

Using Root Cause Analysis To Develop High Impact Findings

Course Overview

This introductory course will enhance the participants' understanding of how to conduct multiple types of root cause analysis as well as the importance of identifying root causes to ensure a high-quality report that identifies underlying issues that, if addressed, can enhance the efficiency and effectiveness of program operations. Through lecture, discussion, group exercises, and scenarios, this course will help participants hone their skills in designing and carrying out audit field work that yields sufficient, appropriate evidence related to cause. Scenarios will be used to reinforce learning and develop auditor's critical thinking related to surface and root cause, the sufficiency of evidence, and strategies for getting to a root cause.

CPEs 4

Who Should Attend

This course is designed to help performance and financial auditors and audit managers understand the importance of identifying root cause and to develop their skills and strategies for uncovering root cause throughout the course of the audit. Both new and seasoned auditors will benefit from the course.

Course Objectives: By the end of this course, participants will be better able to

- Understand and apply multiple tools to analyze root causes of deficiencies
- Develop familiarity with the iterative root cause analysis process
- Develop effective, powerful recommendations linked to root cause
- Understand the relevant standards for appropriate and sufficient audit evidence
- Recognize strategies and approaches for handling multiple relevant causes
- Know how to handle cause in other special situations

Topics Covered

- Cause in Context
 - Standards and Cause
 - Elements of a Finding
 - Identifying Cause
- Root Cause Analysis Methods
 - Benefits of Root Cause Analysis
 - The Iterative Root Cause Analysis Process
 - Categories of Causes Method
 - Five Whys Method
 - Fishbone Diagram Method
 - Tree Diagram Method

- Other Practical Considerations
 - When to Use Root Cause Analysis Throughout the Audit Process
 - How to Handle Multiple Causes/Impact-Effort Table
 - Know When to Stop Digging
 - When You Cannot Identify Cause
 - Handling Cause for Sensitive or Classified Work
- Developing Recommendations Based on Root Cause