



**Privacy Impact Assessment
(PIA)
Automated Public Law-480 Title I Umbrella System
(APLUS)**

Revision: Final



Farm Service Agency

Date: June, 2010



Document Information

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Document Revision and History			
Revision	Date	Author	Comments
1.01	July 6, 2009	Scott Tanos	Initial version
1.02	July 8, 2009	Scott Tanos	Populated from previous PIA document
1.03	July 22, 2009	Bill Griffith	Reviewed and updated document.
1.04	July 23, 2009	D.Brizendine	Updated responses for 24,25,26,26.1, document review
1.05	August 6, 2009	D.Brizendine	Updated responses for 30.2 and 30.3
1.06	8/17/09	D.Brizendine ISO	Updated responses for 6, 10, 15, 28 and 30.3 per John Underwood's review.
1.07	8/18/09	D.Brizendine ISO	Updated responses for 5.1, 5.2 and 5.3 after conversation with Bill Griffith.
Final	9/25/09	D.Brizendine FSAISO	Added completed Approval page and marked the document as Final.
1.01	May 11, 2010	Anita Trader, ISO DR	Initial version for 2010 copied from 2009 PIA
1.02	06/09/20 10	S. Timbrook, ECS	Reviewed and released for signatures.
	7/07/20 10	C. Niffen	Made changes per John Underwood on questions 5.2, 5.3, and 24
Final	7/12/2010	S. Timbrook, ECS	Marked final, added signatures page, uploaded to CSAM.



Privacy Impact Assessment Authorization Memorandum

I have carefully assessed the Privacy Impact Assessment for the
Automated Public Law-480 Title I Umbrella

This document has been completed in accordance with the requirements of the E-Government
Act of 2002.

We fully accept the changes as needed improvements and authorize initiation of work to
proceed. Based on our authority and judgment, the continued operation of this system is
authorized.


Angela Sieg, Information System Officer

1/20/10
Date


John Underwood, Chief Privacy Officer

7/2/10
Date


James Gwin, FSA CIO

9/8/2010
Date



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1 Purpose of Document

USDA DM 35 15-002 states: “Agencies are responsible for initiating the PIA in the early stages of the development of a system and to ensure that the PIA is completed as part of the required System Life Cycle (SLC) reviews. Systems include data from applications housed on mainframes, personal computers, and applications developed for the Web and agency databases. Privacy must be considered when requirements are being analyzed and decisions are being made about data usage and system design. This applies to all of the development methodologies and system life cycles used in USDA.

Both the system owners and system developers must work together to complete the PIA. System owners must address what data are used, how the data are used, and who will use the data. System owners also need to address the privacy implications that result from the use of new technologies (e.g., caller identification). The system developers must address whether the implementation of the owner’s requirements presents any threats to privacy.”

The Privacy Impact Assessment (PIA) document contains information on how **Automated Public Law-480 Title I Umbrella System** affects the privacy of its users and the information stored within. This assessment is in accordance with NIST SP 800-37 *Guide for the Security Certification and Accreditation of Federal Information Systems*.

2 System Information

System Information

System Information	
Agency:	Farm Service Agency.
System Name:	Automated Public Law-480 Title I Umbrella System.
System Type:	Major Application General Support System Non-major Application
System Categorization (per FIPS 199):	High Moderate Low
Description of System:	The Automated Public Law-480 Title I Umbrella System (APLUS) is a major application. The mission of PL 480 APLUS is to process financial information that results from selling agriculture products to underdeveloped foreign countries to assist in economic development. Through the use of the PL 480 APLUS, data is required to verify and validate the performance indicators for food assistance for underdeveloped countries is captured. APLUS is maintained by the Farm Services Agency (FSA) under the auspices of the Commodity Credit Corporation (CCC) and is jointly used by FSA and the FAS to provide complete financial management and accounting for this program.
Who owns this system? (Name, agency, contact information)	Angela Sieg FSA/ITSD/ADC/AFAO 6501 Beacon Drive Kansas City MO 64133 (816) 926-1568 Angela.Sieg@kcc.usda.gov
Who is the security contact for this system? (Name, agency, contact information)	Brian Davies Information System Security Program Manager (IS SPM) U.S. Department of Agriculture Farm Service Agency 1400 Independence Avenue SW Washington, D.C. 20250 (202) 720-2419 brian.davies@wdc.usda.gov
Who completed this document? (Name, agency, contact information)	Bill Griffith, AFAO/AGG, APLUS 6501 Beacon Drive Kansas City MO 64133 816.823.1638 Bill.Griffith@kcc.usda.gov



