

## SEA Lean Enterprise System Certification Stage 1 Audit Instructions and Interview Schedule

### Purpose of Audit

The purpose of the audit is to determine if the organization has institutionalized the SEA Roadmap processes for each stage being audited. “Institutionalized” means a significant body of evidence exists that the Roadmap processes are “standard work”. Review the SEA Roadmap, Criteria, Process Maturity Checklist, and Definitions for reference.

To attain certification, SEA Roadmap processes must be at Process Maturity Level 3; and most monthly Business Results must be at Level 3. In these instructions, the words Auditor and Examiner are used interchangeably and mean the same thing.

### 1. Onsite Audit Schedule:

Day 1 -- Examiner arrives at 8 a.m. to prepare, conducts opening meeting with executive(s) in a meeting room with an LCD projector; tours facilities; and begins interviews according to pre-arranged schedule. Process Owner and Business Results contact interviews occur from 10:30 a.m. – 4:00 p.m. (provide a meeting room for interviews). Informal debriefing with executive(s) from 4:30 to 4:50 p.m.

Day 2 -- Process Owner Interviews 8:00 a.m. – 4:00 p.m. Examiner will request interviews with others in the company to verify deployment of processes and clarify business results. Informal debriefing with executive(s) occurs from 4:30 to 4:50 p.m.

Day 3 -- Examiner will request interviews with others in the company to verify deployment of processes and clarify business results. Examiner prepares Feedback Report and presents it to executive(s) from 2:00 – 3:30 p.m. A meeting room with an LCD projector is required. A company administrative contact is requested to produce handouts.

2. Company Background: Complete the Company Background questions in this document. **Send it with a current organization chart to the examiner to arrive at least 5 business days before the audit begins.**

### 3. Process Documentation Binder

Please prepare a 3-ring binder. **Send it to the above-named examiner to arrive at least 5 business days before the audit begins.** Include separate tabs labeled with each SEA Roadmap Process Number (e.g., 1.1.1, 1.1.2, etc.) Behind each tab, insert evidence and label documents as such for Process Maturity Level 1, Level 2, and Level 3.

**Please see the Process Maturity Checklist for specifics on what kinds of documents to submit for each level – download from the SEA Certification page on our website.**

4. List of Process Owners and Master Trainers: Use the Process & Owner List on the following pages to list names of process owners and master trainers for the Stage One Processes and Managed Processes in your Value Streams. **Send it to the above-named examiner to arrive at least 5 business days before the audit begins.**

5. Interview Schedule: Use the Process Owner Interview Schedule on the last page of this document to schedule interviews with individual process owners. The order of interviews does not matter; it need not follow the order of processes listed on the SEA Roadmap. Write or type the process owner’s name and the process to be discussed in each time slot. Interviews will occur at 20 minute intervals and will be 15 minutes in duration. **Send it to the examiner to arrive at least 5 business days before the audit begins.**

Time slots for interviews on Days 1 and 2 appear on the last page of this document. Process Owners must be on time and be prepared to discuss their process maturity evidence (documents) supporting each level of Process Maturity (e.g., level 1, 2, 3, 4, or 5.) **The examiner will not spend time educating process owners or waiting for them to retrieve documents.**

**Process Owner Interview Questions** (Please share these questions and the purpose of the certification audit with every process owner so they know what to expect.)

- How long have you been a process owner? How and when were you trained for your role?
- At what level of maturity is your process now – 0, 1, 2, 3, 4, or 5?
- Name the job titles and people that participate in or follow any steps in the process.
- Refer to documents in the Process Documentation Binder that demonstrate your process is at PMM Level 1 – process definition, and describe how the requirements in the SEA Roadmap Criteria for your process are met.
- Refer to documents in the Process Documentation Binder that demonstrate your process is at PMM Level 2 -- work instructions used to train people, and visual aids or job checklists that are used, if any. Describe how these are used and where they are located for employee access.
- Refer to documents in the Process Documentation Binder that demonstrate your process is at PMM Level 3 – certification training and standardization, including training outline, recent and/or planned training schedule, training records of people recently trained or certified; and evidence that the process is standardized (PMM Level 3). Describe how you (process owner) worked with the master trainer to develop and deliver training. Describe how long the process has been standard.

