Providing Effective Efficient Government

LEAN FACILITATOR MANUAL
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Facilitating Change

SIX SOURCES OF INFLUENCE

• Make the undesirable desirable.
• Harness peer pressure.
• Design rewards and demand accountability.
• Over invest in skill building.
• Find strength in numbers.
• Change the environment.

Communicate the vision and create urgency, provide encouragement, use best practices and schedule training.

ADDRESS BEHAVIORS THAT BLOCK CHANGE

• Meet with individuals before the group
• Ask at the first meeting what everyone thinks about change – get it out in the open.
• Express the expectation that things are a work in progress and there are no perfect plans.
• Conscious Prevention – identify and address potential issues; create and implement prevention strategies.
• Early detection – watch for signs (emotions, sarcasm, rolling eyes, defensiveness, etc.) and plan for diverse communication styles (fast pace vs. slower processor vs. detail oriented or task driven).
• Clean resolution – approach individual privately or generally, empathize with the situation, agree on a solution.

Use the “Triple A” (Acknowledge, Ask, Affirm) method to encourage dialog, free flow of thoughts and ideas.
Facilitator Checklist

Date: ____________________________________  Project Owner: __________________________

Project: __________________________________  Project Sponsor: _________________________

PRE-PLANNING (6-8 weeks before Kaizen)
- ☐ Meet with Project Owner.
- ☐ Schedule meeting room.
- ☐ Send reminder.
- ☐ Collect materials/toolkit.
- ☐ Prepare handouts.
- ☐ Schedule recommendations review meeting and invite participants.

TEAM MEETING/KAIZEN
- ☐ Check meeting setup.
- ☐ Welcome team members.
- ☐ Facilitate team meeting.
- ☐ Facilitate current and future state mapping.
- ☐ Take team photo.
- ☐ Do member check-in at end of session.
- ☐ Communicate progress to Project Owner.

RECOMMENDATIONS REVIEW
- ☐ Help team prepare presentation.
- ☐ Make modifications if needed.
- ☐ Schedule feedback modification meeting (1 week later) as needed.

IMPLEMENTATION PLANNING
- ☐ Facilitate implementation strategy with Project Owner.

IMPLEMENTATION
- ☐ Schedule final results presentation.
- ☐ Submit project management worksheet to Lean Facilitator.
- ☐ Submit team photo to Lean Facilitator.
- ☐ Assessment survey.

OUTCOME REVIEW
- ☐ Assess success using performance measures.

CELEBRATE
- ☐ Debrief.

TEAM MEMBERS:

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Updated: 03/2011
Steps to Facilitate a Lean Project

PLANNING:

Project Owner and Project Sponsor meet:
- Define parameters.
- Discuss expectations.
- Evaluate and communicate funding with Administration as necessary.

Facilitator and Project Owner meet:
- Develop Project Charter (see form).
- Develop Project Scope statement.
- Gain understanding of current state (value stream map as needed).
- Identify critical metrics and any need for additional data collection.
- Identify team members.
  - Discuss team dynamics.
  - Determine appropriate action (i.e. 1:1 coaching, etc.).
  - Discuss work coverage and how to address team meeting interruptions.
- Select meeting dates (6-8 weeks out).
- Schedule a time for Recommendations Review (2 weeks after completion of Kaizen).

Project Owner:
- Invite and confirm team member participation.
- Notify experts of the need for their participation.
- Send Project Charter to team.

Facilitator:
- Schedule meeting room.
- Determine room set-up.
- Identify wall space for maps.
- Secure flipcharts.
- Secure needed AV equipment.
- Arrangement food /snacks (as appropriate).
- Send reminder to team members 2-3 days prior to event.
  - Location.
  - Time.
  - Availability of food / beverage.
  - Appropriate attire.

MEETING PREPARATION:

Facilitator:
- Collect materials/Facilitator Kit
  - Flipchart (for maps/parking lots).
  - Various colored sticky notes.
- Markers.
- Masking tape.
- Pencils/pens.
- Camera.

- Prepare handouts:
  - Project Charter.
  - Ground Rules.
  - Overview of Lean.
  - Symptoms of non-value.
  - Metrics.
  - Project management worksheet.

**KAIZEN EVENT:**

- Arrive early to check setup.
- Welcome and team member introductions.
- Following welcome and introductions, excuse Project Sponsor and Project Owner.
- Review:
  - Ground rules (cell phones off/breaks/etc.).
  - Agenda.
- Overview of Lean.
- Review Project Charter.
- Establish flipchart for “Parking Lot” for out of scope ideas.
- Establish notepad for “Solutions” during current state mapping.
- Discuss “Scope Statement” to insure understanding and terminology.
- Facilitate Current State Mapping:
  - Identify the customer and place in the upper right hand corner.
  - Identify the start of the value stream and place the supplier of information or service in upper left hand corner.
  - Draw the major steps (ask questions).
    - Where does the information come from?
    - What types of interruptions occur while working on the activity?
    - What type of information/data is occasionally (more than 15%) incorrect or missing?
    - Where does the information go from here?
  - 80/20 Rule: 80% of problems created by 20% of causes. Focus on top causes to eliminate majority of problems.
- Review existing data (when applicable).
  - Data Collection Check Sheet:
    - Same person can collect data repeatedly.
    - Determining frequency or patterns of event, issues, etc.
  - Pareto Chart:
    - Summarizing data about frequency of causes for an issue in a process.
  - Satisfaction Survey:
    - Assessing customer/client, staff, and administration satisfaction.
  - Cause & Effect Diagram:
    - Identifying possible causes for an issue.
- Team’s thinking tends to be random.
  - External requirements:
    - Statutes/rules/etc.
  - Ask 5 Why’s.
    - Team needs to probe for root cause of issue.
    - Issues involve human factors or interactions.
    - Many contributing causes are confusing.
  - Select metrics for the data boxes-objective and clearly defined.
  - Add the communication/information flow.
    - Manual information flow:
    - Electronic information flow:
  - See additional symbol examples in Symbol Appendix (page 25).
  - Review the value stream map and add lightning burst(s) if applicable.
  - Identify metrics that will be used to measure success.
  - Reflect and challenge status quo.
  - Discussion questions.
    - What is really needed by the customer?
    - What can be done differently or not at all?
    - What steps are necessary?
    - Which steps create value and which are symptoms of non-value?
    - Is the order of steps creating symptoms of non-value?
    - How do you control work between interruptions?
    - How do you balance the workload and/or different activities?
    - What assumptions underlie the current process?
    - How do existing policies, procedures, and regulations align with the improvements?
    - What causes delays? What can you do to minimize delays?
    - How can you reorganize to keep work in the hands of one person (think flow – not silos)?
  - Communicate progress to Project Owner.
- Facilitate Future State Mapping:
  - Identify the customer and place in the upper right hand corner.
  - Place the supplier of information or service in upper left hand corner.
  - Create future value stream.
    - Ask customer to define value.
    - Review current innovations/Best Practices.
  - Take photo(s) of team and maps.
- Facilitate Recommendations Review:
  - Create Project Value Analysis (see form on page 22).
  - Help team prepare presentation to include:
    - Project Scope.
    - Project Team.
    - Compelling reason for changes.
    - Current condition.
    - Recommendations.
    - Project value analysis.
  - Team presents (session scheduled by Project Owner/Facilitator).
• Team meeting held after presentation.
  ▪ Modify recommendations based on feedback.

