

Privacy Impact Assessment CLP Shared Services 5 of 7 – eForms (eForms)

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Privacy Impact Assessment for the CLP Shared Services 5 of 7 – eForms (eForms)

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Abstract

The **eForms** system is an internet facing website that allows the public to search for, complete, and manage their Farm Production and Conservation (FPAC), Agricultural Marketing Service (AMS), and Rural Development (RD) applications online. The system also allows program staff to process applications on the backend. The **eForms** system was developed to comply with the Paperwork Reduction Act. The system contains three (3) modules/components: **Forms**, **MyForms**, and **Forms Admin**. This PIA is required because the PTA determined **MyForms** and **Forms Admin** process Personally Identifiable Information (PII) from RD and FPAC (AMS does not process PII).

Overview

The **eForms** system consists of a non-authenticating public website (**Forms**) that allows the public to search for forms and an access-controlled backend for program participants (**MyForms**) and program staff (**Forms Admin**) to manage applications. Farm Production and Conservation (FPAC), Agricultural Marketing Service (AMS), and Rural Development (RD) (specifically, RD's UniFi) application/forms are available on the system.

The information collection process begins when program participants create an account on **MyForms**. After activating their account, program participants are able to download, print, and deliver their forms through conventional means (mail) or submit completed forms electronically to the **MyForms** application database. Program staff use **Forms Admin** to review and comment on applications. If any information is found to be missing/incorrect/outdated, comments are added to the packet and the form is reassigned back to participant for correction.

The **eForms** system contains two (2) modules that process PII: **MyForms**, and **Forms Admin**.

- **Forms Admin** provides FPAC, and RD staff access to applications/packages submitted through **MyForms**. As part of the workflow process, staff review packages for completeness and mark them with Accepted, Returned, or Re-Routed. New versions of forms are also introduced via the **Forms Admin** module. **Forms Admin** is located at <https://formsadmin.sc.egov.usda.gov>.
- **MyForms** module allows participants to submit forms as part of their application package. Each package submitted is called an electronic service request that is routed to appropriate federal servicing offices for review. **MyForms** is located at <https://myforms.sc.egov.usda.gov>.

Section 1.0 Characterization of the Information

The following questions are intended to define the scope of the information requested and/or collected as well as reasons for its collection as part of the program, system, rule, or technology being developed.

1.1 What information is collected, used, disseminated, or maintained in the system?

MyForms and **Forms Admin** collect the following PII from members of the program participants: full name, date and/or place birth, email and street address information, telephone numbers, personal identification numbers (SSNs/TINs), financial data, miscellaneous identification numbers, and handwriting or an image of a signature. **MyForms** also collects citizenship, race, marital status, employment information, ethnicity, gender. FPAC-related forms are located on eForms but the completed forms are not maintained in eForms.

1.2 What are the sources of the information in the system?

Program participants provide their information directly on the forms.

1.3 Why is the information being collected, used, disseminated, or maintained?

MyForms and **Forms Admin** processed information to allow for the collection of loan and grant applicant information related to the FPAC and RD loan and grant program.

1.4 How is the information collected?

MyForms and **Forms Admin** collect loan and grant application information directly from the applicant through electronic submission and/or through paper submission directly to staff offices for processing.

1.5 How will the information be checked for accuracy?

Information is manually reviewed by authorized staff to verify the accuracy of the data as part of the standard workflow process.

1.6 What specific legal authorities, arrangements, and/or agreements defined the collection of information?

Information contained in eForms falls under the following:

- Privacy Act of 1974, 5 U.S.C. § 552a, as amended
- OMB Circular A-130, Managing Information as a Strategic Resource, July 2016
- E-Government Act of 2002, Public Law (P.L.) 107-347 (44 U.S.C. §3501 note), which includes Federal Information Security Management Act of 2002 (FISMA), 44 U.S.C. §3541, November 2000, as revised to Federal Information Security Modernization Act of 2014 (also known as FISMA), (44 U.S.C. §3551), December 2014
- Freedom of Information Act, 5 U.S.C. § 552, as amended
- Consolidated Farm and Rural Development Act (7 U.S.C. §1921, *et. seq.*) and Title V of the Housing Act of 1949 as amended (42 U.S.C. §1471, *et. seq.*)
- Farm Bill of 2018 (P.L. 115-334)

