



VERMONT

*Lean*

# Facilitation Guidebook

VTrans Performance Section  
May 2017

- *Project Definition*
- *Pre and Post-Event Activities*
- *Roles and Responsibilities*

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## Introduction

This Guidebook provides instruction for successfully facilitating a Lean event in Vermont state government. *Note: Guidance contained herein addresses preparing for, conducting, and providing required follow-up to a 5-day Kaizen event. Other types of project engagements (as detailed in Appendix C) may require a condensed version of activity, as determined by the Facilitator(s) in consult with the Lean Program Manager.*

The scope of this Guidebook:

Begins when the Lean Program Manager assigns a project to a Lean Facilitator;

Continues with pre-planning, chartering, event, and post-event implementation activities; and

Ends with encouraging continuous improvement!

***Visit the VTrans Lean Program SharePoint site for additional information!***

## Lean Project

- I. Lean Program Manager
  - a. Identify project
  - b. Identify Champion and Sponsor
  - c. Identify Facilitator(s)

*See Appendix A: Competencies of a Lean Facilitator*

*See Appendix B: Project Roles and Responsibilities*

## Pre-Event Planning and Coordination

- I. Project Definition  
*See Appendix C: Continuous Improvement Project Types*
- II. Supplies  
*See Appendix D: Pre-Event Checklist*
- III. Create Event Itinerary and Agenda  
*See Appendix E: Event Week Itinerary*
- IV. Project Exploratory Meeting(s) with Champion/Sponsor  
*See Appendix F: Lean Project Exploratory Meeting*  
*See Appendix G: Pre-Event Meeting Sign-In Sheet*
  - a. Prepare Project Charter
    - i. Identify opportunity/problem statement
    - ii. Identify scope
    - iii. Establish goals
    - iv. Establish measurable Key Performance Indicators (KPI's)
    - v. Identify Lean event Team Members (and their supervisors)

*See Appendix H: Project Chartering Questions*  
*See Appendix I: Project Charter Template*  
*See Appendix J: Sample Project Charter*
- V. Schedule Lean Event  
*See Appendix K: Schedule Lean Event*
  - a. Communications
  - b. Facility
  - c. Event Team Members
  - d. IT Support
  - e. Food/Snacks/Refreshments

## Conducting a Lean Event

- I. General
  - a. Flip Charts  
*See Appendix L: Flip Charts*
  - b. Ground Rules  
*See Appendix M: Event Team Ground Rules*
  - c. Tools  
*See Appendix N: The Eight Wastes of Lean*  
*See Appendix O: Mapping “Sticky Note” Colors and Meanings*
  - d. Stakeholder Feedback
  - e. Key Performance Indicators (KPI’s)  
*See Appendix P: Data Sheet Template*
  - f. Daily Report-Outs  
*See Appendix Q: End of Day Report-Out*
  - g. Implementation Plan
    - i. Responsibility/Accountability
    - ii. Project management focus
    - iii. Critical path phases/tasks
      1. Descriptions
      2. Resources/Ownership/Participants
      3. Deliverables
      4. Due Dates  
*See Appendix R: Implementation Check-In Meetings Template*
  - h. Final Report-Out and Presentation  
*See Appendix S: A3 Report-Out Poster Template*
    - i. Final Presentation
      1. Title Page
      2. Program Overview/Priorities
      3. Project Team/Scope
      4. Current State
      5. Improvement Priorities
      6. Stakeholder Participation and Feedback
      7. Good (Future) State Goals/KPI’s/Summary of Improvements
      8. Benefits
      9. Implementation Plan
      10. Continuous Improvement Goals

11. Personal Reflections
12. Acknowledgements
13. Questions?

## II. Day 1

- a. Morning
  - i. Arrange the room (easels for flip charts)
  - ii. Set up the laptop, projector and speakers
  - iii. Set out associated documents
  - iv. Go through agenda (write on white board)
  - v. Establish ground rules and discuss logistics (parking, building access, cell phones, restrooms, snacks/meals, printer, etc.)
  - vi. Post Team Member names on an easel pad
  - vii. Conduct Lean basics training
    1. Lean defined
    2. Target waste
    3. Value Stream Map
    4. Design flow
    5. Implement
  - viii. Break for lunch
- b. Afternoon
  - i. Hang paper for Value Stream Map (VSM)
  - ii. Review the Project Charter goals and objectives
  - iii. Discuss pre-event data collected (baseline, benchmarking, etc.)
  - iv. Define the customer
  - v. Define process from “30,000 feet” level
    1. Start training on Value Stream Mapping  
*See Appendix O: Mapping “Sticky Note” Colors and Meanings*
  - vi. Start mapping Current State (identify tasks/functions, steps, handoffs, etc.)
  - vii. Conduct report-out at scheduled time  
*See Appendix Q: End of Day Report-Out*
  - viii. Remind team of tomorrow’s start time