• Lightning bursts.
  o Create Project Management Worksheet (see form on pages 20-21).
  o Identify individuals responsible for the task and assign target due date (w/project owner).
    ▪ Complete the current design.
    ▪ Complete the future design.

• Implementation planning.
  o Facilitate strategy with Project Owner.
    ▪ Prepare Project Management Worksheet (see form on pages 20-21).
    ▪ Review recommendations. Do we have the people to carry out the recommendations, can Information Technology fit into schedule, cost factors, etc.
    ▪ Determine who needs to be involved.
    ▪ Discuss communication strategy.
    ▪ Visual controls.

• Implementation.
  o Project Owner-facilitates implementation of recommendations:
    ▪ Outline tasks w/implementation team.
    ▪ Determine sequence of tasks.
    ▪ Assign responsibility and target date.
    ▪ Discuss communication strategy.
    ▪ Schedule follow-up sessions.
    ▪ Document improvement.
  o Project Owner and Facilitator:
    ▪ Schedule project team meeting for follow-up.
      o How is implementation going?
    ▪ Update Project Value Analysis worksheet (see form on page 23).
    ▪ Schedule and present final results and learning to Project Sponsor and key individuals.
      o Results presentation to include:
        • Team presentation.
        • Value analysis.
        • Lessons learned.
        • Additional parking lot items for consideration.
  o Submit Project Management Worksheet and team photo to Lean Coordinator.
  o Provide feedback of outcome of LEAN project to Lean Coordinator.
  o CELEBRATE!!
The purpose of this contract is to help you and the Lean team achieve successful event outcomes. Critical behaviors to help ensure success include:

- **Passionate**—Enthusiastic support of the team to ensure team success.
- **Strategic**—Using the event activity to advance a business objective by improving the performance of the targeted process while being aware of the impact to the total system.
- **Committed**—Engaged from pre-event planning through sustainment.
- **Risk Taking**—Encourage creative thinking to drive paradigm-breaking results.
- **Open Minded**—Influence the team to develop the best solution without introducing pre-conceived ideas.

*It is the responsibility of the Project Owner to ensure clarity regarding the coverage of event expenses including experts coming in from other locations. It is suggested that the Project Owner review with the Facilitator, as well as the Lean Coordinator, early in the planning stages of the event activity.*

I support this event and understand the critical role that I play within the event process. As a Project Owner, I will follow the event-planning checklist to ensure my role to support the overall success of the team.

Date: ____________________________

Project Name: ____________________________

Project Sponsor Name: ____________________________

Signature: ____________________________

Project Owner Name: ____________________________

Signature: ____________________________

Facilitator Name: ____________________________

Signature: ____________________________

*The Lean Coordinator is to retain the signed contract.*
Sample Lean Facilitator and Project Owner Meeting Agenda

Date: ___________________________ Time: ___________________________

Location: ____________________________________________________________

I. Understand critical issues
   - What is the purpose of this event?
   - Why is it taking place?
   - What is the desired outcome?
   - What are the boundaries of the activity?

II. Understand and discuss high-level process steps

III. Develop scope statement

IV. Define goals and objectives for the event

V. Discuss possible metrics to be used

VI. Identify pre-work for event: what, who to complete, etc.

VII. Which resources must/can be utilized?
Lean Project Charter

Project Name: ____________________________________________

Event Date: ____________________________________________

PROJECT SCOPE
(What will the team do? What value stream will be mapped? What are the beginning and end points?)
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________

OBJECTIVES
(A narrower version of the scope of the improvement event.)
____________________________________________________________________________________
____________________________________________________________________________________

PROJECT OWNER: ____________________________________________

PROJECT TEAM (5-7 people/event)
Facilitator ____________________________________________
Experts ____________________________________________
Members ____________________________________________
____________________________________________________________________________________

Over →
PRE-WORK (See Pre-Event Data Collection Guide)

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

(Name person responsible and approximate lead time)

1. ____________________________  ____________________________

2. ____________________________  ____________________________

TIMEFRAME: ____________________________

____________________________________________________________________________________

IMPLEMENTATION TIMEFRAME: ____________________________

____________________________________________________________________________________
Lean Project Pre-event Data Collection Guide

Pre-event Data Collection Steps

1. Initial map of the current process developed by the area that is going through the kaizen event.
2. Determine from the map steps that can and cannot be changed, i.e., identify those steps that are mandatory by rule.
3. Outline what items are currently tracked for time.
4. For those items currently tracked for time, determine longest item, quickest item and an average of the items. Do not try to gather data here that you do not already know.
5. Have the staff write down what they do for a week. This includes the projects, as well as meetings, site visits, telephone calls, regular meetings, etc.

