

## Root Cause Identification (RCI)

Duration: 4 x 4 Hr Online Sessions

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

#### Day 1 – Session 1: 8:30 - 12:30

Introduction and Setting of Objectives

- Background regarding the importance of Root Cause Identification for the Internal Auditor
- Expectations and Challenges Identifying Root Causes
- Contextualising Internal Audit's Role in terms of identifying root causes (practical case study)
- Group Discussion on Identifying Root Causes - Challenges when Identifying and Reporting Root Causes (1)
  - o Six different scenarios for group discussions

#### Day 1 – Session 2: 13:00-17:00

- Group Discussion on Identifying Root Causes - Challenges when Identifying and Reporting Root Causes (continues)
  - o Six 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)

#### Day 2 – Session 1: 8:30 - 12:30

- Re-cap Day 1
- Group Discussion on Identifying Root Causes - Challenges when Identifying and Reporting Root Causes (continues)
- Assessment
  - o Practical Approach to Identifying Root Causes (specifically for Internal Auditors)
  - o Problem [Control Break down / gap] Definition
  - o Develop an Ishikawa (aka 'Fishbone' or Cause and Effect Diagram)
  - o Case study: Participants analyse different common audit problems (conditions) and develop fishbone diagrams for these. Participants present their results, which are evaluated by the presenter and constructive feedback provided for improvement

#### Day 2 – Session 2: 13:00-17:00

- Case Studies (Continues)
- Implementing the Ishikawa ("e-fishbones")
- The Root Cause Model
  - o Defining the Model
  - o Understanding and Implementing the Model (5 Key Categories with 45 sub-categories, definitions and classifications)

Please be advised of the event terms and conditions.

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.

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

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## *Root Cause Identification (RCI)*

Case studies: Numerous video clip scenarios will be used and participants will identify and classify root causes as per the model, which will be reviewed by the presenter

- Corrective Actions and Follow-up
  - o Key questions to ask to determine whether the problem has been effectively addressed
- Inform (Reporting)
  - o How to report on the root cause during the audit (working papers) and when developing the audit report



### METHOD OF EVALUATION

The course will be outcomes-based, using various means to enhance and re-enforce learning.

Numerous case studies and video clips will be used in making the theory real and alive for the students in order to give them practical “hands-on” experience with the issues considered. Participant presentations will further enhance the learning as well as providing input into the presenter’s assessment of the level of learning achieved.

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