- Fair Credit Reporting Act, 15 U.S.C. §1681f
- Consumer Credit Protection Act, 15 U.S.C. §1601
- Equal Credit Opportunity Act, 15 U.S.C. §1691
- Paperwork Reduction Act, 44 U.S.C. §3501, *et. seq.*

1.7 Privacy Impact Analysis: Given the amount and type of data collected, discuss the privacy risks identified and how they were mitigated.

MODERATE RISK: Current risks are associated with the potential unauthorized disclosure or illegal use of this PII and the potential adverse consequences this disclosure or use would have on individual program participants.

MITIGATION: Data is stored in a secure environment within the USDA. An eAuthorization account is required to access MyForms and Forms Admin.

Section 2.0 Uses of the Information

The following questions are intended to clearly delineate the use of information and the accuracy of the data being used.

2.1 Describe all the uses of information.

Program participant PII is used to process their applications.

2.2 What types of tools are used to analyze data and what type of data may be produced?

N/A, the system does not use tools to analyze the data.

2.3 If the system uses commercial or publicly available data please explain why and how it is used.

N/A, the system does not use commercial or publicly available data.

2.4 Privacy Impact Analysis: Describe any types of controls that may be in place to ensure that information is handled in accordance with the above described uses.

The system enforces user authentication and authorization. The system is designed to confirm the identity of authorized users prior to granting the appropriate system access based on the user's pre-defined access level.

Section 3.0 Retention

The following questions are intended to outline how long information will be retained after the initial collection.

3.1 How long is information retained

Records are maintained accordance with Rural Development SFH Records Retention Schedule, DAA-0572-2017-0001-0006 & DAA-0572-2017-0001-0004 (7yrs after cutoff).

3.2 Has the retention period been approved by the component records officer and the National Archives and Records Administration (NARA)?

Yes, eForms RD applications follow data retention as provided by the RD Records Management policy, which is in accordance with NARA.

3.3 Privacy Impact Analysis: Please discuss the risks associated with the length of time data is retained and how those risks are mitigated.

MODERATE RISK: eForms applications data retention has the potential risks of unauthorized access, unauthorized disclosure or illegal use of the RD customer PII data.

MITIGATION: The RD data in eForms applications follow the RD Records Management data retention requirements to manage risk associated with data retention. There are audit logs for eForms with DISC and eAuthentication audit logs for RD staff and RD applicants/customers.

Section 4.0 Internal Sharing and Disclosure

The following questions are intended to define the scope of sharing within the United States Department of Agriculture.

4.1 With which internal organization(s) is the information shared, what information is shared and for what purpose?

eForms loan and grant applications are used internally with FPAC (FLAAS & NRCS) for the purpose of helping the mission area comply with the Paperwork Reduction Act.

4.2 How is the information transmitted or disclosed?

Applications are downloaded from **Forms Admin** directly by FPAC mission area.

4.3 Privacy Impact Analysis: Considering the extent of internal information sharing, discuss the privacy risks associated with the sharing and how they were mitigated.

MODERATE RISK: eForms applications data retention has the potential risks of unauthorized access, unauthorized disclosure or illegal use of the RD customer PII data.

MITIGATION: Data is stored in a secure environment within the USDA. An eAuthorization account is required to access MyForms and Forms Admin.

Section 5.0 External Sharing and Disclosure

The following questions are intended to define the content, scope, and authority for information sharing external to USDA which includes Federal, state and local government, and the private sector.

5.1 With which external organization(s) is the information shared, what information is shared, and for what purpose?

Not applicable, eForms applications are not shared externally.

5.2 Is the sharing of personally identifiable information outside the Department compatible with the original collection? If so, is it covered by an appropriate routine use in a SORN? If so, please describe. If not, please describe under what legal mechanism the program or system is allowed to share the personally identifiable information outside of USDA.