The “Voice of the Customer” Data Considerations

Some questions to ask as part of the "voice of the customer" are the following:

1. What do they want?
2. When do they want it?
3. Why do they want it?
4. How do they use the product and how much of it do they use?

These questions will ultimately help in determining the "value-added" steps in the process, as well as provide potential design criteria for the final "product." The best approach would be to ask our customers (select a few), or at least think through these questions from their perspective. If the process has different customer segments, the questions could be asked for each one. As above, this information would be useful for goal setting purposes.

Benchmarking would also be helpful in establishing goals for the event. Additionally, it could equip the team with example strategies for achieving the goals for the event.

OTHER POTENTIAL BASELINE METRICS INCLUDE:

- Number of process steps
- Total lead time
- Data on staffing needs
- Data on staff time
- Cycle time
- Data on transaction volume in process (e.g., number of applications)
- Number of handoffs
- Amount of backlog
- Rework percentage (e.g., percent of permits needing rework)
Lean Project Preparation Checklist

PLANNING

- Scope of event.
- High level process steps.
- Data available (time, quantity, frequency).
- Budget (cost center).
- Potential internal and external team members.
- Identify support staff (refer to support staff role).
- Schedule event and report-out presentation, reserve rooms.
- Send invitation/email to team members about event date, time, and location.
- Develop scope, goals, and objectives for event.
- Identify pre-work.
- Finalize team member selection.

BEFORE EVENT

- Order meals, snacks and drinks.
- Pick up Lean toolkits from Personnel Dept.
- Gather Lean training manuals for electronic or hard copy distribution.
- Prepare folders and nametags (include training manual, agenda, scope, goals, and objective).
- Arrange a site visit for the Lean team to talk with the workers and see the process in action during the project.

EVENT

- Setup room and layout folders and nametags.
- Setup 2 easel stands and pads, provide easel markers.
- Event supplies available in the room.
- Take team picture.
- Communicate with other staff via website or email on progress of team.

AFTER EVENT

- Email team member report-out presentation and other relevant files to event participants.
- Present report of findings and action plan to Project Owner and applicable department.
- Send thank-you letters to team members.
- Setup 30-day follow-up date, time, and location; future follow-ups if necessary.
- Develop communication plan (e.g. update website with event results).
Sample Kaizen Event Agenda

Project Name: ________________________________________________________________

Facilitator: ____________________________________________________________________

Kaizen Event Date: _______________ Location: ______________________________________

Day 1: Welcome and introductions: Facilitator, team members, and applicable experts and/or guests.
Logistics (parking, building access, cell phones, rest rooms, meals) and ground rules
Lean overview.
Review the project scope, goals and objectives including opportunities for removal of non-value.
Discuss pre-event data collected.
Visit site for walk through of process, if necessary.
Adjourn for the day.

Day 2: Welcome and overview.
Start mapping current state (identify functions, steps).
Working lunch.
Assign additional kaizen events as needed.
Adjourn for the day.

Day 3: Welcome and overview.
Start mapping future state.
Identify value-added activities and delays on future state map.
Working lunch.
Create implementation plan.
Document changes and complete the new process. Review all work to ensure everything is complete.
Adjourn for the day.

Day 4: Welcome and overview.
Finish work on presentation.
Team presentation.
Adjourn event. Thank you!

Updated: 03/2011
Team Ground Rules

(Additional items can be added by each group)

- Appreciate, value, and respect differences.
- Maintain confidentiality.
- No rank in the room.
- Everyone participates; no one dominates.
- Help us stay on track – no going back.
- One speaker at a time, do not interrupt (no sidebars).
- Be an active and objective listener.
- Give freely of your experience.
- Keep an open mind.
- Be on time.
- Cell phones must be off.
- Have fun!!!
# Performance Measures

<table>
<thead>
<tr>
<th>Performance Measure</th>
<th>Description</th>
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<tbody>
<tr>
<td>Satisfaction</td>
<td>A measure of how well outcomes or services meet the customers' expectation.</td>
</tr>
<tr>
<td>Wait Time</td>
<td>A measure of how much time is spent waiting for information, outcomes, or services.</td>
</tr>
<tr>
<td>Number of Steps</td>
<td>The number of steps or activities in a value stream.</td>
</tr>
<tr>
<td>Cost and/or Cost Savings</td>
<td>A measure of how much the outcome or service costs.</td>
</tr>
<tr>
<td>Value Creating Time</td>
<td>A measure of how much time is spent working to complete the activity that is vital to the finished service or outcome.</td>
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<tr>
<td>Relocation of Employees</td>
<td>A measure of how employees are moved around within the organization.</td>
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<tr>
<td>Image of the County</td>
<td>A measure of how individuals perceive Winona County as an organization.</td>
</tr>
<tr>
<td>Total Expenditures</td>
<td>A measure of how the expenditures compare to historical data.</td>
</tr>
<tr>
<td>Cross-departmental Working Relationships</td>
<td>A measure of how well the individuals work across departments.</td>
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</table>

*Based on performance measures, each LEAN project will be assessed for success.*
Value Stream Mapping

DESCRIPTION:

A Value Stream map is a graphical representation of the specific actions needed to complete service or achieve a learning outcome. Organizations benefit from the graphic visual display of the whole value stream while employees gain a systems perspective. The systems perspective allows them to see how all the parts of a process fit together and their interdependencies.

WHEN TO USE:

- When working to improve a process or processes.
- When it is important to understand:
  - All the parts of the process.
  - See how they fit together.
  - Learn about their interdependencies.

