



Root Cause Analysis

Recurring Non-Compliances

A structured diagnostic framework for automotive network teams to identify, analyse, and permanently close recurring dealer audit findings

Network / Organisation	
Completed by	
Role / Title	
Audit Programme(s)	
Audit Cycle Reference	
Date	

Evidence Failure	Process Gap	Accountability Gap	Ambiguous Criterion	Systemic / Network-Wide
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How to use this template

This template is designed for use by Network Managers, Regional Auditors, and Heads of Aftersales after completing a standard audit cycle. Use it for any non-compliance that has appeared in more than one consecutive audit cycle at the same dealer, or in the same criterion across multiple dealers.

Three-step process

STEP 1 Identify Pull your last 3 audit cycles. List every criterion that failed more than once at the same dealer, or across 3+ dealers in the same cycle.	STEP 2 Diagnose For each recurring finding, complete one RCA Record. Use the 5 Whys method and classify the root cause type using the reference table below.	STEP 3 Act & Close Assign a named corrective action with a specific evidence requirement. Track closure in the Network Summary on the final page.
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Root cause type reference

Use this table to classify each recurring finding before completing the 5 Whys. The root cause type determines the corrective action — applying the wrong fix to a finding is why it recurs.

Root Cause Type	What it means	Required corrective action
Evidence Failure	The gap was marked closed without verifiable evidence — dealer self-reported resolution that was not independently confirmed.	Mandate evidence upload before closure. Require regional approval of all completed items.
Process Gap	The corrective action fixed a one-time failure but did not change the underlying process that caused it.	Require a documented process change as part of the action plan, not just a corrective event.
Accountability Gap	Responsibility was assigned to a role or department rather than a named individual with a specific close date.	Assign to a named person. Set a non-negotiable close date. Escalate if missed.
Ambiguous Criterion	The criterion is written ambiguously — different auditors reach different conclusions when assessing the same situation.	Rewrite the criterion with a binary definition. Attach a mandatory evidence type to remove interpretation.
Systemic / Network-Wide	The same finding is recurring across multiple dealers in different regions — the failure is in the network programme, not the dealer.	Escalate to a programme-level corrective action. Do not leave individual dealers to solve a network problem.

Key rule: A non-compliance recurring at one dealer is a dealer issue. The same non-compliance recurring across three or more dealers is a network issue. If you identify cross-network recurrence, escalate to programme level — do not leave individual dealers to solve a problem that requires a structural fix.

RCA Records

Complete one record per recurring non-compliance. Add additional pages as needed.

RCA Record #1 — Complete one record per recurring non-compliance			
Finding Reference		Audit Programme	
Non-Compliance Description			
Cycles Failed	Count: ____ cycles	Last Cycle Closed?	☐ Yes — self-reported ☐ Yes — evidence verified ☐ No
Affected Dealers / Regions		Dealer Count	☐ Single dealer ☐ Multiple dealers (same region) ☐ Cross-region
Root Cause Type	☐ Evidence Failure ☐ Process Gap ☐ Accountability Gap ☐ Ambiguous Criterion ☐ Systemic / Network-Wide		
Root Cause Analysis — 5 Whys			
Why 1	Why did this non-compliance occur?	Why 2	
Why 2		Why 3	
Why 3		Why 4	
Why 4		Why 5	
Why 5			
Corrective Action Plan			
Corrective Action Required			
Responsible Party		Target Close Date	
Evidence Required for Closure			
Escalation Required?	☐ Dealer only ☐ Regional ☐ Programme level	Verified Closed?	☐ Pending ☐ Closed — date: _____

RCA Record #2 — Complete one record per recurring non-compliance			
Finding Reference		Audit Programme	
Non-Compliance Description			

Cycles Failed	Count: ____ cycles	Last Cycle Closed?	☐ Yes — self-reported ☐ Yes — evidence verified ☐ No
Affected Dealers / Regions		Dealer Count	☐ Single dealer ☐ Multiple dealers (same region) ☐ Cross-region
Root Cause Type	☐ Evidence Failure ☐ Process Gap ☐ Accountability Gap ☐ Ambiguous Criterion ☐ Systemic / Network-Wide		
Root Cause Analysis — 5 Whys			
Why 1	<i>Why did this non-compliance occur?</i>	Why 2	
Why 2		Why 3	
Why 3		Why 4	
Why 4		Why 5	
Why 5			
Corrective Action Plan			
Corrective Action Required			
Responsible Party		Target Close Date	
Evidence Required for Closure			
Escalation Required?	☐ Dealer only ☐ Regional ☐ Programme level	Verified Closed?	☐ Pending ☐ Closed — date: _____

RCA Record #3 — Complete one record per recurring non-compliance			
Finding Reference		Audit Programme	
Non-Compliance Description			
Cycles Failed	Count: ____ cycles	Last Cycle Closed?	☐ Yes — self-reported ☐ Yes — evidence verified ☐ No
Affected Dealers / Regions		Dealer Count	☐ Single dealer ☐ Multiple dealers (same region) ☐ Cross-region
Root Cause Type	☐ Evidence Failure ☐ Process Gap ☐ Accountability Gap ☐ Ambiguous Criterion ☐ Systemic / Network-Wide		
Root Cause Analysis — 5 Whys			
Why 1	<i>Why did this non-compliance occur?</i>	Why 2	
Why 2		Why 3	

Why 3		Why 4	
Why 4		Why 5	
Why 5			
Corrective Action Plan			
Corrective Action Required			
Responsible Party		Target Close Date	
Evidence Required for Closure			
Escalation Required?	☐ Dealer only ☐ Regional level	☐ Programme level	☐ Pending ☐ Closed — date: _____
Verified Closed?			

Network Summary — Recurring Findings

Transfer all recurring findings here after completing individual RCA records. Use this view to identify network-wide patterns and prioritise escalation.

Ref	Non-Compliance	Cycles	Root Cause Type	Dealers Affected	Status	Close Date
1						
2						
3						
4						
5						
6						
7						
8						

Pattern analysis

After completing the summary, answer the following to identify structural issues:

Question	Answer / Notes
Which single criterion is failing most frequently across the network?	
Which root cause type is most common in this cycle — and what does that indicate about your audit process?	
Are there any findings that require programme-level escalation rather than dealer-level action?	
Which region has the highest concentration of recurring findings?	