Agency	BCSA (GC 11546.1)	October 31st

Agency Name	Acronym (Category)	Due Date
California State Transportation Agency	CalSTA (GC 11546.1)	October31st

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.

NIST CSF Function and Category

Function	Category
GOVERN (GV)	• Organizational Context (GV.OC) • Roles, Responsibilities, and Authorities (GV.RR) • Policy (GV.PO) • Oversight (GV.OV)

Responsibilities

CDT will publish the Information Security Compliance Reporting Schedule on the CDT Policy website and update it as needed.

State entities must adhere to CDT-issued information security and privacy policies and all relevant laws, regulations, rules, and standards governing their state entity. Compliance may be reflected in audit findings and maturity scores. Non-compliance will be addressed according to the Office of Information Security Policy Compliance and Enforcement Standard (SIMM 5330-H).

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 and the instructions above.

Additional Resources

- State Administrative Manual (SAM) Section 5330.2
- GOV Code Section 11546.1
- GOV Code Section 11549.3
- GOV Code Section 11000

Questions

Questions regarding the implementation of this policy may be sent to:

California Department of Technology

Office of Information Security

security@state.ca.gov