

## Root Cause Analysis

### **Open and in-house**

1-2 days looking at RCA fundamentals and then diving deeper as required.

#### Foundation level considerations

- Immediate, Contributing and Root causes
- Noting that RCA will always entail why not just what, when, where, how and who
- Why there is almost always more than one root cause
- Key techniques – 5 whys, Bowtie, 5 why variants, Fault-tree, Fishbone
- The Human Factor
- Systems thinking and causal loop analysis

#### Practical considerations

- Timelines, Boundary diagrams (FMEA)
- Using the Bowtie to consider risk/control design
- Using the three-way five whys
- Fishbone diagram with best practice categories.
- Learning how to ensure causes are proven, not just assumed
- Making the link to IA assignments - assignment scoping, work programmes, findings and reporting
- The important difference between actual issues/risks and potential issues/risks

#### More progressive aspects

- Implications for audit methodology and work programmes
- Using a working hypothesis – links to data analytics
- Thematic analysis
- Seeing higher order problems and cultural problems through the lens of RCA.
- Working with other functions on RCA.

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