PROCEDURE:

1. Identify the customer and place the icon in the upper right hand corner.
2. Identify the start of the value stream and place the source of the information in the upper left hand corner.
3. Draw the major steps.
4. Select performance measures for the data boxes.
5. Add the communication/information flow.
6. Review Value Stream Map and add lightning bursts.
7. Identify performance measures that will be used to measure success.
Example of Value Stream Map

High Level Data Sharing Between Offices
(Auditor-Treasure, Recorder, Assessor, and Planning)

Survey of Land
(banks, title co., attorneys, external surveyors)

Recording and Parcel ID

Recording

Parcel ID
(A-T)

Creation of Parcel-Mapping
(P)

Assessed Value
(A)

Tax System Entry
(A-T)

Creation of Tax Statement
(A-T)

Internal and External Customers

Assessed Value,
Tax System,
Tax Statement

Review incoming flow of information

Updated: 03/2011  Page 19
## Lean Project Management Worksheet

<table>
<thead>
<tr>
<th>Lean Project:</th>
<th>Date:</th>
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### Project Scope:

### Project Sponsor:

### Project Owner:

### Project Team:

### Value Stream

<table>
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<tr>
<th>Current Design:</th>
<th>Future Design:</th>
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<table>
<thead>
<tr>
<th>Lightning Burst #1</th>
<th>Target Dates:</th>
<th>Responsibility:</th>
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<tbody>
<tr>
<td>Task:</td>
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<td>Task:</td>
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<tr>
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<th>Target Dates:</th>
<th>Responsibility:</th>
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<td>Task:</td>
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### Out-of-Scope Items

*Updated: 03/2011*
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<th>Lightning Burst #3</th>
<th>Target Dates:</th>
<th>Responsibility:</th>
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<td>Task:</td>
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<th>Lightning Burst #4</th>
<th>Target Dates:</th>
<th>Responsibility:</th>
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<td>Task:</td>
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Additional Notes: ____________________________________________________________________________
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# Project Value Analysis

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<tr>
<th>BENEFITS</th>
<th>Before Implementation</th>
<th>After Implementation</th>
<th>Value</th>
</tr>
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<tbody>
<tr>
<td><strong>Direct Value (quantitative)</strong></td>
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<tr>
<td>Reallocated FTEs</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
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<tr>
<td>Estimated Reallocated Dollar Resources</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td>Satisfaction Level Mean (1=very dissatisfied ... 5=very satisfied)</td>
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<tr>
<td><strong>Indirect Value (qualitative)</strong></td>
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<td></td>
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<tr>
<td>Image</td>
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<tr>
<td>Expansion Opportunity</td>
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<tr>
<td>Unknown Avoided Cost</td>
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<tr>
<td>Enhance Leadership Capacity and Innovation</td>
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## INVESTMENT

<table>
<thead>
<tr>
<th>INVESTMENT</th>
<th>Hours</th>
<th>One-Time Investment</th>
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<tbody>
<tr>
<td>One-time Investment (programming – pending)</td>
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<td></td>
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<tr>
<td>Team Investment (meeting time – completed)</td>
<td></td>
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<tr>
<td>Cumulative Investment</td>
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</tbody>
</table>

## NET VALUE (based on Reallocated Dollar Resources Only)

<table>
<thead>
<tr>
<th>Investment</th>
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</thead>
<tbody>
<tr>
<td>County Value (1st year)</td>
<td></td>
<td></td>
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<tr>
<td>County Value (5th year)</td>
<td></td>
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</table>

Updated: 03/2011
You have just completed an event to improve one of our processes. We are interested in your opinion on how things went during the event. We are continuously trying to improve the effectiveness of the events. Below is a list of questions that will help us improve future events. Please be open and honest with your ratings and comments. Thank you.

On a scale of 1 to 5 please rate the statements below:

<table>
<thead>
<tr>
<th>Rating</th>
<th>Statements</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – Strongly Disagree</td>
<td>I was given at least 2 weeks’ notice prior to the event.</td>
</tr>
<tr>
<td>2 – Disagree</td>
<td>The training on Day 1 was effective and prepared me for the event.</td>
</tr>
<tr>
<td>3 – Neutral</td>
<td>The Facilitator was effective in teaching and guiding the team through the event.</td>
</tr>
<tr>
<td>4 – Agree</td>
<td>The Facilitator listened to my ideas and suggestions.</td>
</tr>
<tr>
<td>5 – Strongly Agree</td>
<td>The Facilitator was effective and helpful throughout the event.</td>
</tr>
<tr>
<td></td>
<td>When my ideas or suggestions were not used, the reasons were explained to me.</td>
</tr>
<tr>
<td></td>
<td>Management support and direction was adequate.</td>
</tr>
<tr>
<td></td>
<td>The time spent was productive.</td>
</tr>
<tr>
<td></td>
<td>I have increased my understanding of the value of continuous improvement.</td>
</tr>
<tr>
<td></td>
<td>The material provided was useful.</td>
</tr>
<tr>
<td></td>
<td>The food and beverages provided were adequate (when applicable).</td>
</tr>
</tbody>
</table>

What did you find most useful during the event? _____________________________________________________________

__________________________________________________________________________________________________________

What suggestions or comments do you have that could help us improve future events? ____________________________

__________________________________________________________________________________________________________
# Lean Project Follow-up Action Tracking Form

**Project Name:**

_________________________________________________________________________

**As of:** ___________________________  **Project Owner:** ___________________________

<table>
<thead>
<tr>
<th>Item</th>
<th>Item Description</th>
<th>Person Responsible</th>
<th>Due Date</th>
<th>Revised/Completed Date</th>
<th>Expected Results</th>
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**Notes:**

_______________________________________________________________________________

____________________________________________________________________________________

**Parking Lot Issues:**

_______________________________________________________________________________

____________________________________________________________________________________

Updated: 03/2011
Symbols Appendix

<table>
<thead>
<tr>
<th>Basic Shapes</th>
<th>Basic Flowchart Shapes</th>
<th>Work Flow Diagram Shapes</th>
<th>System Diagrams</th>
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<td>Monitor</td>
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<td>Document</td>
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<td>Hexagon</td>
<td>Data</td>
<td>Bank</td>
<td>Printer</td>
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<td>Predefined process</td>
<td>Board of directors</td>
<td>Input</td>
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<td>Tower box</td>
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<td>Star 5</td>
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<td>Customer service</td>
<td>Document/file</td>
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<td>Card</td>
<td>Internatio...</td>
<td>Subsystem (OSD)</td>
</tr>
<tr>
<td>Right triangle</td>
<td>Manual operation</td>
<td>division</td>
<td>Object</td>
</tr>
<tr>
<td>Center drag circle</td>
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<td>Internatio...</td>
<td>Folder</td>
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<td>3-D box</td>
<td>Terminator</td>
<td>Internatio...</td>
<td>Open folder</td>
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<tr>
<td>Rounded box</td>
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<td>Internatio...</td>
<td>Subsystem</td>
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<td>Off-page reference</td>
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<td>Receiving</td>
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<td>Windows MB icons</td>
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Updated: 03/2011
Kaizen Event Supplies List

Note: These items will be coordinated into Lean Toolkits.

