aractech
Global Learning for Operational Leaders



AUDITING AND GOVERNANCE RISK AND COMPLIANCE | AGRC-054

Root Cause Analysis for Auditors

Contact

+31 85 7444446
info@aractech.com
https://aractech.com

Address

Waarderweg 50, 2031 BP Haarlem - Netherlands.

aractech
Global Learning for Operational Leaders

Course content

Why Attend

Audit findings that describe only symptoms tend to recur. When auditors identify why a control failed or a problem occurred, their recommendations address the real cause and deliver lasting improvement. Professional standards increasingly expect internal auditors to consider root causes, and audit committees value insight over lists of exceptions.

This Root Cause Analysis for Auditors training course equips auditors with practical techniques for moving beyond the condition to understand underlying causes. Participants learn structured methods such as the five whys, fishbone diagrams, fault trees and barrier analysis, along with ways to consider people, process, technology and cultural factors.

Course Methodology

• The course is practical and case-driven. Participants apply each technique to realistic audit scenarios, work in teams to analyse causes, practise interviewing for causes and rewrite sample findings. Group discussion explores the challenges of root cause analysis in real audit environments.

Course Objectives

• Explain why root cause analysis improves audit value

• Distinguish condition, criteria, cause and effect in findings

• Apply the five whys and fishbone techniques

• Use fault tree and barrier analysis for complex issues

• Consider human, cultural and systemic causes

• Gather and validate evidence on causes

Target Audience

• Internal auditors at all levels

• Audit managers and team leaders

• Quality and compliance auditors

Global Learning for Operational Leaders

Course content

- Risk management professionals

aractech
Global Learning for Operational Leaders

Course outline

Detailed course outline

Day-by-day outline for Root Cause Analysis for Auditors.

Day 1 - Why Root Causes Matter in Auditing

- 09:00-09:34 | The cost of recurring findings and superficial recommendations
- 09:34-10:08 | Professional expectations on root cause analysis
- 10:08-10:42 | The anatomy of an audit finding: condition, criteria, cause and effect
- 10:42-11:00 | Symptoms, contributing factors and root causes
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Symptoms, contributing factors and root causes (continued)
- 11:46-12:20 | Planning root cause work within an audit
- 12:20-12:53 | Common barriers to effective root cause analysis
- 12:53-14:00 | Exercise: identifying causes in sample findings

Day 2 - Core Techniques

- 09:00-09:34 | The five whys technique and its limitations
- 09:34-10:08 | Fishbone diagrams and cause categories
- 10:08-10:42 | Process mapping to locate failure points
- 10:42-11:00 | Pareto analysis for prioritising causes
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Pareto analysis for prioritising causes (continued)
- 11:46-12:20 | Change analysis and comparison techniques
- 12:20-12:53 | Choosing the right technique for the issue
- 12:53-14:00 | Workshop: applying techniques to an audit case

aractech
Global Learning for Operational Leaders

Course outline

Detailed course outline

Day-by-day outline for Root Cause Analysis for Auditors.

Day 3 - Advanced and Human Factors Analysis

- 09:00-09:34 | Fault tree analysis for complex failures
- 09:34-10:08 | Barrier analysis and the layers of control
- 10:08-10:42 | Human error, workload and behavioural factors
- 10:42-11:00 | Culture, incentives and tone at the top as causes
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Culture, incentives and tone at the top as causes (continued)
- 11:46-12:20 | Systemic and organisational causes
- 12:20-12:53 | Avoiding blame and hindsight bias
- 12:53-14:00 | Case study: analysing a significant control breakdown

Day 4 - Gathering Evidence and Working with Auditees

- 09:00-09:34 | Interviewing techniques that uncover causes
- 09:34-10:08 | Using data analysis to test cause hypotheses
- 10:08-10:42 | Validating causes with process owners
- 10:42-11:00 | Facilitating root cause workshops with management
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Facilitating root cause workshops with management (continued)
- 11:46-12:20 | Handling disagreement about causes
- 12:20-12:53 | Documenting root cause work in audit files
- 12:53-14:00 | Role play: a cause-focused interview with an auditee

aractech
Global Learning for Operational Leaders

Course outline

Detailed course outline

Day-by-day outline for Root Cause Analysis for Auditors.

