

General Information

PTA / PIA Name:	CDC - OCIO Azure GSS - Explorer - Automated Royalty Tracking System - QTR1 - 2026 - CDC8871033	PTA / PIA ID:	4503777
Component Name:	CDC - OCIO Azure GSS	ATO Boundary Name:	OCIO Azure GSS
Overall Status:	Complete 	# of Days - Open:	72
Submitter:		Submit Date:	4/29/2026
Next Assessment Date:	05/28/2029	Expiration Date:	5/28/2029
Office:		OpDiv:	CDC
Security Categorization:	High		
Make PIA available to Public?:	Yes	PIA Required:	Yes
General 01:	Identify the Enterprise Performance Lifecycle Phase of the system.		Operations and Maintenance
General 02:	Is this a FISMA-Reportable system?		Yes
General 03:	Does the system have or is it covered by a Security Authorization to Operate (ATO)?		Yes
General 04:	ATO Date or Planned ATO Date.		7/17/2023
General 05:	Is the system or electronic information collection, agency or contractor operated?		Agency
History Log:	View History Log		

Privacy Threshold Analysis**Privacy Threshold Analysis**

PTA 01:	Point of Contact (POC) Name	Daisy Osei
PTA 01A:	POC Title and Organization	Title: Application Services Branch Security Steward Organization: CDC/OCIO/OCIO/DSO/ASB Center of Disease Control and Prevention (CDC)
PTA 01B:	POC Email Address	xno5@cdc.gov
PTA 01C:	POC Phone Number	571-337-8797
PTA 02:	Indicate the following reason(s) for this PTA. Choose from the following options.	PIA Validation (PIA Refresh)

PTA 02A:	Describe in further detail any changes to the system that have occurred since the last PIA.	Automated Royalty Tracking System (ARTS) has migrated as an application module under Explorer platform within the CDC OCIO AZURE GSS authorization boundary.
PTA 03:	Is the data contained in the system owned by the agency or contractor?	Agency
PTA 04:	Please give a brief overview of the purpose of the system by describing what the functions of the system are and how the system carries out those functions in support of HHS.	Automated Royalty Tracking System (ARTS) is a financial application module under Explorer platform (a separate system with its own PIA) designed to enable the processing, tracking and reporting of CDC Royalty revenue distribution payments. ARTS facilitates the royalty income collection and royalty distribution process by calculating inventor and lab payments, routing inventor payment records through the appropriate approval channels, and submitting payment records to the Unified Financial Management System (UFMS) for payment.
PTA 05:	List and/or describe all the types of information that are collected, maintained, and/or shared by the system regardless of whether that information is PII and how long that information is stored.	The system collects the following list of Personally Identifiable Information (PII) / (Non PII) Names Social Security Numbers Personal and Business email addresses Uniform Resource Locators (URLs)
PTA 05A:	Are user credentials used to access the system?	Yes, but the user credentials are maintained in a separate system (e.g., AD, AMS) and not collected or maintained by this system.
PTA 05C:	Please identify the system that maintains the user credentials or controls access to this system.	Active Directory (AD)

PTA 06:	Describe why each type of information is collected, maintained, and/or shared by the system. Specify what information is collected about each category of individual.	ARTS collects and processes the following information such as Names, Personal, Business email addresses, Social Security Number (SSN). ARTS uses information from the CDC divisions as well as Personable Identifiable Information (PII) e.g. (Name) and Social Security Numbers (SSNs) from CDC and non-CDC employees. Information such as Website Uniform Resource Locator (URLs), personal and business-related email addresses are stored in Management Information System Office Database (MISO_Person DB) and Management Information System Office Database (MISO_DB) for contact purposes. Name: Used as a unique identifier SSN is used as a unique identifier for payment processing and allows the proper recording of tax reporting information e.g. 1099 form Personal/Business email addresses: Are used to notify payees that a royalty disbursement is pending. URLs: Are collected and used for contact purposes. These URLs are associated with companies that partner with the program.
PTA 07:	Does the system collect, maintain, use, or share PII?	Yes
PTA 08:	Does the system include a website or online application?	Yes
PTA 08A:	Provide the URL(s).	https://www.explorer.cdc.gov/arts/
PTA 08B:	Are any of the website or online applications accessible by the public (including publicly accessible log in pages)?	No

