Instructions

Root Cause Analysis

<u>1. Root Cause Analysis (RCA)</u> - complete as requested by CMS

- 'Root Cause Analysis' tab
  - Complete Columns F, G, H, & I only. Provide a detailed description of the issue in Column F, the root cause of that issue in Column G, the methodology used to determine the root cause in Column H, and the scope of the noncompliance in Column I.
- Remove "Template" from the document title and upload the completed file in HPMS as a "Root Cause" File Type.

	COMPLETED BY CMS TEAM LEAD			
	Root Cause Analysis Request			
Date Identified (CCYY/MM/DD)	**Brief Description Of Issue**	**Condition Language**	**Related to Pre-Audit Issue Summary (PAIS)? (Y/N)**	**PAIS Number (If applicable)**

COMPLETED BY SPONSORING ORGANIZATION			
Root Cause Analysis Request			
Detailed Description of the Issue (Explain what happened)	Root Cause Analysis for the Overall Issue (Explain what happened beyond the case level and/or how the failed sample cases identified on audit are related, and what internal controls/processes are related to the noncompliance)	Methodology Used to Determine Root Cause (Provide approach used to establish why the issue occurred; explain how the root cause was determined)	Scope of Noncompliance (Provide any additional information necessary for CMS to understand how the noncompliance fits into your overall relevant operations, for instance number of grievances impacted relative to overall number processed. Depending on the root cause, relevant information could also be provided at the case-type or staff levels). Please describe how this noncompliance impacted your organization including its impact to any entities, systems and/or processes, as well as any potential enrollee impact.