



# Root Cause Analysis (RCA)

**James Paterson**

Learn a key technique now required by the new Global Internal Audit Standards (GIAS). Appreciate why it's necessary to go beyond the '5 whys' technique. Learn how and when to use the '3-way 5 whys' approach, the fishbone diagram and causal loops.

With robust RCA techniques learn to see the difference between immediate, contributing and root causes.

Learn also eight of the common reasons why things can go wrong.

See how RCA will not slow down audit assignments and will often help with smarter assignment scoping and shorter, more insightful, audit reports.

## *What will I learn?*

Upon completion you will be able to:

- understand key new IIA GIAS requirements for root cause analysis and thematic analysis.
- Learn key root cause analysis techniques beyond the five whys approach .
- Gain a clear sense of how an audit methodology can be improved in order to deliver more robust and consistent root cause analysis – recognising there are always at least two root causes for any issue (concerning detection and prevention).
- See how effective root cause analysis should not normally slow down an audit assignment but rather help it to be better focussed in the first place
- Understand good practice RCA categories that explain WHY things have gone wrong, NOT simply WHO was involved or WHAT went wrong or HOW things went wrong.

## *Who should attend?*

Experienced auditors, audit managers and heads of internal audit.

## *Course programme*

Key IIA guidance and the latest GIAS requirements.

Five key RCA techniques and when to use them:

- 3 way 5 whys
- Fishbone
- Fault tree analysis
- BowTie diagram
- Causal loop analysis

How to incorporate RCA into an audit methodology

How RCA can help deliver shorter, more impactful audit reports with insight and foresight.

Themes and RCA categories

- the importance of having appropriate RCA categories, so that audit findings can be properly themed - both what and why.

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## Κόστος

€ 350

€ 250 (Μέλη ΙΕΕΕ)



## Τόπος διεξαγωγής

τηλε-συνδιάσκεψη

CPE's: 7

ΩΡΕΣ: 8

Καλύπτει τις απαιτήσεις του Ν.4849/2021 για τους Εσωτερικούς Ελεγκτές

## Curriculum vitae

**James Paterson** was the Chief Audit Executive for AstraZeneca from 2002-2009. Prior to that he had various corporate and commercial finance roles, including Head of Group Financial Reporting for AstraZeneca.

He set up a consulting business in 2010 providing consulting, training and coaching in the following key areas:

- Lean/Agile Auditing
- Root Cause Analysis
- Audit strategy and planning
- Risk Assurance Mapping and assurance co-ordination
- Preparing for an EQA
- Auditing Culture and behavioural risk
- Influencing and Political Savvy

He runs open courses with IIA institutes across Europe and now the IIA in the US and does in-house consulting and coaching/team development.

He was a speaker at the IIA International Conferences in 2012, 2014, 2016 and 2023, and was Chair of the EU IAS conference 2017 and 2018.

He has a master's degree in management from McGill University, Canada, specialising in organisational effectiveness/culture change and worked in HR for several years.

He is the author of «Lean Auditing» and “Beyond the Five Whys” (on root cause analysis and systems thinking).

His article «The root of the matter’ won the 2025 Ted Keys award from the IIA US for the best magazine article, its available through this link:

<https://internalauditor.theiia.org/en/articles/2025/august/online-exclusive-internal-auditor-recognizes-best-articles/>



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