

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.
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-1395 (Expires MM/DD/CCYY). This is a mandatory information collection. The time required to complete this information collection is estimated to average 390 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850. ****CMS Disclosure**** Please do not send applications, claims, payments, medical records or any documents containing sensitive information to the PRA Reports Clearance Office. Please note that any correspondence not pertaining to the information collection burden approved under the associated OMB control number listed on this form will not be reviewed, forwarded, or retained. If you have questions or concerns regarding where to submit your documents, please contact part_c_part_d_audit@cms.hhs.gov.

	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)

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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.