## III. Day 2

- a. Morning
  - i. Write day’s agenda on easel pad and review with group
  - ii. Questions about yesterday’s training or activities?
  - iii. Continue mapping Current State
  - iv. Break for lunch
- b. Afternoon
  - i. Finish mapping Current State
  - ii. Count the number of steps, handoffs, loops, delays, value-added activities (use data sheets); capture on easel pad
  - iii. Begin mapping Good (Future) State

- iv. Conduct report-out at scheduled time  
*See Appendix Q: End of Day Report-Out*
- v. Remind team of tomorrow's start time

#### IV. Day 3

- a. Morning
  - i. Write day's agenda on easel pad and review with group
  - ii. Questions or comments re: Good (Future) State?
  - iii. Gather team and outside stakeholders
  - iv. Guide stakeholders through mapped process
  - v. Discuss the process and solicit input from stakeholders re: feedback and other recommended improvements
  - vi. Continue mapping Good (Future) State
  - vii. Take team photo (one with stakeholders)
  
- b. Afternoon
  - i. Begin mapping Great (Ideal) State
  - ii. Capture Parking Lot and Homework items on easel pad
  - iii. Identify value-added activities and delays on Great (Ideal) State process map
  - iv. Count the number of steps, handoffs, loops, delays, value-added activities
  - v. Conduct report-out at scheduled time  
*See Appendix Q: End of Day Report-Out*
  - vi. Remind team of tomorrow's start time

#### V. Day 4

- a. Morning
  - i. Write day's agenda on easel pad and review with group
  - ii. Questions or comments re: Good (Future) State?
  - iii. Review Parking Lot and Homework items
  - iv. Continue mapping Good (Future) State
  - v. Break for lunch – pizza!!
  
- b. Afternoon
  - i. Assign/volunteer team members to Homework items that are incomplete
  - ii. Group Activities
    - 1. Group 1: Prepare final presentation
    - 2. Group 2: Capture VSM on Visio or similar
    - 3. Group 3: Prepare report-out summary
  - iii. Instruct team re: conduct of final presentation (what to expect, where to stand, introduce next speaker, keep it moving!, who will answer questions from audience, etc.)
  - iv. Assign/volunteer team members to present
  - v. Conduct report-out at scheduled time  
*See Appendix Q: End of Day Report-Out*
  - v. Remind team of tomorrow's start time

VI. Day 5

a. Morning

- i. Write day's agenda on easel pad and review with group
- ii. Group Activities
  - 1. Group 1: Finalize presentation
  - 2. Group 2: Finish mapping Good (Future) State
  - 3. Group 3: Finalize Implementation Plan

b. Afternoon

- i. Final presentation



## Post-Event Activities

- I. Implementation Check-In Meetings
  - a. Attend Team debriefing/plan and attend 30/60/90/120 day and 1-year check-in/update/progress meetings with Project Manager/Process Owner (Functional Operating Manager)
  - b. Define Champion's role
  - c. Establish shared Team access to Implementation Plan  
*See Appendix R: Implementation Check-In Meetings Template*
  - d. Review and lead discussion of Implementation Plan; update as necessary
  - e. Check the status of KPI's and note any improvements
  - f. Identify and report any best practices, frustrations, and lessons learned
  
- II. Summary Meeting with/Report to Lean Program Manager
  - a. Describe the project
  - b. Did the Lean Event help meet the project objectives?
  - c. Have the goals described in the Project Charter been achieved?
  - d. How did the team improve the process?
  - e. Describe the expected improvement metrics
  - f. Identify areas for continuous improvement

