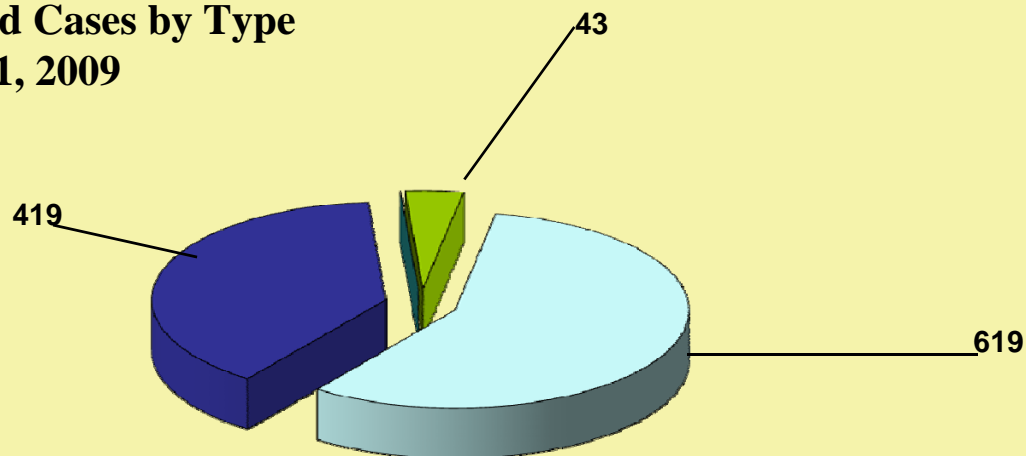


**CMS Enforcement Statistics Report**  
**Open and Closed Cases by Type**  
**As of May 31, 2009**

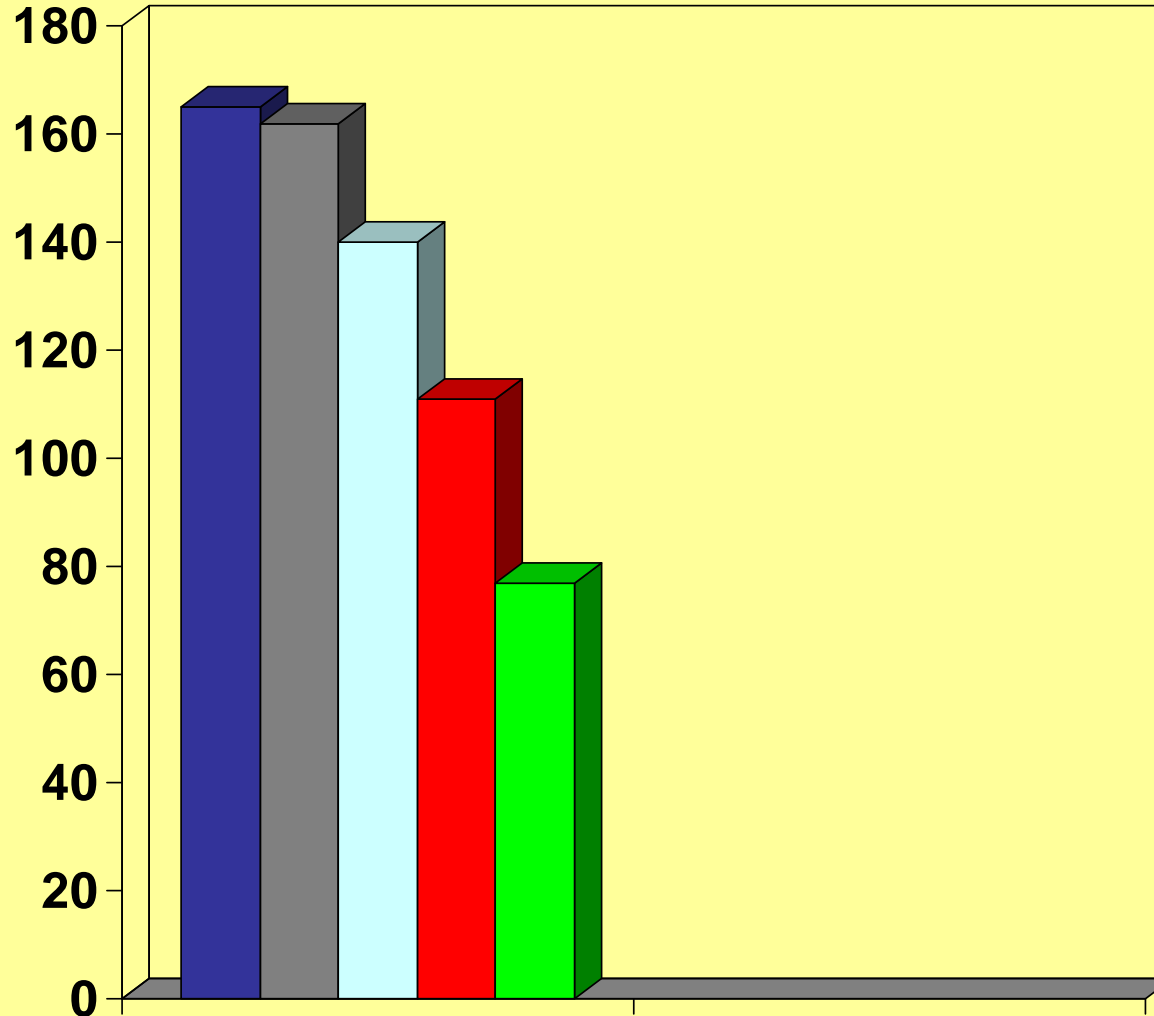


| <b>Complaint Type</b>              | <b>Total</b> | <b>Open</b> | <b>Closed</b> |
|------------------------------------|--------------|-------------|---------------|
| Transactions and Code Sets (TCS)   | 619          | 45          | 574           |
| Security                           | 419          | 73          | 346           |
| National Provider Identifier (NPI) | 43           | 3           | 40            |
| <b>Total</b>                       | <b>1,081</b> | <b>121</b>  | <b>960</b>    |

**Open** – Outstanding issues remain. Entity may be under a corrective action plan or additional information from either the complainant, the filed against entity, or both is being sought.

**Closed** – No further action required. All issues have been sufficiently resolved. Please note that 47 of the 346 security cases have been closed via corrective action plans.

## Summary of Most Commonly Violated Security Provisions



- **Administrative-164.308(a)(4)(i) Information Access Management (Total 165)**
- **Technical-164.312(a)(1) Access Control (Total 162)**
- **Administrative-164.308(a)(5)(i) Security Awareness and Training (Total 140)**
- **Administrative-164.308(a)(6)(i) Security Incident Procedures (Total 111)**
- **Physical-164.310(d)(1) Device and Media Control (Total 77)**

-A single security complaint can allege violations of all the provisions listed.  
-The number of provisions listed do not correlate to the total number of security complaints.  
-The total number of Administrative provisions represented on this 416, Technical 162, and Physical 77.