

# Root Cause Analysis

*For CMS use:*

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**Program Area**

To be completed by CMS: Enter program area

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**Date Issue Identified**

To be completed by CMS: Select date

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**Brief Description of Issue**

To be completed by CMS: Enter brief description of issue

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**Condition**

To be completed by CMS: Enter condition

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**Related to Pre-Audit Issue Summary (PAIS)**

To be completed by CMS: Select Yes/No

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**PAIS Number**

To be completed by CMS: If above is Yes, enter number. If No, enter NA.

*For Sponsoring organization use:*

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**Description of Issue**

To be completed by Sponsoring organization: Provide detailed description of the overall issue (i.e., beyond the case level); explain what happened.

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**Root Cause**

To be completed by Sponsoring organization: Provide the root cause that attributed to the overall issue (i.e., beyond the case level); explain why the issue occurred.

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**Methodology Used to Determine Root Cause\***

To be completed by Sponsoring organization: Provide approach used to establish why the issue occurred; explain how the root cause was determined.

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**Methodology to Determine Full Scope of Impact**

To be completed by Sponsoring organization: Provide approach to identify those affected by the issue; explain how impacted parties (e.g., enrollees, employees, FDRs) will be identified. Include number impacted, if known.

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\* To the extent that the methodology changes after completion of the full impact analysis, the Sponsoring organization would update this section and re-upload this template to HPMS at the time the full impact analysis is uploaded.