3 Data Information

3.1 Data Collection

No.	Question	Response
1	Generally describe the data to be used in the system.	Creditor – Billing and receipt of collections. Customer – Purchase authorizations for commodities, freight, and ocean freight differential.
2	Does the system collect Social Security Numbers (SSNs) or Taxpayer Identification Numbers (TINs)?	Yes No – If NO, go to question 3.
2.1	State the law or regulation that requires the collection of this information.	N/A.
3	Is the use of the data both relevant and necessary to the purpose for which the system is being designed? In other words, the data is absolutely needed and has significant and demonstrable bearing on the system’s purpose as required by statute or by Executive order of the President.	Yes No
4	Sources of the data in the system.	Information is obtained from agreements, payment schedules, exports, shipments, disbursements, and cash receipts.
4.1	What data is being collected from the customer?	Information collected includes Agreement, Disbursement, Collection, and Reference information.
4.2	What USDA agencies are providing data for use in the system?	FAS and FSA.
4.3	What state and local agencies are providing data for use in the system?	N/A.
4.4	From what other third party sources is data being collected?	Data may be collected from exporters, suppliers, finance ministries, and other debtors.
5	Will data be collected from sources outside your agency? For example, customers, USDA sources (i.e., NFC, RD, etc.) or Non-USDA sources.	Yes No – If NO, go to question 6.

No.	Question	Response
5.1	How will the data collected from customers be verified for accuracy, relevance, timeliness, and completeness?	Loan administrators send loan information to the US Treasury and then it is sent to the USDA and is entered into the APLUS system by FSA and FAS personnel. Verification of customer information is done when received by the US Treasury department and verified again when entered by FSA and FAS personnel.
5.2	How will the data collected from USDA sources be verified for accuracy, relevance, timeliness, and completeness?	Data collected from USDA sources is required by policy to be reviewed for accuracy, relevancy, timeliness, and completeness upon initial entry into the system and then again when any required updates are made.
5.3	How will the data collected from non-USDA sources be verified for accuracy, relevance, timeliness, and completeness?	Data collected from non-USDA sources is required by policy to be reviewed for accuracy, relevancy, timeliness, and completeness upon initial entry into the system and then again when any required updates are made.

3.2 Data Use

No.	Question	Response
6	Individuals must be informed in writing of the principal purpose of the information being collected from them. What is the principal purpose of the data being collected?	To process financial information that results from selling agriculture products to underdeveloped foreign countries to assist in economic development.
7	Will the data be used for any other purpose?	Yes No – If NO, go to question 8.
7.1	What are the other purposes?	N/A.
8	Is the use of the data both relevant and necessary to the purpose for which the system is being designed? In other words, the data is absolutely needed and has significant and demonstrable bearing on the system's purpose as required by statute or by Executive order of the President	Yes s No
9	Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected (i.e., aggregating farm loans by zip codes in which only one farm exists.)?	Yes No – If NO, go to question 10.
9.1	Will the new data be placed in the individual's record (customer or employee)?	Yes s



No.	Question	Response
9.2	Can the system make determinations about customers or employees that would not be possible without the new data?	Yes No
9.3	How will the new data be verified for relevance and accuracy?	N/A.
10	Individuals must be informed in writing of the routine uses of the information being collected from them. What are the intended routine uses of the data being collected?	Data will be used to process financial information that results from selling agriculture products to underdeveloped foreign countries to assist in economic development.
11	Will the data be used for any other uses (routine or otherwise)?	Yes No – If NO, go to question 12.
11.1	What are the other uses?	N/A.
12	Automation of systems can lead to the consolidation of data – bringing data from multiple sources into one central location/system – and consolidation of administrative controls. When administrative controls are consolidated, they should be evaluated so that all necessary privacy controls remain in place to the degree necessary to continue to control access to and use of the data. Is data being consolidated?	Yes No – If NO, go to question 13.
12.1	What controls are in place to protect the data and prevent unauthorized access?	N/A.
13	Are processes being consolidated?	Yes No – If NO, go to question 14.
13.1	What controls are in place to protect the data and prevent unauthorized access?	N/A.

3.3 Data Retention

No.	Question	Response
14	Is the data periodically purged from the system?	Yes No – If NO, go to question 15.
14.1	How long is the data retained whether it is on paper, electronic, in the system or in a backup?	N/A.
14.2	What are the procedures for purging the data at the end of the retention period?	N/A.
14.3	Where are these procedures documented?	N/A.

