Office of Research Evaluation and Statistics (ORES) Annual Report to OMB Confidential Information Protection and Statistical Efficiency Act (CIPSEA) Implementation for Calendar Year 2021

April 30, 2022

ORES Website

ORES will publish the Calendar Year 2021 CIPSEA report on its website *"Research, Statistics & Policy Analysis" at*: https://www.ssa.gov/policy/about.html .

Use of the CIPSEA Confidentiality Pledge

ORES did not conduct surveys, nor collected information during Calendar Year 2021 (CY2021) that required ORES to secure CIPSEA confidentiality pledges.

Compliance with the CIPSEA Implementation Guidance – Section III (Affirmation of Compliance)

1. **Physical and Informational Systems Security**: ORES restricts access to confidential information stored on SSA's information systems to authorized persons. SSA's mainframe and server sites located in Baltimore, MD and Washington, DC are compliant with CIPSEA provisions, Federal Information Security Management Act (FISMA) requirements, National Institute of Standards and Technology (NIST) standards, SSA Security Directives from the Chief Information Officer, and the SSA *Information Systems Security Handbook (ISSH).*

2. **Confidentiality Training:** All individuals accessing data protected under CIPSEA are required to obtain security and suitability clearance, as well as mandatory annual CIPSEA training. In addition to the CIPSEA training, non-ORES staff, contractors, grantees, or other federal agency employees are also required to complete a CIPSEA Agent Agreement.

3. **Record Keeping:** ORES maintains a record (spreadsheet) that tracks all individuals accessing confidential information protected under CIPSEA.

4. **Review of Information Prior to Data Dissemination:** ORES established a Disclosure Review Board (DRB) that reviews and approves CIPSEA interim and final statistical formulations and outputs to ensure appropriate disclosure protection prior to removal from SSA's worksite or public release. For internal staff guidance, ORES developed a *"Rules for Disclosure Avoidance"* document for data protected under CIPSEA. These guidelines include information for *Working Paper 22 compliance* as well as SSA and IRS disclosure standards.

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Agents Certified Under CIPSEA

Entity	Purpose	# of Persons	Secure SSA Sites
SSA Office of Data Exchange, Policy Publications, and International Negotiations	IT Support Staff (HRS Restricted Data Sets)	6	Secure Servers at SSA secure sites in Baltimore, MD and in Washington, DC

Data Protected Under CIPSEA During CY2021

Based on written consent, ORES provides the University of Michigan's Institute for Social Research (UM/ISR), SSA Program Administration Data for respondents taking part in the HRS. For all verified respondent records, ORES provides UM/ISR output files that contain benefits and earnings information. ORES adds an anonymous public use identifier to each record for linkage purposes, and deletes personally identifiable data elements from each record, including the social security number and name.

UM/ISR links their respondent data to these output files using the anonymous public use identifiers and creates "Restricted Use Data Sets."

Compliance with the CIPSEA Implementation Guidance – Section IV (Designated CIPSEA Agents)

Contracts and Written Agreements: Appropriate CIPSEA provisions will be included in contracts and written agreements

Physical and Informational Systems Security: CIPSEA data was not used at off-site facilities during CY2021.

Confidentiality Training: ORES certifies all CIPSEA agents annually by requiring mandatory CIPSEA training and a CIPSEA Agent Agreement.

Record Keeping: ORES maintains a record that identifies and tracks all individuals (including CIPSEA Agents) granted authorized access to confidential information.