## Appendix A: Competencies of a Lean Facilitator

- I. Interpersonal Skills
  - a. Highly organized
  - b. Comfortable with public speaking
  - c. Patient
  - d. Flexible and adaptable
  - e. Positive attitude
  - f. Open to different perspectives/points of view/new ideas
  - g. Respect for others
  
- II. Communication Skills
  - a. Convey ideas clearly and concisely when speaking
  - b. Listen to clarify and understand
  - c. Use questions to probe for missing information or to clarify
  - d. Draw out/communicate key discussion points
  - e. Receive feedback without interrupting or becoming defensive
  
- III. Group Management Skills
  - a. Effectively plan, conduct, evaluate, and follow-up meetings
  - b. Understand the progression of group dynamics (Forming, Storming, Norming, Performing)
  - c. Keep group discussion focused on central ideas
  - d. Guide decision making process without directing or influencing actual decision
  - e. Able to make group members feel comfortable and encourage participation
  - f. Remain neutral when facilitating group discussions
  - g. Turn conflict into opportunities to achieve positive, productive results
  - h. Delegate tasks to group members as appropriate
  
- IV. Systems Thinking
  - a. Understand purpose of a process or system and how to implement strategies to make improvements
  - b. Gather and use data to make decisions
  
- V. Continuous Improvement
  - a. Understand those who do the work know best how to improve the work
  - b. Enthusiastic about Lean and its impact on business operations

## Appendix B: Project Roles and Responsibilities

- I. Sponsor
  - a. Pre-Event
    - i. Assist in development of Project Charter
    - ii. Identify Team Members who will add value to project
    - iii. Attend pre-event meetings to communicate expectations and set direction for Team
  - b. During Event
    - i. Attend Lean Overview Training/"Kick-Off" on first day of event
    - ii. Attend daily report-out meetings to redirect and challenge Team, if needed
    - iii. Visit to offer Team support, provide input as appropriate, and encourage creative thinking
    - iv. Attend Team final presentation
  - c. Post Event
    - i. Keep track of project and ensure its successful progression
    - ii. Advocate for needed resources
    - iii. Attend debriefing/progress meetings
    - iv. Ensure functional operating Team trained in new process and Standard Work
  
- II. Champion
  - a. Pre-Event
    - i. Take lead in developing Project Charter
    - ii. Conduct preliminary analyses in preparation for event
    - iii. Finalize Team Members and identify outside stakeholders
    - iv. Attend pre-event meetings to review Project Charter and event details
    - v. Act as Team Leader
  - b. During Event
    - i. Attend Lean Overview Training/"Kick-Off" on first day of event
    - ii. Participate to extent practicable during event and provide input as appropriate
    - iii. Attend daily report-out meetings to redirect and challenge Team, if needed
    - iv. Participate in Team final presentation
  - c. Post Event
    - i. Attend debriefing/progress meetings
    - ii. Serve as process owner and contact person for Implementation Plan to ensure Team is moving forward in achieving goals
    - iii. Monitor changes in project and act as a guide to drive execution of a successful project
    - iv. Make decisions on prioritizing individual project phases
    - v. Update Implementation Plan in SharePoint on monthly basis
    - vi. Communicate Team needs and successes to all interested parties
    - vii. Communicate between process owners and upper management
    - viii. Prepare monthly reports and other requested documents for review by Lean Program Manager

- ix. Lead presentations on progress of Team when requested
- x. With Project Manager/Process Owner (Functional Operating Manager), conduct 30/60/90/120 day and 1-year check-in/update/progress meetings
- xi. Ensure functional operating Team trained in new process and Standard Work

