

Root Cause Analysis of Compliance Issues

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Issue Identified:	Non-compliance with Document Retention Policy		

1. Description of Compliance Issue

During a recent internal audit, it was discovered that multiple teams failed to properly store and retain required compliance documentation. Several project files were found missing or incomplete, in violation of the company's Document Retention Policy. This has potential regulatory and reputational risks.

2. Immediate Impact

- Potential penalties from regulatory bodies
- Risk of reputational damage
- Operational delays due to incomplete documentation

3. Investigation & Data Collection

- Interviewed personnel involved in document handling
- Reviewed audit trails and folder contents for Q1 and Q2 2024
- Cross-referenced policy requirements with actual practices

4. Root Cause Analysis

- Lack of awareness: Several staff members were unfamiliar with the updated policy requirements.
- Inefficient processes: No standardized workflow for documenting and archiving files.
- Absence of regular compliance training and reminders.
- Insufficient monitoring of adherence to policy by team leads.

5. Corrective Actions

- Conduct mandatory compliance training for all relevant staff within 30 days.
- Implement a standardized digital filing system with access logs.
- Introduce routine compliance checks per quarter.
- Develop a clear checklist for document retention responsibilities.

6. Preventive Measures

- Quarterly refresher training and communication updates on compliance policies.
- Appointment of a Compliance Champion in each team.
- Integration of retention policy checks in onboarding processes for new staff.

Important Notes

- Root Cause Analysis documents should be factual and objective, focusing on causesâ€”not assigning personal blame.
- All recommendations must be feasible, actionable, and monitored for effectiveness.
- Regular reviews of compliance procedures help prevent recurrence of issues.
- Confidentiality must be observed when sharing findings of this document.