PTA 09:	Describe the purpose of the website, who has access to it, and how users access the web site (via public URL, log in, etc.). Please address each element in your response.	The purpose of ARTS (website) is to facilitate the processing, tracking, and reporting of CDC Royalty revenue collections and distributions. The website is accessed only by CDC internal users, including: Technology Transfer staff from the Office for Infectious Diseases (OID) Technology Transfer Office (TTO) Division Approvers from OID Center for Global Health (CGH), National Center for Environmental Health (NCEH) National Institute of Occupational Safety and Health (NIOSH) The Office of the Chief Financial Officer (OCFO) Budget Analysts User authorizations to interact with the system is managed through Active Directory (AD) via Role-Based Access Control (RBAC).
PTA 10:	Does the website have a posted privacy notice?	Yes
PTA 11:	Does the website contain links to non-federal government websites external to HHS?	No
PTA 12:	Does the website use web measurement and customization technology?	No
PTA 13:	Does the website have any information or pages directed at children under the age of thirteen?	No
PTA 14:	Does the system have a mobile application?	No
PTA 20:	Are any third-party websites or applications (TPWA) associated with the system?	No
PTA 21:	Does this system use artificial intelligence (AI) tools or technologies?	No

Privacy Impact Assessment

Privacy Impact Assessment

PIA 22:	Indicate the type(s) of personally identifiable information (PII) that the system will collect, maintain, or share.	Identifying Numbers Social Security Number Biographical Information Name Contact Information Email Address (Personal) Email Address (Business)
PIA 23:	Indicate the categories of individuals about whom PII is collected, maintained, or shared.	Employees/HHS Direct Contractors Members of the public
PIA 24:	Indicate the approximate number of individuals whose PII is maintained in the system.	100 – 499

PIA 25:	For what primary purpose is the PII used?	Name: Is a unique identifier for identification and verification of the system users. Social Security Number is used as a unique identifier for payment processing and ensures proper recording of tax reporting information. The personal/business email addresses are used to notify payees of pending royalty disbursement.
PIA 26:	Describe any secondary uses for which the PII will be used (e.g., testing, training, or research).	None
PIA 27:	Describe the function of the SSN, Truncated SSN, and/or Taxpayer ID. If the Taxpayer IDs collected are only for businesses include that in your response.	The Social Security Number is used for payment processing to the inventors and ensure proper recording of tax reporting information.
PIA 27A:	Cite the legal authority to use the SSN, Truncated SSN, and/or Taxpayer ID. If the Taxpayer IDs collected are only for businesses, you may respond N/A.	Executive Order 9397
PIA 28:	Identify legal authorities, governing information use and disclosure specific to the system and program.	15 U.S.C. 3710, 3710a, 3710c & 3710d and 35 U.S.C. 200 et seq. provide authority to maintain the records; 45 CFR Part 7 "Employee Inventions"
PIA 29:	Are records in the system retrieved by one or more PII data elements?	Yes
PIA 29A:	Please specify which PII data elements are used to retrieve records.	Name and Social Security Number
PIA 29B:	Provide the number, title, and URL of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or indicate whether a new or revised SORN is in development.	
PIA 30:	Identify the sources of PII in the system.	Government Sources Within the OPDIV
PIA 31:	Is there an Office of Management and Budget (OMB) information collection approval number?	No
PIA 31B:	Explain why an OMB information collection approval number is not required.	None, ARTS does not collect PII from the public. PII is provided by other government systems.
PIA 32:	Is the PII in the system shared directly with other organizations outside the system's Operating Division?	Yes
PIA 32A:	Identify with whom the PII is shared or disclosed.	Within HHS
PIA 32B:	For each disclosure, name the organizations/systems the system shares PII with and the purpose(s) of the disclosure.	PII information such as Social Security Number is required by Unified Financial Management System (UFMS) to process payments for legible parties (inventors) Technology Transfer Software (TechTracS) maintains PII, (names and Social Security numbers) for agreement records to identify the parties involved in a contract.
PIA 32C:	List any agreements in place that authorize the information sharing or disclosure (e.g., Computer Matching Agreement (CMA), Memorandum of Understanding (MOU), or Information Sharing Agreement (ISA)).	None, all information is exchanged between Center of Disease Control and Prevention and Department of Health and Human Services

