

SUMMARY OF REQUIRED INFORMATION TECHNOLOGY REPORTS AND ACTIVITIES
Revised June 2011

Report/Activity	Source	Instructions to Departments	Send to	Due Dates
Project-related Documents				
Feasibility Study Report (FSR), Special Project Report (SPR), FSR-Reporting Exemption Request (FSR-RER)	SAM Sections 4819 and 4920-4945 ITPL10-07	Send an electronic copy to the Technology Agency ¹ -PMO (FSRs, SPRs, and FSR-RERs). Send one hard copy to the Legislative Analyst's Office (LAO) (FSRs and SPRs only). If the project exceeds the Department of General Services-Procurement Division's (DGS-PD) delegated purchasing authority, send one hard copy to DGS-PD (FSRs and SPRs only).	Technology Agency-PMO*, LAO, DGS/PD	Second Monday in January each year if related to a budget action for the spring process and no deadlines if not tied to budget action. Third Monday in July each year if related to a budget action for the fall process. FSRs, SPRs, or FSR-RERs that are not related to a budget action can be submitted at any time of the year.
Information Technology Procurement Plan (ITPP)	State Contracting Manual (SCM), Volume 3, Chapter 2 MM 07-02	See the SCM, Volume 3, Chapter 2	See the SCM, Volume 3, Chapter 2	See the SCM, Volume 3, Chapter 2.
Formal Solicitation Documents and Addenda	ITPL 11-03 SAM Sections 4819.31 and 4819.41 SCM, Volume 3, Chapter 4, Section B1.0	Send an electronic copy to ITSolicitationReview@state.ca.gov	Technology Agency	No later than 45 business days prior to release to the public.
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 Technology Agency-PMO.	Technology Agency-PMO*	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 Technology Agency

¹ Effective January 1, 2011, the Office of the State Chief Information Officer (OCIO) is renamed the California Technology Agency (Technology Agency).
 Required IT Reports and Activities
 June 2011

Report/Activity	Source	Instructions to Departments	Send to	Due Dates
Project-related Documents				
Service Contract Information Technology (SCIT) Certification	SAM Sections 4819.31 and 4819.41 ITPL 11-02	Submit in accordance with the instructions in item #7 of the SCIT Certification		
Project Status Report (California Project Management Methodology SIMM Section 17A and 17D.2)	SAM Section 4819.31.5 and 4910 ITPL 10-07	Send an electronic copy of the Executive Status Report, Cost Tracking, and Milestone Tracking templates in Excel to the Technology Agency-PMO for all IT projects reportable to the Technology Agency (i.e., for projects with Technology Agency-approved FSRs or equivalent documents).	Technology Agency-PMO*	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. Note: The Project Schedule for Low Criticality/Risk Projects should not be included with the PSR unless requested by the Technology Agency-PMO.	Technology Agency-PMO*	See Project Status Report Due Dates.
Post Implementation Evaluation Report (PIER)	SAM Section 4947	Send an electronic copy to the Technology Agency-PMO and one hard copy to the LAO.	Technology Agency-PMO*, LAO	Within 18 months of project completion.
Organizational/Planning Documents				
Information Technology Capital Plan (ITCP)	SAM Section 4904	Submit electronically to the Technology Agency.	Technology Agency in accordance with the SIMM 57 Secure File Submittal Instructions.	Third Monday in October each year.
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 Technology Agency is suspended until further notice from the Technology Agency.
Information Management Organization	SAM Section 4903.1	Send electronic version of organization charts to the Technology Agency-PMO.	Technology Agency-PMO*	Annually, June.

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Organizational/Planning Documents				
Information Management Costs	SAM Section 4903.2 ITPL 10-18	Send electronic versions of the completed IT Cost report Template and the signed and scanned Transmittal Letter. When naming each document, use your organization code followed by your departmental acronym at the front of each file name (e.g., 8860_DOF_ITCostReport.xls)	Technology Agency-PMO****	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 Inventory Package	SAM Section 4819.31.5 and 4906 ITPL 09-03	Submit electronically to the Technology Agency Enterprise Architect.	Technology Agency-EA**	Annually, last Friday in June.
IT Facility/Space Construction Review	ITPL 09-04	Submit electronically to the Technology Agency.	Technology Agency***	Prior to initiating: (1) a CRUISE (Customer Requests: Upgraded Information Sharing Environment) request to DGS; or (2) any other site design activities conducted through another design entity.
Data Center Consolidation Survey and Assessment (S&A)	SAM Section 4982.1 ITPL 10-14	Submit electronically to the Technology Agency-PMO.	Technology Agency-PMO*	Level 1, 10/30/2010 Level 2, 12/31/2010 Level 3, 3/31/2011 Level 4, 3/30/2012 Level 5, 6/28/2013

