

# PRACTICAL FACT SHEET

ASD - 0103/2

Standard	ISO 9001 : 2015	ISO 14001 :2015	ISO 45001 :2018	EN9100 :2018
§				3.9 – 4.2.2.5

## Issue raised:

**Question: What is the method to be applied when analyzing PEAR processes (Process Effectiveness Evaluation Report) in the framework of the third party audit EN 9100: 2018?**

## Answers e

EN 9101: 2018 requires the third party audit team to analyze the operation and maturity of the organization's processes. This analysis, to be carried out at least on the organization's implementation processes, must be formalized on the PEAR form created in the OASIS database, during the preparation of the audit report (9101 Form 3 Process Effectiveness Assessment Report). At the choice of the audit team or the organization, to integrate into the audit plan, other PEAR analysis(s) on other processes.

The CAP-DO® or PDCA methods are good practices for process audits and PEAR writing. These methods can be applied according to the level of knowledge of the company by the audit team.

PEAR ratings are on 5 levels. Levels 3 to 5 show a "compliant" state of the process.

<b>Process Realization (a)</b>	<b>Planned activities fully realized</b>	a) The process is determined, and planned activities fully realized; however, b) The process is not delivering the planned results and appropriate action is not being taken.  <b>2</b> <input type="checkbox"/>	a) The process is determined, and planned activities fully realized; however, b) The process is not delivering the planned results, but appropriate action is being taken.  <b>4</b> <input type="checkbox"/>	a) The process is determined, and planned activities fully realized; and b) The process is delivering the planned results.  <b>5</b> <input type="checkbox"/>
	<b>Planned activities not fully realized</b>	a) The process is determined, but planned activities not fully realized; and b) The process is not delivering the planned results and appropriate action is not being taken.  <b>2</b> <input type="checkbox"/>	a) The process is determined, but planned activities not fully realized; and b) The process is not delivering the planned results, but appropriate action is being taken.  <b>3</b> <input type="checkbox"/>	a) The process is determined, but planned activities not fully realized; however, b) The process is delivering the planned results.  <b>4</b> <input type="checkbox"/>

	<b>Planned activities not realized</b>	a) The process is not determined, and planned activities not realized; and b) The process is not delivering the planned results and appropriate action is not being taken.	a) The process is not determined, and planned activities not realized; and b) The process is not delivering the planned results, but appropriate action is being taken.	a) The process is not determined, and planned activities not realized; however, b) The process is delivering the planned results.
		1 <input type="checkbox"/>	2 <input type="checkbox"/>	2 <input type="checkbox"/>
		<b>Planned results not achieved and appropriate action is not taken</b>	<b>Planned results not achieved, but appropriate action is being taken</b>	<b>Planned results are achieved</b>
<b><u>Process Results (b)</u></b>				

To be taken into account when writing PEAR:

1. The PEAR analysis is not just a "recopy" of the elements of the organization's monitoring of its processes, but a factual, meaningful and formal view and assessment by the audit team of the functioning and effectiveness of the processes that are the subject of the PEAR analysis.
2. PEAR analyses must be mentioned in the audit plan.
3. 60% of the time must be devoted to the operational audit of the process and 40% to the PEAR (context and performance assessment).
4. For a better homogeneity, the audit team must define before the audit, the method that will be used. It may be included in the audit plan.
5. For reasons of confidentiality, result values may not be recorded in the PEAR records. To be defined with the audited organization. In this case, it will be noted by the AEA "objective achieved / not achieved", and the trends.
6. When objectives are not met, the AEA should mention the causes identified by the organization, and the associated action plans in Box 19 "Comments". The AEA may issue a negative opinion on the adequacy of the action plans proposed by the organization.
7. As many non-conformity sheets must be written as there are PEARs classified in level 1.
8. It is authorized, in some cases, to group several processes on the same PEAR form (case of multi sites, several sites, campus), as long as the process is common to the sites concerned. The information recorded must reflect the situation of each site mentioned. The level of efficiency selected must correspond to the lowest value observed for the sites evaluated.
9. Non-conformity sheets in relation to PEAR rated 1 must be written on § 4.4.1 ". The classification "1" leads to a Major non-conformity sheet.
10. In addition to the objective evidence analyzed during the process audit, the PEAR sheet must mention in box 20 "Summary of Audit Trails and Sources of Evidence":
  - Ability of the process to reach the set objectives (continuous improvement dynamics, adequacy of resources, identified risks and reduction plan, customer satisfaction elements, results of internal audits)
  - Conformity of operational practices (compliance with requirements for product realization, ability to control risks)

**Keyword(s):** Process, efficiency

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AFNOR Certification - Siège : 11, rue Francis de Pressensé - 93571 La Plaine Saint-Denis Cedex – France  
T. +33 (0)1 41 62 80 00 - F. +33 (0)1 49 17 90 00  
SAS au capital de 18 187 000 € - 479 076 002 RCS Bobigny