Not applicable, eForms applications are not shared externally.

5.3 How is the information shared outside the Department and what security measures safeguard its transmission?

Not applicable, eForms applications are not shared externally.

5.4 Privacy Impact Analysis: Given the external sharing, explain the privacy risks identified and describe how they were mitigated.

Not applicable, eForms applications are not shared externally.

Section 6.0 Notice

The following questions are directed at notice to the individual of the scope of information collected, the right to consent to uses of said information, and the right to decline to provide information.

6.1 Does this system require a SORN and if so, please provide SORN name and URL.

Yes, it follows SORN USDA/RD-1, *Current or Prospective Producers or Landowners, Applicants, Borrowers, Grantees, Tenants and Other Participants in RD*

Programs, <https://www.govinfo.gov/content/pkg/FR-2016-04-28/pdf/2016-09938.pdf>.

6.2 Was notice provided to the individual prior to collection of information?

Yes, notice is provided on Form RD 410-4 to the individual prior to the collection of information when the individual applies for loans or grants.

6.3 Do individuals have the opportunity and/or right to decline to provide information?

The Privacy Act Statement Required is provided directly on RD Form 410-4 where individuals are notified. Individuals have the opportunity and/or right to decline to provide information, but if they decline, then they will not be able to apply for loans or grants.

6.4 Do individuals have the right to consent to particular uses of the information? If so, how does the individual exercise the right?

No, in order to apply for an eForms loan or grant, the RD applicant consents to the collection of personal information as required for eForms loan or grant processing.

6.5 Privacy Impact Analysis: Describe how notice is provided to individuals, and how the risks associated with individuals being unaware of the collection are mitigated.

RD applicants consent to providing information for the completion of loan and grant requirements. RD applicants are notified with the privacy form, RD Form 410-9, when they apply for loans or grants and consent to the use of their data before this information is provided. A Privacy Act Statement is also provided on the application form RD Form 410-4.

Risks associated with individuals being unaware of the collection are mitigated because RD individual applicant's must consent to the use of their data and this notification is included in the privacy form that is completed as part of the process for applying for eForms loans and grants with RD.

Section 7.0 Access, Redress and Correction

The following questions are directed at an individual's ability to ensure the accuracy of the information collected about them.

7.1 What are the procedures that allow individuals to gain access to their information?

Individuals are notified of the procedure to gain access to their information in the Record Access Procedures section as outlined in the SORN RD-1 under Record Access Procedures.

7.2 What are the procedures for correcting inaccurate or erroneous information?

Notification is part of the application process for eForms loan and grant applications, so the RD borrower/applicant can contact the appropriate RD staff member to correct any inaccurate information. RD applicants are prompted with the eForms application, itself, to correct errors as part of the application process. Also, RD staff involved in processing the loan or grant application do manual review and will contact the RD applicant for any information corrections with their application.

7.3 How are individuals notified of the procedures for correcting their information?

Individuals are notified of the procedure to gain access to and contest their information in the Record Access Procedures section as outlined in the SORN RD-1 under Record Access Procedures.

7.4 If no formal redress is provided, what alternatives are available to the individual?

Individuals have access, redress, and amendment rights under the Privacy Act and the Fair Credit Reporting Act.

7.5 Privacy Impact Analysis: Please discuss the privacy risks associated with the redress available to individuals and how those risks are mitigated.

There is no additional risk associated with the redress process available to users.

Section 8.0 Technical Access and Security

The following questions are intended to describe technical safeguards and security measures.

8.1 What procedures are in place to determine which users may access the system and are they documented?

Desk Procedures document the process for establishing, activating, and modifying IDs. This process is defined by System Owners. System Owners define Groups and account types. System Point of Contact assigns group membership and determines need-to-know validation.

8.2 Will Department contractors have access to the system?

Yes.

8.3 Describe what privacy training is provided to users either generally or specifically relevant to the program or system?

Yes, all RD employees and contractors are required to complete annual information security and awareness training.