### III. Facilitator

- a. Pre-Event
  - i. Work with Lean Program Manager, Project Manager/Process Owner (Functional Operating Manager), Sponsor, Champion, and Co-Facilitator to refine Project Charter and become familiar with Team Members
  - ii. Schedule and facilitate pre-event meetings to review and confirm Project Charter and Lean principles and tools
  - iii. Confirm schedule with all participants, including outside stakeholders
  - iv. Update SharePoint site with content and background materials
  - v. Communicate event logistics and details
  - vi. Collect materials
  - vii. Prepare event facility
  - viii. Provide basic training on tools/process for week
- b. During Event
  - i. Develop daily agenda and goals
  - ii. Conduct Lean Overview Training/"Kick-Off" on first day of event
  - iii. Lead Team during event and ensure all expectations are met
  - iv. Ensure Team Members are contributing during event
  - v. Keep Team Members focused on tasks and quality of product
  - vi. Support Team Members in finding solutions
  - vii. Communicate logistics and detail
  - viii. Coach Team on developing final presentation
  - ix. Organize report-outs
  - x. Introduce and conclude Team final presentation
- c. Post Event
  - i. Attend Team debriefing/plan and attend 30/60/90/120 day and 1-year check-in/update/progress meetings with Project Manager/Process Owner (Functional Operating Manager)
  - ii. Assist in finalizing KPI's and Implementation Plan
  - iii. Adopt change management perspective in recognizing and assisting Sponsor/Champion/Project Manager/Process Owner (Functional Operating Manager) in related post-event functionality critical to project success
  - iv. Help ensure effective project management framework (accountability, resources, scheduling, tracking tool(s), task accomplishment, etc.) for efficient and timely implementation
  - v. Maintain connection with Team and Lean Program Manager in monitoring and documenting process improvements, analysis for KPI's/metrics, and continuous improvement opportunities

IV. Co-Facilitator

- a. Pre-Event
  - i. Work with Lean Program Manager, Project Manager/Process Owner (Functional Operating Manager), Sponsor, Champion, and Facilitator to refine Project Charter and become familiar with Team Members
  - ii. Attend pre-event meetings
  - iii. Assist in identification, gathering, and analysis of baseline/benchmarking data
  - iv. Update SharePoint with content and background materials
  - v. Assist in material collection and event facility preparation
  - vi. Assist with basic training on tools/process for week
- b. During Event
  - i. Assist Facilitator in fulfilling duties
  - ii. Greet and provide an overview to outside stakeholders
  - iii. Take lead on development of KPI's and Implementation Plan
  - iv. Take lead on event documentation (photos, flipchart scans, etc.)
- c. Post Event
  - i. Attend team debriefing and 30/60/90/120 day and 1-year check-in/update/progress meetings with Project Manager/Process Owner (Functional Operating Manager)
  - ii. Assist in finalizing KPI's and Implementation Plan
  - iii. Adopt change management perspective in recognizing and assisting Sponsor/Champion/Project Manager/Process Owner (Functional Operating Manager) in related post-event functionality critical to project success
  - iv. Help ensure effective project management framework (accountability, resources, scheduling, tracking tool(s), task accomplishment, etc.) for efficient and timely implementation
  - v. Maintain connection with Team and Lean Program Manager in monitoring and documenting process improvements, analysis for KPI's/metrics, and continuous improvement opportunities

V. Team Member

- a. Pre-Event
  - i. Attend pre-event meetings
  - ii. Refine Project Charter; identify customers; complete stakeholder analysis; draft high-level communications plan
  - iii. Gather baseline/benchmark data as appropriate
- b. During Event
  - i. Participate in Lean Overview Training/"Kick-Off" on first day of event
  - ii. Participate in daily report-outs
  - iii. Contribute based on knowledge of process
  - iv. Adopt a "can do" attitude and take responsibility for creating change
  - v. Ask questions and make suggestions

- vi. Learn how to use tools and techniques of Lean analysis and implementation
  - vii. Work as part of a team
  - viii. Help prepare and participate in Team final presentation
  - c. Post Event
    - i. Take responsibility for assigned tasks and timelines
    - ii. Ensure project-related information documented on SharePoint
    - iii. Help track and report on KPI's (when necessary and appropriate)
    - iv. Attend presentations on progress of Team when requested
    - v. Attend Team debriefing and 30/60/90/120 day and 1-year check-in/update/progress meetings with Project Manager/Process Owner (Functional Operating Manager)
- VI. Subject Matter Expert
- a. Pre-Event
    - i. Provide input on Project Charter
  - b. During Event
    - i. Attend, and provide input on Current and Good (Future) State process maps as requested
    - ii. Participate in Team daily report-outs as necessary
    - iii. Attend Team final presentation
  - c. Post Event
    - i. Take responsibility for assigned tasks and timelines
- VII. Project Manager/Process Owner (Functional Operating Manager)
- a. Pre-Event
    - i. Provide input on Project Charter
    - ii. Assist in selecting Team Members
  - b. During Event
    - i. Attend daily report-out meetings
    - ii. Provide feedback regarding feasibility of proposed solutions
    - iii. Attend Team final presentation
  - c. Post Event
    - i. Ensure effective project management (accountability, resources, scheduling, tracking tool(s), task accomplishment, etc.) for timely implementation of process improvements
    - ii. With Champion, conduct 30/60/90/120 day and 1-year check-in/update/progress meetings
    - iii. Ensure functional operating Team trained in and follows new process and Standard Work
- VIII. Outside Stakeholder
- a. Pre-Event
    - i. May identify/contribute to identifying need for process improvement(s)