#### 6. Additional Interviewees:

The examiner will ask to interview selected individuals to verify deployment of Roadmap Processes. Interviewees may include Leadership Team Members, other Managers, Master Trainers, Owners of “Managed Processes” in your Value Streams, or other employees. (“Managed Processes” in the SEA Definitions, are those to which you have assigned process owners.)

**7. Business Results Metrics – Send this information to the examiner to arrive at least 5 business days before the audit begins.** Your monthly Business Results measurements for the last 15 months. The earliest 3 months will be used as the “baseline”. You may use your own formulas or the following calculations. We suggest you remain consistent with your prior quarterly reporting calculations and submissions.

#### On-Time Delivery

Number of on-time delivery instances divided by total deliveries expressed as a %.

#### Inventory Turns

Annual Cost of Goods Sold (12 month rolling average) divided by  
Period-average inventory (average for the most recent month)  
Inventory includes raw, WIP, and finished goods.

#### Sales per Employee

Sales revenue for each month divided by total number of employees at the end of the month (direct and indirect) expressed in dollars.

#### Parts Per Million (PPM) or Defects Per Million Opportunities (DPMO)

Suppliers may currently choose between the two - PPM refers to the number of defective parts divided by the total number of parts produced in a period normalized to 1,000,000 parts. For DPMO, count all possible defects on all products completed (e.g.,

late or missing data, wrong size, dent, etc.). Then calculate: Number defects found at end of production / number of defect opportunities x 1,000,000. Both PPM and DPMO are expressed as a number.

Processes at Level 3 or above

Count the absolute number of processes at Level 3 or higher in process maturity, including processes on the SEA Roadmap and other processes that you have designated Managed Processes<sup>1</sup>.

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Summary of documents to send the Examiner to arrive at least 5 business days before the audit begins (you can send them separately or as a package):

1. Organization Chart
2. Last 15 months' business results as listed on the SEA Roadmap.
3. Pages 4 - 9 of this document:
  - Company Background
  - Process List with Owner and Master Trainer Names (include SEA Roadmap Processes and Managed Processes in your Value Streams)
  - Interview Schedule filled in with process owner names for all Roadmap Processes
4. Process Documentation Binder
  - You may include the above items 1-3 as tabs in the binder if you like.

If not already done, please review the Certification documents at this website:

<http://www.seaonline.org/Training/Certification.htm>.

If you have any questions about the audit process or information requested, please contact the examiner immediately. Thank you, and we look forward to an effective on-site audit.

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<sup>1</sup> See the SEA Definitions at <http://www.seaonline.org/docs/SEADefinitions.pdf>

## **Company Background**

*You may refer the examiner to web pages if the information exists there.*

1. Describe the company's mission or purpose
2. Types of customers and/or markets
3. Describe the products and services your company provides to customers
4. How many people are employed
5. Location of facilities in which the business seeking SEA Certification operates
6. Other pertinent information that will help the examiner to understand your context.

Please provide an organization chart.

### Process and Owner List

Process Group	Stage One – Stabilization		Stage Two – Supply Chain Integration <i>ONLY if you are applying for certification at this stage</i>		Stage Three – Sustainability <i>ONLY if you are applying for certification at this stage</i>	
	Processes & Maturity Levels	Process Owner Name Master Trainer Name	Processes	Process Owner Name Master Trainer Name	Processes	Process Owner Name Master Trainer Name
<b>Leadership &amp; Culture</b>	1.1.1 Strategic Planning Process PMM Level ____		1.2.1 Goals Deployment & Review Process		1.3.1 Organizational Learning Process	
	1.1.2 Leadership Communication Process PMM Level ____		1.2.2 Values Deployment Process		1.3.2 Organizational Assessment Process	
	1.1.3 Organizational Performance Review Process PMM Level ____		1.2.3 Supply Chain Integration Process			
	1.1.4 Continuous Improvement Management Process PMM Level ____					
	1.1.5 Workforce Development Integration Process PMM Level ____					
<b>Workforce Development</b>	2.1.1 Job Skills & Cross-Training Certification Process PMM Level ____		2.2.1 Continuous Improvement Process		2.3.1 Team Control Process	
			2.2.2 Statistical Methods Process			