8.4 Has Certification & Accreditation been completed for the system or systems supporting the program?

Yes, eForms has an Authorization to Operate (ATO) in effect until 12/12/2025 which is stored in CSAM.

8.5 What auditing measures and technical safeguards are in place to prevent misuse of data?

The NIST 800-53 controls for the eForms system are discussed in detail in the System Security Plan and specifically the Audit and Accountability (AU) controls are in place to prevent misuse of data.

8.6 Privacy Impact Analysis: Given the sensitivity and scope of the information collected, as well as any information sharing conducted on the system, what privacy risks were identified and how do the security controls mitigate them?

MODERATE RISK: There is moderate risk given the sensitivity and scope of the information collected, as well as any information sharing conducted on the system.

MITIGATION: eForms implements the relevant National Institute of Standards and Technology (NIST) 800-53 controls to prevent unauthorized access. Systems and Communication Protection controls are in place to prevent unauthorized access.

Section 9.0 Technology

The following questions are directed at critically analyzing the selection process for any technologies utilized by the system, including system hardware and other technology.

9.1 What type of project is the program or system?

The eForms system is an internet facing website that allows the public to search for, complete, and manage their Farm Production and Conservation (FPAC), and Rural

Development (RD) applications online. The system also allows program staff to process applications on the backend. The eForms system was developed to comply with the Paperwork Reduction Act.

9.2 Does the project employ technology which may raise privacy concerns? If so, please discuss their implementation.

No, the project utilizes Agency approved technologies for MyForms, Forms and Forms/Admin, and these technology choices do not raise privacy concerns.

Section 10.0 Third Party Websites/Applications

The following questions are directed at critically analyzing the privacy impact of using third party websites and/or applications.

10.1 Has the System Owner (SO) and/or Information Systems Security Program Manager (ISSPM) reviewed Office of Management and Budget (OMB) memorandums M-10-22 “Guidance for Online Use of Web Measurement and Customization Technology” and M-10-23 “Guidance for Agency Use of Third-Party Websites and Applications”?

Yes, the system owner and the ISSPM have reviewed the OMB memorandums.

10.2 What is the specific purpose of the agency’s use of 3rd party websites and/or applications?

Not applicable, eForms does not use 3rd party websites and/or applications.

10.3 What personally identifiable information (PII) will become available through the agency’s use of 3rd party websites and/or applications.

Not applicable, eForms does not use 3rd party websites and/or applications.

10.4 How will the PII that becomes available through the agency’s use of 3rd party websites and/or applications be used?

Not applicable, eForms does not use 3rd party websites and/or applications.

10.5 How will the PII that becomes available through the agency’s use of 3rd party websites and/or applications be maintained and secured?

Not applicable, eForms does not use 3rd party websites and/or applications.

10.6 Is the PII that becomes available through the agency’s use of 3rd party websites and/or applications purged periodically?

Not applicable, eForms does not use 3rd party websites and/or applications.

10.7 Who will have access to PII that becomes available through the agency’s use of 3rd party websites and/or applications?

Not applicable, eForms does not use 3rd party websites and/or applications

10.8 With whom will the PII that becomes available through the agency’s use of 3rd party websites and/or applications be shared - either internally or externally?

Not applicable, eForms does not use 3rd party websites and/or applications.

10.9 Will the activities involving the PII that becomes available through the agency’s use of 3rd party websites and/or applications require either the creation or modification of a system of records notice (SORN)?

Not applicable, eForms does not use 3rd party websites and/or applications.

10.10 Does the system use web measurement and customization technology?

Not applicable, eForms does not use web measurement and customization technology.

10.11 Does the system allow users to either decline to opt-in or decide to opt-out of all uses of web measurement and customization technology?

No, eForms does not use web measurement and customization technology.

10.12 Privacy Impact Analysis: Given the amount and type of PII that becomes available through the agency’s use of 3rd party websites and/or applications, discuss the privacy risks identified and how they were mitigated.

Not applicable, eForms does not use 3rd party websites and/or applications.

Approval Signature

Signed copy kept on record