<table>
<thead>
<tr>
<th>Description</th>
<th>Qty</th>
<th>Estimated List Price</th>
<th>Estimated Total Cost</th>
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<td></td>
<td></td>
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<tr>
<td>Easels</td>
<td>2</td>
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<td>Easel Pads</td>
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<td>$22.20</td>
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<tr>
<td>Sticky Notes (pastel color) 3”X5”</td>
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<tr>
<td>Ballpoint pens (Black or Blue)</td>
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<td></td>
<td></td>
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<tr>
<td>Permanent Markers (Black)</td>
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<tr>
<td>Adhesive Name Tags</td>
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**GRAND TOTAL**
Facilitator Tips

**UNDERSTAND CHANGE**

Indicators of resistance:

- We’ve always done it this way!
- It is working just fine!
- We don’t need to change!
- We tried that before!
- This too will pass!
- Flavor of the day!
- I’ll just wait and see what happens!
- It’s not in my contract!
- I hate change!
- I don’t have time!
- It will take too long!

**WHAT ARE CAUSES OF RESISTANCE?**

Fear of:

- Losing job.
- Changing culture.
- Losing control.
- Increased work load.
- Different and new responsibilities.
- Being incapable.
Facilitating Common Roadblocks to Change

**Behavior: Afraid to change – “I’m stuck!”**

**Description:**
- “I’ve/we’ve always done it this way.”
- “It works just fine the way it is.”
- Generates an unreasonable multitude of “what if” circumstances.
- Identifies and focuses on all the exceptions.

**Approaches:**
- These individuals value tradition. They fear that if the process is changed, the work they have done in the past becomes meaningless.
- Listen to concerns and validate the work they have done. Value the tradition. Empathize but do not back down.
  “Jim, the work that you have done in this area has served the public so well. You have contributed so much to the success of this organization. Now we can build on the success that you have created for so many years.”
- These individuals are sometimes perfectionists and are so familiar and comfortable with the adaptations they have created; they fear the new way will not allow them to complete their work with the degree of perfection they desire. Encourage testing of new approaches and explain that there will be opportunities to adjust.
- Ask clarifying questions:
  “How much time do you spend doing this?”
  “Are there other things you would like to accomplish that you currently do not have time for?”
  “If we can find a way that is more efficient and we give you the training you need, would you be willing to try?”
- Use data to justify and address concerns of accuracy/inaccuracy.
- Ask for a “trial period” to test the new process.
- Affirm that they can learn the new tools.
- Work with the Project Sponsor to suggest removal of “old” system at an agreed upon date.

**Behavior: Amnesia.**

**Description:**
- Forgets assigned responsibilities.
- Doesn’t follow through.
- Primarily surfaces during implementation phase. Individual participates in meetings and commits to specific action items but does not follow through. Arrives at following meeting with no information, and no recall of what they committed to.
- Causes group to stall, restate outcomes of previous meeting and the group spins with diminished accomplishments.

**Approaches:**
- Check in with individual prior to the meeting to remind them of their commitment and see if they need any assistance. Also to insure they are bringing copies of necessary information to the team.
- Schedule individual meeting with them to work through any issues regarding the task they committed to.

**Behavior: Dissatisfied with the process.**
Description: • Individual expresses dissatisfaction and wants to change the process.

Approaches: • Listen to concerns about the process and request to change. You can insert a break if you need to think and evaluate how to respond.
• Ask the individual if they can “trust the process.”
• Check in with others in the group who share the same concern.

Behavior: Distracters – off topic.

Description: • Frequently brings up ideas or issues that are not relevant to the topic.
• Repeatedly surfaces specific concern or personal agenda.
• Often uses smoke screens – throws out excuses and roadblocks.
• Sometimes misinterprets information and debates meaning.

Approaches: • Thank them for their comment and record on Parking Lot or on flip chart notes – “Thanks, let’s make sure we capture that in our notes so that we don’t forget.”
• Acknowledge the importance of their point and validate that it is a concern. Explain how the point will be dealt with.
• Ask the individual what they would like the group to do about the concern.
• Ask if the individual can “let it go” for now.
• Ask the individual how their concern relates to the current topic.
• Ask others if they have anything to add.

Behavior: Distracted.

Description: • Working on other work.
• Constantly answering cell phone or e-mail.
• Leaves session frequently.

Approaches: • Clarify expectations of participation with the Project Owner prior to the session: expectation for team attendance, how to handle interruptions, use of internet and electronic devices.
• Discuss with the team and determine ground rules.
• Speak to the individual during break.
• Talk with Project Owner/supervisor.

Behavior: Dominator.

Description: • Individual monopolizes the discussion by talking too frequently or for too long a period of time.

Approaches: • Summarize the individual’s comments and move on to someone else.
  “So we could approach this by doing … Mary, what is your perspective or what would you add?”
• Thank them for their input and then move on to someone else.
  “Thank you, Jane, for your perspective. Bill, what are your thoughts?”
• Acknowledge the individual’s desire to speak and then call on someone else.
  “Meg, I see that you would like to make a comment. I’m going to get a few other reactions first. Kim, what would you suggest?”
• Do a group check-in and ask all members to briefly add their comments.
  “I’d like to hear from all of you on this topic. Let’s go around and please give me your ideas.”

