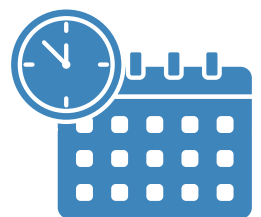


# ROOT CAUSE ANALYSIS FOR ENHANCING INTERNAL AUDIT EFFECTIVENESS (IIA)



วันที่ 9 ตุลาคม 2568  
09.00 - 16.30 น.



The Twin Towers Hotel กรุงเทพฯ

บรรยายโดย



**คุณพัทธยา ปานสุวรรณ**

CIA, CISA, CPA, ISO 22301 BCMS lead Auditor  
ผู้อำนวยการกองตรวจสอบสารสนเทศ สำนักตรวจสอบ  
การประปานครหลวง (กปน.)

**อัตราค่าอบรม**

จำนวนชั่วโมงสะสม  
7 CPE

สมาชิก 4,718.70.-  
บุคคลทั่วไป 5,243.-

\*ราคารวมภาษีมูลค่าเพิ่ม 7% แล้ว

เอกสารประกอบการบรรยาย  
จัดส่งในรูปแบบ SOFT FILE เท่านั้น

## COURSE OBJECTIVES

- Identify the purpose, importance, and key terms of root cause analysis.
- Recognize the importance of critical thinking in determining root cause.
- Identify the relevant International Standards for the Professional Practice of Internal Auditing (Standards) and related root cause analysis Implementation Guidance.
- Discover the importance of process documentation, and understanding it as the groundwork for effective root cause analysis, utilizing the process profile worksheet.
- Explore measures of success and trigger events as key elements in root cause analysis.
- Apply root cause analysis concepts, tools, techniques, skills, and templates within an audit setting.
- Describe how root cause analysis can be used to significantly enhance reporting of audit results.

## WHO WILL BENEFIT FROM THIS COURSE?

This course provides hands on application of techniques for conducting root cause analysis. Participants of this course will come away equipped to truly identify the root cause of audit findings, adding value to the internal audit process and establishing themselves as trusted advisors for the organization. This course is intended for audit leaders who would like to gain an understanding of how root cause analysis concepts, tools, and techniques can be incorporated into audit strategies; audit managers interested in learning how to lead and manage root cause analysis efforts on audit projects; auditors-in-charge who want to develop skills for using root cause analysis when supervising audit projects; and senior and staff auditors seeking opportunities to practice root cause analysis during audit engagements will benefit greatly from the concepts in this course.



IIA Thailand



www.theiiat.or.th



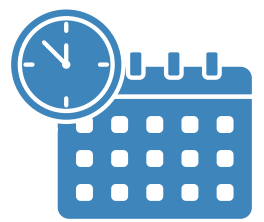
training@theiiat.or.th



02-7129124 ต่อ 101-104



# ROOT CAUSE ANALYSIS FOR ENHANCING INTERNAL AUDIT EFFECTIVENESS (IIA)



วันที่ 9 ตุลาคม 2568  
09.00 - 16.30 น.



The Twin Towers Hotel กรุงเทพฯ

บรรยายโดย



**คุณพัทยา ปานสุวรรณ**

CIA, CISA, CPA, ISO 22301 BCMS lead Auditor

ผู้อำนวยการกองตรวจสอบสารสนเทศ สำนักตรวจสอบ  
การประปานครหลวง (กปน.)

**อัตราค่าอบรม**

จำนวนชั่วโมงสะสม  
7 CPE

สมาชิก 4,718.70.-  
บุคคลทั่วไป 5,243.-

\*ราคารวมภาษีมูลค่าเพิ่ม 7% แล้ว

เอกสารประกอบการบรรยาย  
จัดส่งในรูปแบบ SOFT FILE เท่านั้น

## COURSE TOPICS

Root Cause Analysis: An Overview

- An explanation of root cause.
- The definition of root cause analysis.
- Purpose and importance of root cause analysis.
- Key root cause analysis terms.
- The IIA's International Professional Practices Framework (IPPF) Standards and Implementation Guidance associated with root cause analysis.
- Applying critical thinking to root cause analysis.
- Benefits of root cause analysis.
- Root cause analysis considerations.

Root Cause Analysis in Planning

- Audit planning phase.
- Defining a process.
- Identifying root cause analysis trigger events.
- Root cause analysis tools and techniques:
  - o Tool: SIPOC diagram.
  - o Tool: RACI diagram.
  - o Tool: Flowcharting.
- Measurements of success.

Root Cause Analysis in Fieldwork

- Purpose and structure of the audit fieldwork phase.
- Controls testing.
- Business process analysis.
- Tools and techniques for root cause identification:
  - o Tool: The 5 Whys.
  - o Tool: Fishbone diagram.
  - o Tool: Cause and effect matrix.
- Root cause measurement and prioritization.
- Data analytics.

Root Cause Analysis in Reporting

- Relevant IPPF Standards and Practice Guides for reporting root cause analysis.
- Components of an audit observation associated with root cause analysis.
- Tying root cause analysis audit findings to planning documentation.
- Linking root causes to recommendations and management action plans.



IIA Thailand



www.theiiat.or.th



training@theiiat.or.th



02-7129124 ต่อ 101-104