- b. During Event
  - i. Relate what does and does not work in Current State and make suggestions on ways to improve process
  - ii. Take opportunity to help create a Good (Future) State
  - iii. Attend team daily report-outs as necessary
  - iv. Invited to attend Team final presentation
- c. Post Event
  - i. Take responsibility for assigned tasks and timelines

## Appendix C: Continuous Improvement Project Types

Situation	Objective	Project Type
Unclear about work processes within a work area	Define and prioritize work processes	Discovery
Confusing, messy, unsafe physical, or unsafe electronic work areas	Create clean, safe, orderly, high performing work environments	5S
Errors, defects, customer and staff complaints	Reduce complaints, costs, defects, and errors	*Problem Solving
Inefficient process, inconsistent process, poor performance, errors, or complaints	Reduce complexity, errors, and complaints; Increase timeliness and productivity	*Mini-Kaizen *Kaizen Blitz < 5 days *Kaizen Event 5 days
No process, or current process can't be adjusted to meet customer needs	Create a new process, or redesign an existing process	

\* Technology is typically a component of the solution for these project types; plan accordingly in goal setting and team building.



## Appendix D: Pre-Event Checklist

### I. Consumables

(Contact Lean Program Manager)

- Coffee
- Snacks
- Lunch

### II. Contingency Plan

- Presenter unable to attend as scheduled
- Core Team, IT team, etc. unable to attend as scheduled
- Technical difficulties
- Weather delays

### III. Equipment

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li><input type="checkbox"/> Instructions for event facility</li> <li><input type="checkbox"/> Adequate table(s) and chair(s) @ event facility</li> <li><input type="checkbox"/> Event facility adequate for all participants/guests</li> <li><input type="checkbox"/> First aid</li> <li><input type="checkbox"/> "Sticky notes" <ul style="list-style-type: none"> <li><input type="checkbox"/> Green</li> <li><input type="checkbox"/> Yellow</li> <li><input type="checkbox"/> Red</li> <li><input type="checkbox"/> Orange</li> </ul> </li> <li><input type="checkbox"/> "Sticky dots"</li> <li><input type="checkbox"/> Paper</li> <li><input type="checkbox"/> Posters</li> <li><input type="checkbox"/> Push pins</li> <li><input type="checkbox"/> Paper clips</li> <li><input type="checkbox"/> Rubber bands</li> <li><input type="checkbox"/> Extension cord(s)</li> <li><input type="checkbox"/> AC strip(s)</li> <li><input type="checkbox"/> Batteries</li> <li><input type="checkbox"/> Microphone</li> <li><input type="checkbox"/> Pens</li> <li><input type="checkbox"/> Markers <ul style="list-style-type: none"> <li><input type="checkbox"/> Green</li> <li><input type="checkbox"/> Yellow</li> <li><input type="checkbox"/> Red</li> <li><input type="checkbox"/> Orange</li> <li><input type="checkbox"/> Black</li> <li><input type="checkbox"/> Blue</li> </ul> </li> <li><input type="checkbox"/> Flip charts/paper</li> <li><input type="checkbox"/> Mapping paper</li> <li><input type="checkbox"/> Tape</li> <li><input type="checkbox"/> Laptop with proper connection</li> <li><input type="checkbox"/> USB storage device</li> </ul> | <ul style="list-style-type: none"> <li><input type="checkbox"/> SharePoint site</li> <li><input type="checkbox"/> Name tags</li> <li><input type="checkbox"/> Name tents</li> <li><input type="checkbox"/> Flash cards</li> <li><input type="checkbox"/> Agenda(s)</li> <li><input type="checkbox"/> Relevant handout(s)</li> <li><input type="checkbox"/> Relevant instruction(s)</li> <li><input type="checkbox"/> Sign-in sheet</li> <li><input type="checkbox"/> Event signage</li> <li><input type="checkbox"/> Copies of Project Charter</li> </ul> |
|---|---|

