

Root Cause Analysis

For CMS use:

Program Area

To be completed by CMS: Enter program area

Date Issue Identified

To be completed by CMS: Select date

Brief Description of Issue

To be completed by CMS: Enter brief description of issue

Condition

To be completed by CMS: Enter condition

Related to Pre-Audit Issue Summary (PAIS)

To be completed by CMS: Select Yes/No

PAIS Number

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

For Sponsoring organization use:

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.

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.

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.

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.