

Root Cause Identification (RCI)

DAY/S: 2

CPD:16

LEVEL: 1,2,3

TECHNICAL SKILLS



COURSE OBJECTIVE

To create an awareness and understanding of the concept of root cause identification to enable participants to get to the actual root causes, when performing audits. Identifying and addressing the real root cause(s) will result in value-add recommendations.



COURSE CONTENT

- Introduction and Setting of Objectives
- Background re Importance of Root Cause Identification for the Internal Auditor
- Your Expectations and Challenges Identifying Root Causes
- Contextualising Internal Audit's Role
- Group Discussion on Identifying Root Causes - Challenges when Identifying and Reporting Root Causes
 - o Four different scenarios for group discussions
- Root Cause & Root Cause Analysis ("RCA")
 - o Defining Root Cause(s)
 - o Why do we need to determine Root Cause(s)?
 - o Three Types of Root Cause(s)
 - o Advantages of Root Cause Analysis
- 5 Phases of Root Cause Investigation [these 5 phases are discussed in detail]
 - o Data Collection
- Different Audit Steps to gather information
 - o Assessment
- Practical Approach to Identifying Root Causes (specifically for Internal Auditors)
- Problem [Control Break down / gap] Definition
- Develop an Ishikawa (aka 'Fishbone' or Cause and Effect Diagram)
- 8 different problems are analysed in the groups and feedback provided
- Implementing the Ishikawa
- The Root Cause Model
- Defining the Model
- Understanding and Implementing the Model (5 Key Categories with 45 sub-categories, definitions and classifications)
- 5 Key case studies to practise using the model
 - o Corrective Actions and Follow-up
- 10 key questions to ask to determine whether the problem has been effectively addressed
 - o Inform (Reporting)
- How to report on the root cause during the audit (working papers) and when developing the audit report
- Case Studies (Piper Alpha Oil Rig Disaster)
 - o Comprehensive 24 minute DVD case study in identifying risks; key breakdowns and root causes. Analyses of various problem definitions, as well as current newspaper articles (to identify the problems and root causes)
- Group discussion on key breakdowns and possible root causes
 - o 5 Different News Paper Clippings used with different problem definitions and root causes
 - o 15 Key questions relating to Root Cause Identification for Group Discussions
- Conclusion - Achievement of Objectives - What have we learned?

Please click here for [general course information](#)

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.