## Appendix E: Event Week Itinerary

- I. Day 1
  - a. Lean basics training
  - b. Recap Project Charter and Ground Rules
  - c. Review fact-finding information
  - d. Establish high-level overview of process
  - e. Identify customer(s) and what they value
  - f. Begin mapping Current State
  
- II. Day 2
  - a. Identify opportunities for improvement and “low-hanging fruit”
  - b. Finish mapping Current State
  - c. Identify “Just-do-it” tasks
  - d. Finalize Key Performance Indicators (KPI’s) (What are we measuring?)
  - e. Finalize benchmarking (what are other states or agencies doing?)
  - f. Begin mapping Good (Future) State (and Great (Ideal) State if necessary)
  
- III. Day 3
  - a. Continue mapping Good (Future) State (and Great (Ideal) State if necessary)
  - b. Solicit and document feedback from outside stakeholders
  - c. Review presentation template
  - d. Review requirements for and begin drafting Implementation Plan
  
- IV. Day 4
  - a. Complete and error check Good (Future) State (and Great (Ideal) State if necessary)
  - b. Establish target KPI’s
  - c. Format fact-finding information
  - d. Tackle “Just-do-it” tasks
    - i. Build draft form(s) as needed
  - e. Continue drafting Implementation Plan
  - f. Begin drafting final presentation
  
- V. Day 5
  - a. Review Good (Future) State (and Great (Ideal) State if necessary)
  - b. Finalize Implementation Plan
  - c. Complete and practice final presentation
  - d. Conduct final presentation

## Appendix F: Lean Project Exploratory Meeting

- I. General
  - a. Schedule 2-3 weeks prior to event
  - b. Define project (Why are we here?)
  - c. Define appropriate Team Members for event
  - d. Define goals, scope, etc.
  
- II. Core Team
  - a. Sponsor
  - b. Champion
  - c. Facilitator
  - d. Subject Matter Expert(s) (as needed)
  
- III. Opportunity (Problem) Statement
  - a. What is the issue with the current process?
  - b. What is process improvement intended to accomplish?
  - c. What will "improvement" look like?
  - d. Draft Opportunity Statement
  
- IV. Scope
  - a. Define process
  - b. What are boundaries of process to be included in the event?
  - c. Identify other processes/stakeholders that may be effected
  - d. Draft Project Scope
  
- V. Goals
  - a. What are goals of event?
  - b. What are improvement goals for process?
  
- VI. Key Performance Indicators (KPI's)
  - a. What measurements are currently made?
  - b. What measurements need to be developed to show progression towards stated goals?
  
- VII. Baseline Data
  - a. What are current metrics?
  - b. Are current metrics aligned with stated goals?
  - c. What additional metrics need to be developed to align KPI's to goals?
  
- VIII. Draft Charter
  - a. Send for review by Team one week prior to event

## Appendix G: Pre-Event Meeting Sign-In Sheet

Lean Process Improvement Project Sign-In Sheet	
Event:	
Meeting Date:	Place/Room:

Name	Division/Section	Email / Phone #

## Appendix H: Project Chartering Questions

- I. Context
  - a. Describe business issue
  - b. Why is it important to address this issue?
  - c. What is purpose of this project?
  - d. What will be benefit(s) to customers and staff?
  - e. What performance areas need improvement?
  - f. Describe experience in Lean activities (event participation, training, etc.)
  - g. What process/program/customer data or artifacts exist regarding time/cost/quality of current process outcomes?
  
- II. Goals
  - a. What results do you want to achieve?
    - i. Specific
    - ii. Measurable
    - iii. Attainable
    - iv. Relevant
    - v. Time-bounded
  - b. Visualize.
    - i. How much?
    - ii. By when?
    - iii. Impacts
      1. Cost savings
      2. Time savings
      3. Reduction of errors
      4. Customer benefits
      5. Staff benefits
  - c. Note: Do NOT state a solution as a goal!
  
