



Security.Improved

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**To: All NSI Gold Approved and Applicant Companies**

Dear Colleague

**CORRECTIVE ACTION RESPONSES – REQUIREMENT FOR ACCOMPANYING ‘ROOT CAUSE ANALYSIS’**

As you will be aware, when we carry out our certification audits, our established practice should we identify any significant nonconformity is to raise an *improvement need* or an *improvement observation* report and request your proposed corrective action response within 21 days. On receipt of your corrective response we consider if it is satisfactory; then, on the next visit, determine the actual effectiveness of the corrective action(s) you have taken.

The requirement to determine the cause(s) of nonconformities and take actions to avoid their reoccurrence has been a feature of all management system standards (BS EN ISO9001, BS EN ISO 14001, BS OHSAS 18001 etc) for some time. However a review of recent responses has indicated that many companies are not forwarding details of ‘root cause analysis’ to support their corrective action response.

As you will be aware, NSI is a UKAS accredited certification body. As such, we are audited by UKAS against the BS EN ISO/IEC 17021 standard. The 2011 edition of this standard (which is to be fully implemented by 31 January 2013) places a greater emphasis on all certification bodies to ensure their clients provide a ‘root cause analysis’ to support their corrective action response. The applicable standard clause 9.1.11 reads:

***“The certification body shall require the client to analyse the cause and describe the specific correction and corrective actions taken...”***

From 31 January 2013, NSI will no longer be able to accept corrective action responses unless they are accompanied by evidence of effective *root cause analysis*. The details of the cause analysis should be submitted at the same time as your corrective action. This will be emphasised by your auditor at each closing meeting. It is especially important to note that failure to submit root cause analysis will cause delays in certificate renewals should the improvement reports be raised during a recertification.

If you have any queries as to what is required, please discuss this with your NSI auditor at the closing meeting or speak with your operations coordinator here at the NSI offices.

I thank you all for your support in this matter.

Yours faithfully

Kay Aitkin  
Service Delivery Director