Updated: 03/2011
• Have group members write down their thoughts on sticky notes and have them put on flip chart. Facilitator or team member leads discussion as a group to review all ideas.
• Switch eye contact from dominator to another team member and physically move away.
• Have a private conversation with the individual during break and ask for their help to get others involved.

**Behavior: Fortune-teller.**

**Description:**
• Comes to the session with a pre-identified solution or has a “must have.”
• “I don’t know why we are going through all of this work. The solution is very clear; we just need to do this …”
• “I can tell you how to fix that! If Kim would only do this …”

**Approaches:**
If this is the Project Owner or area supervisor:
• Talk with them prior to the session to learn more about why they are committed to their solution. Discuss how they will react if the team comes up with different solutions.
• Suggest that they be open to a “trial” period of new recommendations.
• Make sure that they are committed to the work that the team will be doing. If not, it might be best to delay the project.

If this is a team member:
• Meet with the team member prior to the project to explain the purpose and process of the event and ask if they can be open to brainstorming ideas other than the solution they have.
• If solutions arise during current state mapping, thank the individual for their idea and ask them to record the solution on their personal notepad for the brainstorming of the future state.
  “Thank you for your idea. This very well may be one of the recommendations we make so we don’t want to lose it. Please record it in your personal notebook and when we get to brainstorming solutions tomorrow we will discuss this further.”
• Address the need for the group to understand the process and move toward improvements collectively.
• If they are an expert in a specific portion of the process, let them know that they will be asked to provide specific information at that time.

**Behavior: Silent/quiet.**

**Description:**
• Participant remains silent during the meeting.

**Approaches:**
• Early in the conversation have everyone on the team give a brief “check-in” response. Make sure that you allow the quiet individual to formulate their thoughts prior to calling on them.
• Alert the quiet individual that you will be asking them to share their ideas “after John makes his comments.”
• Ask them specifically to contribute their ideas and then thank them for their comments.
• Call on them first when the discussion directly involves their area of experience.
• Check in with team at break to determine if they have any concerns that they are not expressing.

**Behavior: Withdrawn.**

**Description:**
• Individual may be withdrawn and not participating from the beginning, or may suddenly withdraw during the session.

**Approaches:**
• Try to determine what has caused them to withdraw.
• Make a point to include them, draw them back in and validate their input.
• Speak with them individually at break to determine the issue.

**Behavior: Skeptics.**

**Description:**
• Nothing is acceptable and nothing will work.
• Inserts negative comments either overtly or under their breath to the individual sitting next to them.
• Debates what is wrong with a particular point.
• Negative expressions may be verbal or non-verbal: sighing, crossed arms, or sitting back in chair away from the table.

**Approaches:**
• Acknowledge their point of view.
• Restate their view closely, following their own language.
• Ask for their recommendation or opinion about what is needed and record.
• Ask for a positive comment.
  “Sally, we have heard what you disagree with. I invite you to share what piece you agree with and or find beneficial in this solution.”
• If participant is teaming up with another skeptic, conduct a group exercise that rearranges the seating. Then have the group remain in that configuration.
  “To get some additional input and ideas, I’d like you to team up with someone that you are not currently sitting next to and discuss this … for two minutes.”
• Instead of debating what is wrong with a particular point, respond with,
  “You may be right. How can we make this better?”
• Meet with them at break to discuss.

**Behavior: Distracted groups.**

**Description:**
• Some groups have a more difficult time staying focused on the topic and get easily distracted.
• Teams often get side-tracked and delve deeply into an area that is not covered in the scope of the current project.

**Approaches:**
• Let the group have some spontaneous interaction and then bring them back to the topic.
• Ask the group what they would like to accomplish and how they can self-monitor.
• Ask the group if the current discussion is helpful and should continue.
• Sometimes groups get mental fatigue. Take a break to refresh and re-energize and then resume the planned discussion.
• Make sure that ideas are within the project scope, if not, suggest that they go on the parking lot.
**Behavior: Interrupting.**

**Description:**
- Frequent interruptions by one individual or several. Many individuals have comments on the same topic.
- This is especially frequent in large groups and can be observed as individuals who interrupt others before they are finished with their comments. This can happen for a variety of reasons; the discussion is lively and participants are excited to share their thoughts, they are afraid they will forget what they want to say, they disagree with the individual who is speaking.

**Approaches:**
- Establish a “raising hands” procedure. Individuals who want to comment raise their hands and then the facilitator calls on them in the order in which hands are raised. If there is a flurry of hands after a particular comment, ask who has comments on this particular thread before resuming the sequence. Facilitator acts as the “conductor” for the conversation.

**Behavior: Emotionally charged.**

**Description:**
- Strong emotions are exhibited either during or after the session by an individual or group of individuals.

**Approaches:**
- Strong emotions are not always bad. They can be the result of individuals with a high degree of personal investment and deep caring and concern about the topic. The damage comes when comments become personal and/or individuals feel that they are not being heard.
- Let the emotion surface and monitor to see where it goes. If it stays related to the topic it is healthy for differing opinions to be shared as long as it is in a respectful manner.
- If the discussion appears to be isolated between a couple of members or a small group, ask if a small group discussion on the specific topic would be helpful.
- Ask the group if the discussion is helpful and should continue.
- Take a break and let everyone relax and refocus.
- Break for the day, ask members to reflect until the next time the group meets. Often the group returns with increased clarity around the topic.

---

Frequently Asked Questions about Lean

1. **What is Lean?**
   Lean is a process used to look for efficiencies in workflow, paper processing, number of steps in a process, etc. Lean focuses on processes – not people and is a philosophy of continuously simplifying processes and eliminating symptoms of non-value. Our goals are to enhance our ability to provide services in an effective and efficient manner.

2. **Will anyone lose his or her job by making processes so efficient?**
   Our people are very important and will continue to be part of this organization. Some people’s job duties may change and some may have different office locations or configurations.

3. **What guarantees do we have that this will actually help the process?**
   Lean is a proven methodology used to break through barriers and cut through bureaucracy, helping teams reach their goals.