PIA 32D:	Describe process and procedures for logging/tracking/accounting for the sharing and/or disclosing of PII. If no process or procedures are in place, please explain why not.	All disclosures are archived on a local file share and maintained in accordance with the system record schedule should the organization or an individual request an accounting.
PIA 33:	Is the submission of PII by individuals voluntary or mandatory as defined in the Privacy Act?	Voluntary
PIA 34:	Describe the method in place to notify and obtain consent from individuals whose PII will be collected. If no prior notice is given or consent cannot be obtained, explain why.	ARTS does not collect PII from individuals. PII is provided by other government systems (CDC Division and HHS). Therefore, ARTS does not notify the individual that their data is collected.
PIA 35:	Describe the process to notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of original collection). If they cannot be notified or have their consent obtained, explain why.	The individual's contact information (email address), associated with their payment, will be used to notify the individual or their representative of a significant change in data use or disclosure.
PIA 36:	Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate. If no process exists, explain why not.	If an individual believes their personal information has been used, shared, or recorded incorrectly, CDC provides several ways to raise concern. Individuals may contact the Application Services Branch (ASB) by email at http://servicedesk.gov/esc , to request help or report an issue. They may also report suspected privacy or cybersecurity incidents at any time using the 24x7 Cybersecurity Program Office direct hotline (CSPO) 770-488-8660. Once a concern is received, the CDC Cybersecurity Program Office (CSPO) reviews the issue, works with the appropriate program or system team to determine what happened, and takes any needed corrective action. After the review, CDC Cybersecurity Program Office informs the individual of the outcome and any next steps. This process helps ensure personal information is handled correctly and that individuals can request corrections when needed.
PIA 37:	Describe the process in place for periodic reviews of the system to ensure the integrity, availability, accuracy, and relevancy of the PII in the system. Please address each element in your response. If no processes are in place, explain why not.	ARTS synchronizes its PII data weekly with the government systems that provide the PII data to ARTS.
PIA 38:	Identify who will have access to the PII in the system.	Users Administrators Developers Contractors
PIA 38A:	Select the type of contractor.	HHS/OpDiv Direct Contractors
PIA 38B:	Do contracts include Federal Acquisition Regulation (FAR) and other appropriate clauses ensuring adherence to privacy provisions and practices?	Yes

PIA 39:	Provide the reason why each of the groups identified in 38 needs access to PII.	Users: To maintain information needed for royalty payment processing. Administrators: To provide maintenance and upgrades to the system and assist with royalty payment processing. Developers: To provide maintenance and upgrades to the system. Contractors: To provide maintenance and upgrades to the system.
PIA 40:	Describe the administrative procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.	ARTS user roles are assigned based on a user's business function. User roles are requested through a supervisor who authorizes the role assignment. A user's restricted access to PII is enforced through the use of the Role Based Access Control (RBAC) system and Active Directory (AD).
PIA 41:	Describe the technical methods in place to allow those with access to PII to access only the minimum amount of information necessary to perform their job.	Accounts use a membership model and Active Directory roles to control access based on an individual's assigned role.
PIA 42:	Identify the general security and privacy awareness training provided to system users (system owners, managers, operators, contractors and/or program managers) to make them aware of their responsibilities for protecting the information being collected and maintained.	CDC Security and Privacy Awareness Training (SAT). Provided prior to initial authorization and at least annually.
PIA 43:	Describe the training system users receive above and beyond general security and privacy awareness training.	None
PIA 44:	Describe the process and guidelines in place for the retention and destruction of PII. Cite specific National Archives and Records Administration (NARA) records retention schedule(s) and include the retention period(s).	All official records are transferred or destroyed based on CDC record management policies and practices. The following records schedules apply to the system: GENERAL RECORDS SCHEDULE 5.2: Transitory and Intermediary Records Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. The data is destroyed when business use cease: DAA-GRS 2013-0003-0002

PIA 45:

Describe how the PII will be secured in the system using administrative, technical, and physical controls. Please address each element in your response.

Administrative: Annual CDC Security Awareness Training (SAT) is completed by users to enforce security awareness handling sensitive information. Records are maintained according with CDC's record control schedule and record control policy. All access requests are reviewed by administrators before system access is granted.

Technical: Access to the system and to specific information is controlled using windows integrated Authentication via Azure Gov Cloud Active Directory (AD) services, so users have to have a valid and active network profile before they are allowed system access. Network and security controls for the web services and databases are in place as well as network security monitoring and security audits.

Physical: Controls are managed by guards, ID badges and key card restrictions.

Review and Comments			
OpDiv Privacy Analyst Review			
Privacy Analyst Review Decision:	Approved	Privacy Analyst Review Date:	4/29/2026
Privacy Analyst Review Comments:	Please refer to the comments dated 3/24/2026.	# of Days - PA Review:	0

SOP Review			
SOP Review Decision:	Approved	SOP Review Date:	5/20/2026
SOP Review Comments:	Please review and revise per my comments. -BEW Approved: BEW, SOP	# of Days - SOP Review:	21

Agency Privacy Analyst Review			
Agency Privacy Analyst Review Decision:	Approved	Agency Privacy Analyst Review Date:	5/22/2026
Agency Privacy Analyst Review Comments:	Reviewer: Godisgreat Peters 5/22/2026 This PIA is ready for SAOP review and approval.	# of Days - APA Review:	2

