

Suggestions for Completing the SEA Certification Audit

1. Ensure that you have all materials; Definitions, Process Maturity Checklist, Step-by-Step, New Forward, 2007 Roadmap, 2007 Criteria, Instructions for Onsite Audit.
2. Set the date for the onsite audit with jeff.hawley@L5PS.com.
3. Select team members – assign a champion responsible for each of the three process groups and value streams and process owners responsible for each process in stage one. If you wish to achieve certification above stage one you will have to assign process owners for each process in that stage as well. The same is true of stage three. Our recommendation is that you begin with the 11 stage one processes. The minimum requirement for certification in any stage is Level 3 process maturity on all processes in that stage and most of the SEA-required business results for the last 12 months exceeding the baseline average.
4. Distribute the preparation materials to each team member. Instructions should include the review of all materials. Set a date for the first internal review.
5. Prepare for the internal review – each process owner should collect documents that demonstrate the various process maturity levels as defined in the Process Maturity Guidelines. These documents must be documents used in normal practice and not documents specially prepared for the audit.

Level 1 – provide process owner training record. Show a value stream map or a process flow with the major steps in the process, beginning and end, key inputs and outputs.

Level 2 – show process documentation at the work instruction level; suitable for training others; preferably visual and used in the work area or cell

Level 3 – show records of people who have been recently trained and/or certified to perform in the process in accordance with the work instructions; show evidence that standardization has been deployed to all appropriate areas of the organization

Level 4 – show a control plan showing the key measures, who monitors them; any corrective action plans linked to the control plan; records of training those in the process to follow the control plan; examples of statistical controls used

normally in each work area; examples of cause and corrective action analysis performed by those working in cells or work areas

Level 5 – show benchmark comparisons with sources; and current trends establishing a world class performance level and continuous improvement in performance

Metrics – show monthly measurements for at least 12 months. Provide a baseline for each metric consisting of three months of data for the period immediately preceding the 12 months provided.

6. Conduct the first internal review – champions should conduct the review for each process group and process owners should report out on the status of each process. Significant gaps should be identified. The goal at this stage should be to assess gaps and actions required to achieve audit readiness. No special documents should be created for the onsite assessment – only what you currently use.
7. Host the examiner audit – schedule three days with the examiner for onsite interviews on the first 2 days and 1 day to prepare the report and present the findings to you. Provide the examiner/auditor with a workspace that is private and comfortable. An internet connection, phone, and internal company phone directory is required. Administrative support to print reports will also be required. Establish a schedule for a 15-minute interview for each process. If a process owner has two or more processes, they will be required to participate in each process interview. The examiner may schedule additional time with process owners if necessary to further clarify any items.
8. Conduct a final internal review – in this review that is conducted after the audit interviews, the examiner will review the findings and major discrepancies required for action before certification. Suppliers will have 60 days to complete the required actions. When evidence is provided to establish these items have been accomplished, the certification will be granted.
9. Please direct questions or problems to Michael@seaonline.org or call 949 476-1144 X308.