No.	Question	Response
15	While the data is retained in the system, what are the requirements for determining if the data is still sufficiently accurate, relevant, timely, and complete to ensure fairness in making determinations?	Agreements, payment schedules, exports, shipments, disbursements, and cash receipts are reviewed for accuracy, relevancy, timeliness, and completeness upon initial entry into the system and when any required updates are made.
16	Is the data retained in the system the minimum necessary for the proper performance of a documented agency function?	Yes s No

3.4 Data Sharing

No.	Question	Response
17	Will other agencies share data or have access to data in this system (i.e., international, federal, state, local, other, etc.)?	Yes No – If NO, go to question 18.
17.1	How will the data be used by the other agency?	APLUS is the subsidiary ledger for this program.
17.2	Who is responsible for assuring the other agency properly uses the data?	FMD management. Data authorized use requirements and data disclosure restrictions are outlined in the Memorandum of Understanding (MOU).
18	Is the data transmitted to another agency or an independent site?	Yes No – If NO, go to question 19.
18.1	Is there appropriate agreement in place to document the interconnection and ensure the PII and/or Privacy Act data is appropriately protected?	N/A.
19	Is the system operated in more than one site?	Yes No – If NO, go to question 20.
19.1	How will consistent use of the system and data be maintained in all sites?	State and County office will access this system. Administrative controls and procedures are established to maintain consistent system use.

3.5 Data Access

No.	Question	Response
20	Who will have access to the data in the system (i.e., users, managers, system administrators, developers, etc.)?	Washington, DC User – Update Access KC/IT User – Read Only Access.



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No.	Question	Response
21	How will user access to the data be determined?	Requests for access for specific functions are approved by a manager and granted by a security officer. Access must be requested through FSA-13A security forms with justification.
21.1	Are criteria, procedures, controls, and responsibilities regarding user access documented?	Yes s No
22	How will user access to the data be restricted?	Users are restricted through role-based security within the application. Once access has been properly granted, there are no restrictions to viewing the data. Update capabilities are restricted by User ID.
22.1	Are procedures in place to detect or deter browsing or unauthorized user access?	Yes s
23	Does the system employ security controls to make information unusable to unauthorized individuals (i.e., encryption, strong authentication procedures, etc.)?	Yes s No

3.6 Customer Protection

No.	Question	Response
24	Who will be responsible for protecting the privacy rights of the customers and employees affected by the interface (i.e., office, person, departmental position, etc.)?	FSA Privacy Act Officer/FSA PII Officer.
25	How can customers and employees contact the office or person responsible for protecting their privacy rights?	FSA National Help Desk at (800)-255-2434 or the Centralized Help Desk at 800-457-3642 or By contacting John W. Underwood, Privacy Officer, at FSA Privacy Act Officer / FSA PII Officer USDA - Farm Service Agency Beacon Facility - Mail Stop 8388 9240 Troost Avenue Kansas City, Missouri 64131-3055 Phone: 816-926-6992 Cell: 816-564-8950 Fax: 816-448-5833 mailto:john.underwood@kcc.usda.gov
26	A “breach” refers to a situation where data and/or information assets are unduly exposed. Is a breach notification policy in place for this system?	Yes – If YES, go to question 27. No

No.	Question	Response
26.1	If NO, please enter the Plan of Action and Milestones (POA&M) number with the estimated completion date.	N/A.
27	Consider the following: Consolidation and linkage of files and systems Derivation of data Accelerated information processing and decision making Use of new technologies Is there a potential to deprive a customer of due process rights (fundamental rules of fairness)?	Yes No – If NO, go to question 28.
27.1	Explain how this will be mitigated?	N/A.
28	How will the system and its use ensure equitable treatment of customers?	Agreements, payment schedules, exports, shipments, disbursements, and cash receipts are processed in the same manner for all customers.
29	Is there any possibility of treating customers or employees differently based upon their individual or group characteristics?	Yes No – If NO, go to question 30.
29.1	Explain	N/A.



4 System of Record

No.	Question	Response
30	Can the data be retrieved by a personal identifier? In other words, does the system actually retrieve data by the name of an individual or by some other unique number, symbol, or identifying attribute of the individual?	Yes No – If NO, go to question 31.
30.1	How will the data be retrieved? In other words, what is the identifying attribute (i.e., employee number, social security number, etc.)?	N/A.
30.2	Under which Systems of Record (SOR) notice does the system operate? Provide number, name and publication date. (SORs can be viewed at www.access.GPO.gov .)	N/A.
30.3	If the system is being modified, will the SOR require amendment or revision?	Yes s

5 Technology

No.	Question	Response
31	Is the system using technologies in ways not previously employed by the agency (e.g., Caller-ID)?	Yes No – If NO, the questionnaire is complete.
31.1	How does the use of this technology affect customer privacy?	N/A.



6 Completion Instructions

Upon completion of this Privacy Impact Assessment for this system, the answer to OMB A-1 1, Planning, Budgeting, Acquisition and Management of Capital Assets, Part 7, Section E, Question 8c is:

1. Yes.

PLEASE SUBMIT A COPY TO THE OFFICE OF THE ASSOCIATE CHIEF INFORMATION OFFICE FOR CYBER SECURITY.