	<b>Stage One - Stabilization</b>		<b>Stage Two – Supply Chain Integration</b> <i>ONLY if you are applying for certification at this stage</i>		<b>Stage Three – Sustainability</b> <i>ONLY if you are applying for certification at this stage</i>	
<b>Operational Excellence</b>	3.1.1 Kaizen Process PMM Level ____		3.2.1 Flow-Based Material Process		3.3.1 Design of Experiments Process	
	3.1.2 6S Visual Workplace Process PMM Level ____		3.2.2 Mixed Model Cell/Line Design Process		3.3.2 Design to Cost Process	
	3.1.3 Quick Changeover/SMED Process PMM Level ____		3.2.3 Lean Suggestion Process		3.3.3 Six Sigma Projects Process	
	3.1.4 Material Management Process PMM Level ____		3.2.4 Total Productive Maintenance Process		3.3.4 Six Sigma Design Process	
	3.1.5 Production Planning Process PMM Level ____				3.3.5 Design for Manufacturability Process	
<b>Business Results</b>	4.1.1 Inventory Turns 4.1.2 Sales/Employee 4.1.3 On-Time Delivery 4.1.4 Parts per Million 4.1.5 Process Maturity 3 and above	CONTACT PERSON FOR RESULTS:	4.2.1 Defects Per Million Opportunities	CONTACT PERSON FOR RESULTS:	4.3.1 Rolled Yield 4.3.2 Cpk	CONTACT PERSON FOR RESULTS:

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## Process Owner Interview Schedule

<b>Activity and Interview Schedule</b>		
<b>Day One:</b>		
8:00 – 8:30 a.m.	Examiner arrives and prepares for activities	
8:30 – 8:50 a.m.	Opening Meeting With Executive(s)	
8:50 – 9:30 a.m.	Facility Tour	
9:30 – 10:30 a.m.	Examiner Preparation For Interviews	
<b><u>Process Owner Interview Schedule</u></b> <i>Interviewees should plan for 15 minutes</i>	<b><u>Process Owner Name</u></b>	<b><u>Process Owned</u></b> <b>(Use SEA Roadmap process numbers and titles from prior pages)</b>
10:30 – 10:50 a.m.		
10:50 – 11:10 a.m.		
11:10 – 11:30 a.m.		
11:30 – 11:50 a.m.		
Lunch Break		
1:00 – 1:20 p.m.		
1:20 – 1:40 p.m.		
1:40 – 2:00 p.m.		
2:00 – 2:20 p.m.		
Break		
2:40 – 3:00 p.m.		
3:00 – 3:20 p.m.		
3:20 – 3:40 p.m.		
3:40 – 4:00 p.m.		
4:00 – 4:20 p.m.	Interview with contact person for Business Results	
4:30 – 4:50 p.m.	Informal Debriefing with Executive and others s/he invites	
End of Day One		
<b>Day Two:</b>		
8:00 – 8:20 a.m.		
8:20 – 8:40 a.m.		
8:40 – 9:00 a.m.		
9:00 – 9:20 a.m.		
Break		
9:40 – 10:00 a.m.		
10:00 – 10:20 a.m.		
10:20 – 10:40 a.m.		
10:40 – 11:00 a.m.		
Lunch Break		
12:20 – 12:40 p.m.		
12:40 – 1:00 p.m.		
1:00 – 1:20 p.m.		
1:20 – 1:40 p.m.		
Break		
2:00 – 2:20 p.m.		
2:20 – 2:40 p.m.		
Open – to be scheduled		
4:30 – 4:50 p.m.	Informal Debriefing with Executive and others s/he invites	

**Day 3 and open interview slots on Days 1 & 2:** Examiner will request to interview selected individuals (leaders, managers, managed process owners, trainers, and others) and develop the Certification Feedback report. On Day 3 from 2:00 – 3:30 p.m., the examiner will present the Feedback Report to the Leadership Team.