

Audit Review Period:

Scope: Participants enrolled during the audit review period.

Instructions:

- Respond to the relevant questions in the Root Cause Analysis:
 - * Columns A through C will be filled out by the Audit Lead.
 - * Columns D and E must be filled out for all Root Cause Analyses and include details relating to the investigation.
 - * Columns F and G should be filled out if they are easily known (i.e., the root cause is based off of a disclosed issue (full investigation was already done) or the scope is easily determined based off of the cause/ type of issue identified). If the scope is not easily known, enter NA in these columns.
 - * Only complete columns H through M if the condition relates to a disclosed issue for which correction was already initiated/completed. If the condition was first discovered on audit, the organization may enter NA in those columns.

Root Cause Analysis Due Date:

| Date Identified (MM/DD/YY) (Completed By The CMS Audit Lead) | Brief Description Of Issue (Completed By The CMS Audit Lead) | Condition Language (Completed By The CMS Audit Lead) |
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|--|--|--|

Detailed Description of the Issue
(Explain what happened)
(Remaining fields to be Completed by PACE Organization)

Root Cause Analysis for the Issue
(Explain why it happened)

| Methodology - Describe the process that was undertaken to determine the # of individuals (e.g. participants) impacted | # of Individuals Impacted | Action Taken to Resolve System/ Operational Issues | Date System/ Operational Remediation Initiated (MM/DD/YY) | Date System/ Operational Remediation Completed (MM/DD/YY) |
|--|----------------------------------|---|--|--|
|--|----------------------------------|---|--|--|

| Actions Taken to Resolve Negatively Impacted Individuals Including Outreach Description and Status | Date Individual Outreach and Remediation Initiated (MM/DD/YY) | Date Individual Outreach and Remediation Completed (MM/DD/YY) |
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