CENTER FOR DATA INSIGHTS AND INNOVATION
CALIFORNIA HEALTH & HUMAN SERVICES AGENCY

View xForm - Unanticipated Problem or Adverse Event Form v2

Use this form to report unanticipated problems (including breach of data security) or adverse events involving risks to human subjects while the research is being conducted.

Data Entry
- Submitted 08/18/2026 1:51 PM ET by Jaclyn Chambers, PhD

UP or AE Questions

Submitter

October 2026

Urban Institute reported that CDSS inadvertently sent Social Security Numbers (SSNs) for 388 participants via SFTP on May 4, 2026. Urban did not notice the SSNs until opening the file on August 17. The SSNs were stored only on Urban's secure encrypted Y drive and accessed only by authorized staff. Urban immediately deleted the SSNs and is confirming destruction through its security team. According to the researchers, Urban does not have CPHS approval to receive SSNs. A similar incident was reported previously in December 2025, indicating a recurring CDSS transmission issue. Urban immediately notified the Principal Investigators and their Tech/Data security team upon discovering the SSNs. They deleted the SSNs from the secure drive and are verifying permanent deletion with IT. Urban also notified the CDSS staff responsible for the upload and reminded CDSS (again) that SSNs should not be sent. Urban noted that they have already been providing CDSS with quarterly reminders since a similar incident in December 2025. No protocol changes were proposed.

08/26/2026 • Sussan Atifeh • Internal

Jaclyn Chambers, PhD

Email: JChambers@urban.org **Business:** (202) 261-5525

Project number

2023-057

Principal Investigator

Bridgette Lery, PhD
Email: BLery@urban.org **Business:** (202) 261-5969

Study title

Evaluating California's Guaranteed Income Pilot Program

Study personnel

Name	Role
Annabel Stattelman-Scanlan, BA	Research Team
Bridgette Lery, PhD	Principal Investigator
Doug Wissoker, PhD	Research Team
Emily Johnston, PhD	Research Team
Jaclyn Chambers, PhD	Research Team
Jenny Kenney, PhD	Responsible Official
Laura Smith, PhD	Research Team
Sarah Benatar, PhD	Co-Principal Investigator
Vincent Joseph, BS	Research Team
Zhane Moledina	Research Team

Monitoring Entity

Principal Investigator

Report Type

Other events or information. Report only after consulting with CPHS Administrative Staff

Provide a brief description of event or information for your selection above

On 8/17/26 at approximately 11am Pacific time, a research team member opened an Excel file on Urban Institute's secure Y drive that was sent via SFTP by a staff member at our funder, the California Department of Social Services (CDSS), and observed that the file contained SSNs for 388 participants. The CDSS staff member uploaded the file to the SFTP on 5/4/26 and our team retrieved and saved it on Urban's secure Y drive on the same day, but we did not have a chance to work with the file at that time and therefore observe that the file contained SSNs until today. The Urban team is permitted to receive SSNs per our data sharing agreement with CDSS, but we have not sought CPHS approval to receive SSNs to date because it is not currently necessary. The file did not contain any other PII, but it did contain unique research IDs. The file was only ever saved and accessed on the secure drive which only approved research team members have access to.

Potential consequences if this information were obtained or misused by unauthorized persons include compromising the information of clients who are in our study.

CORRECTIVE AND PREVENTION MEASURES:
1. Upon discovering that the file contained SSNs, the research team member immediately alerted the PIs and also alerted the Urban Tech and Data team to determine the necessary steps to permanently delete the PII from this file.
2. We have deleted the PII from the file and are working with Urban Tech and Data to confirm that all appropriate steps were taken to permanently delete the PII.
3. The research team emailed the staff member at CDSS that uploaded the file along with several other members of the CDSS team to remind them that Urban should not receive SSNs and request that they make efforts to check and avoid sending this type of data in the future.
4. Since our last adverse data event which CPHS reviewed in December 2025, we have provided quarterly reminders to CDSS to remind them not to send us PII.

Date of event
08/17/2026

Date PI learned of event
08/17/2026

Enrolled in OSHPD research (OSHPD campus including Foothills facilities)?
No

Are there proposed changes to the protocol?

No

Attach any relevant documents to the report

No answer provided.

PI Signature for Coordination Submission - Submitted 08/18/2026 1:53 PM ET by Bridgette Lery, PhD

PI Signature

Is this form ready to be reviewed by the IRB? If not, choose no to have the application sent back to the coordinator for revisions.

Yes

To sign this form, enter your IRBManager password. By signing this form, you are indicating that the information within this formis accurate and reflects the proposed research.

Signed Tuesday, August 18, 2026 1:52:57 PM ET by Bridgette Lery, PhD

Notify IRB for Pre-Screening
- Submitted 08/26/2026 7:14 PM ET by Sussan Atifeh

IRB pre-screening

Is the AE report ready to be reviewed by the Chair/designee?

Yes

Reportable Event Status

Review required

Please provide a rationale for your decision above.
Urban Institute reported that CDSS inadvertently sent Social Security Numbers (SSNs) for 388 participants via SFTP on May 4, 2026. Urban did not notice the SSNs until opening the file on August 17. The SSNs were stored only on Urban's secure encrypted Y drive and accessed only by authorized staff. Urban immediately deleted the SSNs and is confirming destruction through its security team. According to the researchers, Urban does not have CPHS approval to receive SSNs. A similar incident was reported previously in December 2025, indicating a recurring CDSS transmission issue. Urban immediately notified the Principal Investigators and their Tech/Data security team upon discovering the SSNs. They deleted the SSNs from the secure drive and are verifying permanent deletion with IT. Urban also notified the CDSS staff responsible for the upload and reminded CDSS (again) that SSNs should not be sent. Urban noted that they have already been providing CDSS with quarterly reminders since a similar incident in December 2025. No protocol changes were proposed.

Assign Presenter

Larry Dickey, MD, MPH, MSW

Select the chair or designee who will review this UP/AE.
Catherine Hess, PhD

If necessary, choose the second reviewer who needs to review this AE/UP.
Larry Dickey, MD, MPH, MSW

Load into IRBManager
- Submitted 08/26/2026 7:14 PM ET by The System

Chair Review & Full Board Set-Up

Full Board Meeting Setup

The office will complete the questions on this page and submit this form after the teleconference with the Chair regarding this reportable event is complete.

Does the chair agree that this event needs to be reviewed?

No answer provided.

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