4. **Have we messed up? Have we done something wrong?**
   Conducting a Lean event is a way to enhance performance. The goal is to give people the tools to do their jobs better. Each of us, in our own work areas, could benefit from that type of assistance.

5. **Is this a test of my job performance? Will I get in trouble for not doing well in my job?**
   These events are performed under the assumption that everyone involved is already doing their best—but that with some assistance, efforts can be altered to lessen steps, delays, and time, with no loss of performance or quality. Improvements will focus on reducing the time that no one is working on a particular task. The time it sits in someone’s in-box or is waiting for a reply is of non-value to the organization and/or customers and therefore can be reduced.

6. **How can a Lean team understand complex processes in a short period of time?**
   The participants will learn the steps in the process, not how to conduct the process. The process will be laid out in graphical form to make it easier to understand the sequence and how steps are interrelated.

7. **Who is involved and why?**
   The Lean team that will be designing the new process is composed of a Facilitator, Lean-trained team members, and some of the people who are impacted by the process or who impact the process. All of these different viewpoints are important in designing a better process.

8. **Even if I’m not directly involved on the team, what will I need to do during that week?**
   You may be asked questions by the team members to clarify your part in the process. Please take the time to answer their questions completely. Team members may also ask to observe and time you while completing a step in the process or discuss the time necessary to complete a step.
9. **Will people be in my office? Will they observe us talking about confidential issues, sensitive operations, controversial issues, sensitive policy issue debates and phone calls that all occur each week?**
The team is not interested in specific projects, but how the process works in general.

10. **What happens if I have an unplanned emergency during a scheduled event?**
If you are a member of the team, please coordinate your absence with the Facilitator. It is anticipated that absences would occur only in emergency situations.

11. **Will the recommendations be rigid or able to change in the future if they fail or cause unintended consequences?**
The team will not be making recommendations—they will design an improved process that will be implemented immediately or as soon as possible. The new process will be tested, but if adjustments need to be made later, they will be made.

12. **How is this process to be judged a success or failure?**
Data will be gathered on how well the process performs before the event and data will be collected after the event for comparison.
Lean Terminology

A

AAA. The three A’s is a process of facilitating to encourage dialog, free flow of thoughts and ideas: Acknowledge, Ask, Affirm.

B

Barriers to Flow. Any barrier, physical or not, that prevents the passing of one unit of work directly to the next process without the work stopping.

C

Cause-and-Effect Diagram. A visual root cause analysis tool used to brainstorm and document potential causes and sub-causes for an undesired effect. Also referred to as an Ishikawa Diagram (after its developer) or Fishbone Diagram (due to its shape).

Checklist. A form used as a reference to assure all of the key steps in a process have been completed. Checklists are often integrated into the standard work for an operation.

Co-location. (See Layout for Flow.)

Continuous Flow. A work process management system wherein workers only work on one unit at a time and only one unit of work moves from process to process. Implementation of continuous flow can have significant impact on reducing throughput time, minimizing symptoms of non-value and improving value adding activity. This concept is also referred to as Single Piece Flow or One Piece Flow.

Continuous Improvement. A philosophy of frequently reviewing processes, identifying opportunities for improvement and implementing changes to get closer to perfection. (See Kaizen.)

Cross-functional Team. A team comprised of individuals representing different functions within a given process. The team may be formed for a specific activity (e.g. a Kaizen Event), or the team may be more permanent in nature (a cross-functional team, co-located and cross-trained, put in place to support a specific product or customer).

Cross-training. To train individuals to perform a variety of tasks and skills. In a Lean environment, the focus of cross-training should be to increase competence along the Value Stream in order to optimize performance of that Value Stream.

Current State (CS). All of the steps that are performed to complete the work as it is operating in today’s environment (this is often quite different from how a written procedure states it should be done) as well as the issues and performance (metrics) of the process.

D

Downstream. As viewed from a reference point, downstream processes are activities that take place after the reference point (e.g. transmitting a quote to the customer is a downstream process from writing the quote). (See Upstream.)
**Effective.** Measure of quality. How well is it done? All processes must be both efficient and effective. Contrast with efficient.

**Efficient.** Measure of speed. How fast is it done? All processes must be both efficient and effective. Contrast with effective.

**Eighty (80%) Percent Rule.** (See Pareto Principle.)

**F**

**Facilitator.** One who makes the process easier for everyone.

**First In First Out (FIFO).** An order sequencing and control approach which ensures that the first order entering the system is the first order to be worked on.

**Five Why’s.** A root-cause analysis tool used to identify the true root cause of a problem. The question “why” is asked a sufficient number of times to find the fundamental reason for the problem. Once that cause is identified, an appropriate countermeasure can be designed and implemented to eliminate reoccurrence.

**Flow.** The smooth, uninterrupted movement of a product or service through a series of process steps. In true flow, the work product (information, paperwork, material, etc.) passing through the series of steps never stops.

**Flow Chart.** A schematic representation of a process, from start to finish, including inputs, outputs, paths, steps and decision points. Traditional process maps are often depicted in flow chart form. Also referred to as a Process Flow Chart.

**Full Time Equivalent (FTE).** Number of resources (usually people) required to run a process or series of processes if they were employed full time on that activity. For people, the number is usually based on 2080 hours per year (i.e. 2080 hours of work = one FTE) or 40 hours per week. Example: four people working 20 hours per week each on the same activity, equals two FTEs.

**Future State (FS).** A plan for how a process is intended to run at a defined point in time in the future. Serves as the primary input for the development of an implementation plan. Future State Value Stream Maps are usually developed looking 3 – 12 months into the future. Also referred to as the ideal state, blue sky state or nirvana state.

**H**

**High Level Value Stream.** (See Value Stream.)

**K**

**Kaizen.** An improvement philosophy in which continuous incremental improvement occurs over a sustained period of time, creating more value and less symptoms of non-value, resulting in increased speed, lower costs and improved quality. When applied to a business enterprise, it refers to ongoing improvement involving the entire workforce including senior leadership, middle management and frontline workers. Kaizen is also a philosophy that assumes that our way of life (working, social or personal) deserves to be constantly improved.