Day 5 - Reporting and Thematic Insight

- 09:00-09:34 | Writing findings that explain cause and effect clearly
- 09:34-10:41 | Designing recommendations that address root causes
- 10:41-11:00 | Agreeing realistic management action plans
- 11:00-11:30 | Coffee break
- 11:30-11:45 | Agreeing realistic management action plans (continued)
- 11:45-12:19 | Identifying themes across multiple audits
- 12:19-12:53 | Reporting thematic insights to audit committees
- 12:53-13:27 | Following up to confirm that causes have been addressed
- 13:27-14:00 | Personal action plan for applying root cause analysis

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
21 - 25 December 2026	London	Classroom	**€2,915**
7 - 11 December 2026	Barcelona	Classroom	**€2,275**
14 - 18 December 2026	Frankfurt	Classroom	**€2,175**
4 - 8 January 2027	London	Classroom	**€2,915**
11 - 15 January 2027	Barcelona	Classroom	**€2,275**
18 - 22 January 2027	Frankfurt	Classroom	**€2,175**
25 - 29 January 2027	Kuala lumpur	Classroom	**€2,425**
8 - 12 February 2027	London	Classroom	**€2,915**
15 - 19 February 2027	Barcelona	Classroom	**€2,275**
22 - 26 February 2027	Frankfurt	Classroom	**€2,175**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
1 - 5 February 2027	Madrid	Classroom	**€3,400**
15 - 19 March 2027	London	Classroom	**€2,915**
22 - 26 March 2027	Barcelona	Classroom	**€2,275**
1 - 5 March 2027	Frankfurt	Classroom	**€2,175**
8 - 12 March 2027	Munich	Classroom	**€2,425**
26 - 30 April 2027	London	Classroom	**€2,915**
5 - 9 April 2027	Barcelona	Classroom	**€2,275**
12 - 16 April 2027	Frankfurt	Classroom	**€2,175**
19 - 23 April 2027	Paris	Classroom	**€2,810**
3 - 7 May 2027	London	Classroom	**€2,915**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
10 - 14 May 2027	Barcelona	Classroom	**€2,275**
17 - 21 May 2027	Frankfurt	Classroom	**€2,175**
24 - 28 May 2027	Rome	Classroom	**€2,830**
21 - 25 June 2027	London	Classroom	**€2,915**
7 - 11 June 2027	Barcelona	Classroom	**€2,275**
14 - 18 June 2027	Frankfurt	Classroom	**€2,175**
19 - 23 July 2027	London	Classroom	**€2,915**
26 - 30 July 2027	Barcelona	Classroom	**€2,275**
5 - 9 July 2027	Frankfurt	Classroom	**€2,175**
12 - 16 July 2027	Amsterdam	Classroom	**€3,215**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
23 - 27 August 2027	London	Classroom	**€2,915**
2 - 6 August 2027	Barcelona	Classroom	**€2,275**
9 - 13 August 2027	Frankfurt	Classroom	**€2,175**
16 - 20 August 2027	Cape Town	Classroom	**€1,825**
20 - 24 September 2027	London	Classroom	**€2,915**
6 - 10 September 2027	Barcelona	Classroom	**€2,275**
13 - 17 September 2027	Frankfurt	Classroom	**€2,175**
11 - 15 October 2027	London	Classroom	**€2,915**
18 - 22 October 2027	Barcelona	Classroom	**€2,275**
25 - 29 October 2027	Frankfurt	Classroom	**€2,175**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
4 - 8 October 2027	Geneva	Classroom	**€3,315**
15 - 19 November 2027	London	Classroom	**€2,915**
22 - 26 November 2027	Barcelona	Classroom	**€2,275**
1 - 5 November 2027	Frankfurt	Classroom	**€2,175**
8 - 12 November 2027	Istanbul	Classroom	**€2,825**
27 - 31 December 2027	London	Classroom	**€2,915**
6 - 10 December 2027	Barcelona	Classroom	**€2,275**
13 - 17 December 2027	Frankfurt	Classroom	**€2,175**
20 - 24 December 2027	Kuala lumpur	Classroom	**€2,425**