- III. Scope (within Bounds)
  - a. What is first step of process?
  - b. What is last step of process?
  - c. What is program area?
  - d. What is geographic area?
  - e. Note: Be realistic about resources and time limits. Great (Ideal) State could be part of continuous improvement, and be delegated to outside scope of current Lean event.
    - i. Current State to Good (Future) State
    - ii. Good (Future) State to Great (Ideal) State
    - iii. Current State to Great (Ideal) State
  
- IV. Scope (out-of-bounds)
  - a. What is off table due to resource limits?
  - b. What are assumptions for this project?
  - c. Record out-of-scope in parking lot

- V. Customers/Stakeholders
  - a. Who is end-user customer?
  - b. Who are other stakeholders who have a role/interest in success of this project?
  
- VI. Identify Team Members
  - a. Leader
  - b. Core
  - c. Lean event
  - d. IT?
  
- VII. Customer Requirements
  - a. What do customer(s)/stakeholder(s) expect?
  - b. What do customer(s)/stakeholder(s) require?
  - c. What are considered critical requirement(s)?
  - d. What governs current process?
    - i. Legal/Law/Regulation
    - ii. Policy
    - iii. Rule
  
- VII. Successful Vision
  - a. Outcomes
  - b. Results
  - c. Customer
  - d. Stakeholder
  
- VIII. Milestones (PDCA)
  - a. Set project scope and goals by preparing Project Charter, engaging Lean team, and collecting data
  - b. Understand and analyze current situation for root causes
  - c. Define what success looks like
  - d. Create Improvements
    - i. Generate
    - ii. Evaluate
    - iii. Select
  - f. Implement changes and adjust, if necessary
  - g. Measure performance
  - h. Document
    - i. Pertinent work
    - ii. Lessons learned
    - iii. New process workflow (Visio, etc.)
  - i. Sustain/seek continuous improvement

IX. Resources

- a. Anticipated time commitments for a Kaizen event (excluding implementation)

<u>Role</u>	<u>Hours</u>
Sponsor	6-10
Champion	40
Team Members	40
Facilitator	40

- b. Equipment  
c. Materials

## Appendix I: Project Charter Template

### Lean Project Charter Name of Project Report

Date to Date

Location

#### Team Members

Team Sponsor: Name

Team Champion: Name

Facilitators: Name(s)

From Program: Name(s)

Works with Program: Name(s), Title(s), Department(s)

Outside Program: Name(s)

Subject Matter Experts: Name(s)

Outside Stakeholders: e.g. Management, Secretary, Deputy Secretary, Commissioners, Bureau Directors, etc.

#### Opportunity Statement

#### Project Scope

#### Goals

#### Key Performance Indicators

Description	Pre-event Current	Post-event Goal
KPI #1		
KPI #2		
KPI #3		



**Baseline Data**

Identify where baseline data exists

Users:

Current State Steps:

Current State Time:

Current State Costs:

Timeline for Project:

Number of Inputs/Sources:

Other:

## Appendix J: Sample Project Charter

### Lean Project Charter 1111 Permit Process Review

1/10/2017 to 1/13/2017

5th Floor Boardroom, Davis Building

#### Team Members

**Team Sponsor:** Scott Rogers

**Team Champion:** Jim Cota

**Facilitators:** Paul Keegan, Jenn Fitch

**From Program:** Jim Cota, Craig Keller, Shaun Corbett, Theresa Gilman

**Works with Program:** Eric House, Tyler Hanson, Jason Sevigny

**Outside Program:** Marguerite Moore review and question Wednesday over lunch, 1130 - 1230

**Subject Matter Experts:** Legal and IT team review Thursday over lunch, 1130 - 1230

**Outside Stakeholders:** Randy Snelling and Michael Christina are gathering public response to questions.

#### Opportunity Statement

Title 19 of the Vermont State Statute mandates the requirement of an 1111 Permit for use of the right-of-way on either the State or Town highway system for a variety of uses. (See Title 19 Section 1111)

Several VTrans Bureaus work with the Title 19 Section 1111 permit as a means to communicate and control public work requested to be accomplished in the State of Vermont Right-of-Way. This Lean Event will help Permitting Services, Maintenance Operations, Utilities Section and others find efficient best management practices as they work together to approve or deny the permit application; inspect the construction of the permitted work; and sign off on the permit when the work is completed and accepted. This Lean event will also create a future state that will provide our residential public customers opportunity to apply on-line on one well known interactive website that also lists direct phone numbers for questions to the local VTrans District Technician. It also provides public outreach opportunity to find ways to ensure the public understands this permit is required.

