



DEPARTMENT OF HEALTH AND HUMAN SERVICES

OFFICE OF THE SECRETARY

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Office for Civil Rights
200 Independence Ave., SW; RM 509F
Washington, DC 20201

Date

Name of Entity

Address of Entity

Point of Contact of Entity

Dear Covered Entity:

The Office for Civil Rights (OCR) of the Department of Health and Human Services (HHS) has responsibility for administration and enforcement of the Health Insurance Portability and Accountability Act (HIPAA) Privacy and Security Rules (45 CFR Part 160 and Part 164 Subparts C and E). These rules are designed to provide important health information privacy and security protections and rights for individuals. The OCR is committed to developing and enforcing strong health information privacy protections that do not impede access to quality health care.

The American Recovery and Reinvestment Act of 2009 (ARRA) requires HHS to audit covered entity and business associate compliance with the HIPAA privacy and security standards. To effectively implement this statutory mandate, OCR has engaged the services of a professional public accounting firm (KPMG LLP) to conduct performance audits, using generally accepted government auditing standards. You are receiving this letter because OCR has selected [Name of entity] to be the subject of an audit.

These audits are a new facet of the OCR health information privacy and security compliance program. Audits present an opportunity to examine mechanisms for compliance, identify best practices and discover risks and vulnerabilities that may not have come to light through OCR's established complaint investigations and compliance reviews. OCR will broadly share best practices gleaned through the audit process and guidance targeted to observed compliance challenges. OCR will assess whether to open a separate compliance review in cases where an audit indicates serious compliance issues.

Request for Information and Points of Contact

In the attached letter, KPMG LLP requests certain information be provided by you in order to facilitate the audit process. Additionally, they provide contact information for the audit firm personnel responsible for conducting the audit. Please recognize that KPMG LLP is requesting and reviewing these documents solely as a contractor to OCR and on its behalf and pursuant to its audit authority. This letter serves to notify you that the audit shall begin within the next 30 to 90 calendar days from the date of this letter. The results of the audit firm's work, including your management's written response to any reportable findings will be presented in a final report to OCR.

We expect you to provide KPMG LLP your full cooperation and support and remind you of your cooperation obligations under the HIPAA Enforcement Rule.

Sincerely,

Leon Rodriguez
Director
Office for Civil Rights, DHHS