SAOP Review					
SAOP Review Decision:		Approved	SAOP Review Date:		5/29/2026
SAOP Review Comments:			# of Days - SAOP Review:		7
SAOP Signature					
Date	User	Type	Name	Original Value	New Value
5/29/2026 3:12 PM	BAUR, VANESSA	Signature	SAOP (Email PIN)		Content Signed

Supporting Document(s)				
Name	Size	Type	Upload Date	Downloads
No Records Found				

Comments				
Question Name	Submitter	Date	Comment	Attachment
PTA 05A	Data Feed Service, pta_pia_CDC_Release	3/19/2026	Active Directory (AD)	
PIA 29B	Data Feed Service, pta_pia_CDC_Release	3/20/2026	OPM/GOVT-1, General Personnel Records. OPM/GOVT-1, General	

[Personnel Records](#)

PTA 05	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please confirm and update the BSI Section 2 #2 to include all of the following: Names Social Security Numbers Personal and Business email addresses
PTA 09	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please remove bullets, stars and asterisks as this is better for 508 compliance.
PIA 25	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please define what the purpose is for "Name".
PTA 06	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please explain/describe what the "tax reporting information" consist of or contains.
PIA 32B	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please review/update, "to processing". May consider to process or for processing.
PIA 32B	Data Feed Service, pta_pia_CDC_Release	3/24/2026	First use, "TechTracS ", please spell out, if applicable.
PTA 05	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please confirm "payment", is there an account number or banking/financial institution associated with payment.
PIA 36	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please provide the contact information. ex-Helpdesk 1800-000-0000 or incident@cdc.gov.
PIA 44	Data Feed Service, pta_pia_CDC_Release	3/24/2026	First use, "GRS ", "RCS", please spell out.
PIA 45	Data Feed Service, pta_pia_CDC_Release	3/24/2026	Please add "Annual CDC Security Awareness Training (SAT) is completed" to Administrative Control.
PTA 06	Data Feed Service, pta_pia_CDC_Release	4/6/2026	Information provided confirmed by system's business steward
PIA 22	Data Feed Service, pta_pia_CDC_Release	4/6/2026	Please confirm "Mailing Address (Business)", This data type is not listed in PTA-5, the BSI, or described in PTA-6.

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PIA 25	Data Feed Service, pta_pia_CDC_Release	4/6/2026	Please add the mailing address if applicable.
PTA 05	Data Feed Service, pta_pia_CDC_Release	4/9/2026	Correction required: Change "Personable" to "Personally"
PTA 06	Data Feed Service, pta_pia_CDC_Release	4/9/2026	Correct subject/verb agreement: Change "ARTS collect and process .." to read: "ARTS collects and processes"
PIA 29B	Data Feed Service, pta_pia_CDC_Release	4/9/2026	Correction is needed. This system is covered under HHS SORN since 2020. Update your response to: 09-90-0067, Invention, Patent, and Licensing Documents Related to Inventions By Public Health Service Employees, Grantees, Fellowship Recipients, and Contractors
PIA 36	Data Feed Service, pta_pia_CDC_Release	4/9/2026	Describe how the concerns will be considered, investigated, and resolved once reported..
PIA 42	Data Feed Service, pta_pia_CDC_Release	4/9/2026	Revise to read: CDC Security and Privacy Awareness Training (SAT). ...
PIA 44	Data Feed Service, pta_pia_CDC_Release	4/9/2026	The cited Records Schedules were superseded several years ago (I think around 2017) . At any rate, they have all been collectively superseded by GRS 5.2, Item 020. This is the only citation needed. Please update your response accordingly.
PIA 45	Data Feed Service, pta_pia_CDC_Release	4/9/2026	In the portion of your response regarding technical controls, please remove this part of your response: The system is only available on the Intranet, mitigating the exposure outside the firewall. Since this will be a public document, perhaps this statement is not appropriate.
PIA 29B	BLAND, CRYSTAL	5/22/2026	OPM/GOVT-1, General Personnel Records. OPM/GOVT-1, General Personnel Records OPM: chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https://www.opm.gov/privacy/sorn/opm-sorn-govt-1.pdf

FR:
<https://www.federalregister.gov/documents/2023/08/17/2023-17651/privacy-act-of-1974-system-of-records>

PIA 29B	PETERS, GODISGREAT	5/26/2026	Per CDC's Email: CDC SORN Number 09-90-0067 Invention, Patent, and Licensing Documents Related to Inventions By Public Health Service Employees, Grantees, Fellowship Recipients, and Contractors	Re_ CDC - OCIO Azure GSS - Explorer - Automated Royalty Tracking System - QTR1 - 2026 - CDC8871033.pdf ARTS Privacy_Assessment.rtf
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