21 - 25 December 2026	Online / Live	Online / Live	**€1,625**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
7 - 11 December 2026	Online / Live	Online / Live	**€1,625**
14 - 18 December 2026	Online / Live	Online / Live	**€1,625**
4 - 8 January 2027	Online / Live	Online / Live	**€1,625**
11 - 15 January 2027	Online / Live	Online / Live	**€1,625**
18 - 22 January 2027	Online / Live	Online / Live	**€1,625**
25 - 29 January 2027	Online / Live	Online / Live	**€1,625**
8 - 12 February 2027	Online / Live	Online / Live	**€1,625**
15 - 19 February 2027	Online / Live	Online / Live	**€1,625**
22 - 26 February 2027	Online / Live	Online / Live	**€1,625**
1 - 5 February 2027	Online / Live	Online / Live	**€1,625**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
15 - 19 March 2027	Online / Live	Online / Live	**€1,625**
22 - 26 March 2027	Online / Live	Online / Live	**€1,625**
1 - 5 March 2027	Online / Live	Online / Live	**€1,625**
8 - 12 March 2027	Online / Live	Online / Live	**€1,625**
26 - 30 April 2027	Online / Live	Online / Live	**€1,625**
5 - 9 April 2027	Online / Live	Online / Live	**€1,625**
12 - 16 April 2027	Online / Live	Online / Live	**€1,625**
19 - 23 April 2027	Online / Live	Online / Live	**€1,625**
3 - 7 May 2027	Online / Live	Online / Live	**€1,625**
10 - 14 May 2027	Online / Live	Online / Live	**€1,625**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
17 - 21 May 2027	Online / Live	Online / Live	**€1,625**
24 - 28 May 2027	Online / Live	Online / Live	**€1,625**
21 - 25 June 2027	Online / Live	Online / Live	**€1,625**
7 - 11 June 2027	Online / Live	Online / Live	**€1,625**
14 - 18 June 2027	Online / Live	Online / Live	**€1,625**
19 - 23 July 2027	Online / Live	Online / Live	**€1,625**
26 - 30 July 2027	Online / Live	Online / Live	**€1,625**
5 - 9 July 2027	Online / Live	Online / Live	**€1,625**
12 - 16 July 2027	Online / Live	Online / Live	**€1,625**
23 - 27 August 2027	Online / Live	Online / Live	**€1,625**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
2 - 6 August 2027	Online / Live	Online / Live	**€1,625**
9 - 13 August 2027	Online / Live	Online / Live	**€1,625**
16 - 20 August 2027	Online / Live	Online / Live	**€1,625**
20 - 24 September 2027	Online / Live	Online / Live	**€1,625**
6 - 10 September 2027	Online / Live	Online / Live	**€1,625**
13 - 17 September 2027	Online / Live	Online / Live	**€1,625**
11 - 15 October 2027	Online / Live	Online / Live	**€1,625**
18 - 22 October 2027	Online / Live	Online / Live	**€1,625**
25 - 29 October 2027	Online / Live	Online / Live	**€1,625**
4 - 8 October 2027	Online / Live	Online / Live	**€1,625**

aractech
Global Learning for Operational Leaders

Seminar dates

Available seminar dates

Live dates and pricing for Root Cause Analysis for Auditors generated from the course details page.

Date	Location	Format	Fee
15 - 19 November 2027	Online / Live	Online / Live	**€1,625**
22 - 26 November 2027	Online / Live	Online / Live	**€1,625**
1 - 5 November 2027	Online / Live	Online / Live	**€1,625**
8 - 12 November 2027	Online / Live	Online / Live	**€1,625**
27 - 31 December 2027	Online / Live	Online / Live	**€1,625**
6 - 10 December 2027	Online / Live	Online / Live	**€1,625**
13 - 17 December 2027	Online / Live	Online / Live	**€1,625**
20 - 24 December 2027	Online / Live	Online / Live	**€1,625**