**Kaizen Event.** A structured, team-based, problem-solving activity of short duration used to improve processes throughout an organization. Activities typically include: 1) team training, 2) current state analysis, 3) future state design, 4) prioritization of improvements, 5) train on new process, and 6) implementing the selected
improvements. Duration is typically one to five days. The event team is focused on the process 100% of time during the event and is cross-functional in composition. Also referred to as Kaizen Blitz and Rapid Improvement Event (RIE).

L

**Layout for Flow.** The co-location of processes and/or equipment in sequence to permit one-piece flow and the flexible deployment of workers to operate multiple processes (resources). The resources found in cells are often cross-functional in nature. Also referred to as Cells, or Cellular Arrangement.

**Lead Time (LT).** The amount of time it takes for a product (or service) to go through the system, from the first operation to the final operation, including processing, delays, movement, queues, etc. At a process level, the process lead time begins when the work is received, and ends when the work is delivered to the next downstream customer. Lead Time = Process Time plus Wait Time (or delays). Also referred to as Throughput Time or Turnaround Time.

**Lean.** The philosophy of aggressive continuous improvement executed through defining value from the customer’s perspective, mapping the value streams, creating flow, working at the pull of the customer, and, pursuit of perfection.

**Lightning Bursts.** Captures improvement ideas while developing current and future state maps.

N

**Necessary Non-value-added.** Activities that add no value from the customer’s perspective but are required in order to operate the business. This could include legal and regulatory requirements as well as certain internal business processes which would put the business at risk if eliminated in today’s environment.

**Non-value-adding (NVA).** A task that the customer does not care about and would be unwilling to pay for if he/she knew the incremental cost of that task. The attribute of a task or activities that can be eliminated from a process without deterioration of the function, performance or quality of a product or service as viewed by the customer. Two types of Non-value-adding activity exist: Necessary NVA and Unnecessary NVA.

**Non-value.** Any activity that consumes resources but does not provide value as defined by the customer. The eight common types of non-value are:

- Overproduction
- Over-processing
- Waiting
- Inventory
- Defects
- Motion (by people)
- Transportation (of materials/information)
- Under-utilization of people

O

**Operation.** An activity performed on a product or service by a single resource. An operation is a component of Process. Also referred to as Task.

**Overall Employee Effectiveness (OEE).** A measure of how effectively employees are utilized during scheduled work time.
Pareto Principle. The concept that most of the effects in a situation can be traced back to a small number of contributors. In the early 1900’s Wilfred Pareto observed that 80% of the property in Italy was held by only 20% of the population. Joseph Juran later observed that this 80/20 relationship is in fact quite common, and coined this phenomenon as “The Pareto Principle.”

Pareto Chart. A graph or chart based on the Pareto Principle that ranks occurrences from the most frequent to the least frequent. Pareto charts are often used to prioritize improvement activities. Check Sheets are a common input to creating a Pareto Chart.

Performance Measures. A framework that allows everyone to easily identify critical success factors for the organization.

Plan-Do-Study-Act (PDSA). The basic steps to be followed in making continuous incremental improvements (kaizen).

Process. An operation or group of operations that receives inputs, performs an activity and then provides outputs to an internal or external customer.

Process Flow Chart. (See Flow Chart.)

Project Sponsor. The person or individual who has responsibility for the area in which the project resides.

Project Owner. The individual who “owns” the process or the director/supervisor of the area.

Project Scope. The work that needs to be fulfilled to deliver a specific result. (What will the team do? What value stream will be mapped? What are the beginning and ending points?)

Reliability. The ability of a process to produce the same results (product or service) over repeated cycles.

Root Cause Analysis (RCA). A problem-solving approach whereby the underlying cause of a problem is first identified and only then is the corrective action or solution designed. The intent of RCA is to reduce or eliminate recurrence of the same problem. RCA tools include Five Why’s, Cause-and-effect Diagrams, Checklists and Pareto Charts.

Stakeholder. Anyone who has an interest in a process, typically a supplier, customer or one who actually performs the work.

Standard Work. Documentation of the best known method for completing a task or activity. This becomes the way for everyone working on that process to perform the work. This also becomes the baseline for future work.

Team Members. People involved in a Kaizen Event outside of Facilitators.
**U**

**Upstream.** As viewed from a reference point, upstream processes are activities that take place prior to the reference point (e.g. receiving a request for a quote from the customer is upstream to writing the quote). (See Downstream.)

**Unnecessary Non-Value-Adding.** Activities that add no value from the customer’s perspective nor are they necessary to properly run the business. These activities are often legacy in nature (“we’ve always done it that way”).

**V**

**Value-Adding (VA).** Any activity, which, from the ultimate customer’s perspective is of value, such that the customer is willing to pay for that activity, or that the activity is a condition of doing business with that customer.

**Value Stream.** All the activities and information needed to complete a service or achieve a learning outcome.

- **High Level Value Stream.** Identify improvement projects that are appropriate in scope.
- **Mid-Level Value Stream.** Shows what activities need to be completed to make the recommendations a reality.

**Value Stream Map (VSM).** A high-level, visual representation of all of the process steps (both VA and NVA) required to transform a customer requirement into a delivered good or service. A VSM shows the connection between information flow and product flow, as well as the major process blocks and barriers to flow. VSMs are used to document current state conditions as well as design a future state. One of the key objectives of Value Stream Mapping is to identify non-value adding activities for elimination. Value Stream Maps, along with the Value Stream Implementation Plan are strategic tools used to help identify, prioritize and communicate continuous improvement activities.

**Visual Management.** An approach to managing product, people and processes using low-cost, easy to understand visual devices. These devices, when properly utilized, will quickly and effectively communicate objectives, performance, operating conditions and problems.

**W**

**Work in Process (WIP).** Any work that has been initiated or available to be worked on and yet released to the downstream customer.