Report/Activity	Source	Instructions to Departments	Send to	Due Dates															
Organizational/Planning Documents																			
Information Technology Acquisition Plan (ITAP)	ITPL 09-06 ITPL 10-07 ITPL 11-01 ITPL 11-05	Submit electronically to the Technology Agency.	Technology Agency****	The second Monday of each quarter. See table below.															
<p>ITAP – Reporting due date is the second Monday of March, June, September, and December as follows:</p> <table border="1"> <thead> <tr> <th>Reporting Due Date (2nd Monday)</th> <th>ITAPs for planned acquisitions that are submitted to the Technology Agency for approval for the upcoming quarter as indicated below</th> <th>Informational ITAPs for reporting of acquisitions that were approved by your Department for the prior quarter as indicated below</th> </tr> </thead> <tbody> <tr> <td>June</td> <td>Q1 – July, August, September</td> <td>Q3 – January, February, March</td> </tr> <tr> <td>September</td> <td>Q2 – October, November, December</td> <td>Q4 – April, May, June</td> </tr> <tr> <td>December</td> <td>Q3 – January, February, March</td> <td>Q1 – July, August, September</td> </tr> <tr> <td>March</td> <td>Q4 – April, May, June</td> <td>Q2 – October, November, December</td> </tr> </tbody> </table> <p>Please note: The Technology Agency will accept early submission of the quarterly ITAPs</p>					Reporting Due Date (2 nd Monday)	ITAPs for planned acquisitions that are submitted to the Technology Agency for approval for the upcoming quarter as indicated below	Informational ITAPs for reporting of acquisitions that were approved by your Department for the prior quarter as indicated below	June	Q1 – July, August, September	Q3 – January, February, March	September	Q2 – October, November, December	Q4 – April, May, June	December	Q3 – January, February, March	Q1 – July, August, September	March	Q4 – April, May, June	Q2 – October, November, December
Reporting Due Date (2 nd Monday)	ITAPs for planned acquisitions that are submitted to the Technology Agency for approval for the upcoming quarter as indicated below	Informational ITAPs for reporting of acquisitions that were approved by your Department for the prior quarter as indicated below																	
June	Q1 – July, August, September	Q3 – January, February, March																	
September	Q2 – October, November, December	Q4 – April, May, June																	
December	Q3 – January, February, March	Q1 – July, August, September																	
March	Q4 – April, May, June	Q2 – October, November, December																	

Security-related Documents

The following security-related documents and schedule for submission are located on the Technology Agency's SIMM Web site at http://www.cio.ca.gov/Government/IT_Policy/SIMM.html.

- Agency Designation Letter (SIMM Section 70A).
- Agency Information Security Incident Notification and Reporting Instructions (SIMM Section 65B).
- Agency Information Security Incident Report (SIMM Section 65C).
- Agency Operational Recovery Plan Certification (SIMM Section 70B).
- Agency Operational Recovery Plan Transmittal Letter (SIMM Section 70D).
- Agency Risk Management and Privacy Program Compliance Certification (SIMM Section 70C).
- Questionnaire for Information Security and Privacy Components in Feasibility Study Reports and Project-Related Documents (SIMM 20D).
- Operational Recovery Documentation for Agencies Preparation Instructions (SIMM Section 65A).
- Security Breach Involving Personal Information: Requirements and Decision-Making Criteria for State Agencies (SIMM Section 65D)
- Social Media Standard (SIMM Section 66B)
- Telework and Remote Access Security Standard (SIMM Section 66A)

Budget-related Documents

Budget-related documents are Budget Change Proposals and Spring Finance Letters, which are submitted to the Department of Finance (Finance). Please see Finance's Budget Letters web page for instructions and due dates at http://www.dof.ca.gov/budgeting/budget_letters/.

Send California Technology Agency documents to:

California Technology Agency
Attn: Program Management Office
1325 J Street, Suite 1600
Sacramento, CA 95814

*Submit electronically to the Technology Agency-PMO Manager or Principal (*firstname.lastname@state.ca.gov*). A listing of Technology Agency-PMO Managers and Principals and departmental assignments can be found at the Technology Agency Web site at: http://www.cio.ca.gov/Contact_Us/staff_assignments.html.

**Submit electronically to EASubmission@state.ca.gov.

***Submit electronically to ComputerRoom.Review@state.ca.gov.

****Submit electronically to ITContract.Approval@state.ca.gov.

*****Submit electronically to ITCostReport@state.ca.gov

Send OIS documents to:

California Technology Agency
Attn: Office of Information Security
1325 J Street, Suite 1650
Sacramento, CA 95814

Send LAO documents to:

Legislative Analyst's Office
925 L Street, Suite 1000
Sacramento, CA 95814

Send DGS documents to:

Department of General Services
Procurement Division
Technology Acquisitions
707 Third Street
West Sacramento, CA 95605-2811