#### Project Scope

This project intends to define the entire 1111 Permit process for all units that issue or monitor the 1111 Permit. However, the primary focus will involve Utilities Section, Permitting Services and Districts as they work through this process together. Another major effort is defining the free permit Districts issue. Residential, Farm, Commercial and Utility 1111 permits have similar process phases as described below:

1. Public 1111 permit application is received, clarified and issued or denied
2. Public construction of the project in the State Right-of-Way
3. Final Inspection and acceptance of the work.

Districts currently work through the entire process for “No Fee” single family or farm access requests to include #s 1, 2 and 3 above.

Permitting Services currently work through a more detailed “Fee required” process for all other 1111 permit applications. Once a permit is issued it is turned over to the District to manage the construction, final inspection and final acceptance.

Utilities Section currently works closely with Permitting Services as they work through larger utility relocations mostly relating to Project Delivery Bureau Projects. Much communication with both Resident Engineers and Districts. At this time Districts typically sign off on the final acceptance after the Utilities Section performs final inspection.

**Goals**

Clarify BMPs, roles and responsibilities within VTrans Bureaus working together on public 1111 permit applications.

Ensure Applicants understand and provide all required information on initial applications.

Clearly map every detail of the current state of the District residential and farm permitting process. Provide a bold new future state for residential and farm access permitting that provides significant time savings per permit for District Technicians; a more timely response to the public; ensures Districts apply similar “Special Conditions” based on policy and not personal opinion; ensures Districts organize a more formal final inspection of larger scope 1111 projects with all VTrans personnel involved; public outreach and one interactive website that facilitates electronic signatures.

**Key Performance Indicators**

Description	Pre-event Current	Post-event Goal	
Number of work hours required to approve an 1111 permit application			MATS total hours/number of permits. Make sure techs are utilizing the MATS codes properly. Track from April after MATS training.
Number of staff site visits during average permit process		2	
Number of permits issued			
Number of permits monitored and finalized			
Permit Close-outs (documents in OnBase)			

% complete (# of permits filled out correctly the first time)			Start tracking now to get a better number.
---	--	--	--

**Baseline Data**

Number of permits

<b>Permitting Services</b>	Totals	Issued	Withdrawn	Denied
DTA1	20	18	1	1
DTA2	30	29	1	
DTA3	38	37	1	
DTA4	45	45		
DTA5	117	111	6	
DTA6	7	7		
DTA7	39	37	2	
DTA8	95	85	9	1
DTA9	42	39	3	
Statewide	27	27		
<b>Montpelier - Total</b>	<b>460</b>			
<b>District Offices</b>	Totals	Issued	Withdrawn	Denied
DTA1	18	18		
DTA2	5	5		
DTA3	11	11		
DTA4	5	5		
DTA5	101	100		1
DTA6	1	1		
DTA7	36	36		
DTA8	34	33		1
DTA9	16	16		
Statewide	1	1		
<b>Districts - Total</b>	<b>228</b>			
<b>Combined Total (Permitting Services &amp; DTA Permits)</b>	688			
<b>Right-of-Way</b>	Totals	Issued	Withdrawn	Denied
DTA1	0			
DTA2	2	2		
DTA3	7	7		
DTA4	18	18		
DTA5	5	5		
DTA6	0			
DTA7	1	1		
DTA8	0			
DTA9	1	1		
<b>ROW - Total</b>	<b>34</b>			
<b>Grand Total All Permits</b>	<b>722</b>			

## Appendix K: Schedule Lean Event

### I. Communications

- a. Maintain with Champion/Sponsor throughout pre-event planning
- b. Verify Team Member participation with managers/supervisors
- c. If conflicts notify Lean Program Manager

### II. Reserve Event Facility

Facility	Capacity
VTTC, VTrans Training Center 1716 US Route 302 Berlin, VT Phone: (802) 828-3768	Varies by room
ACCD - Calvin Coolidge	20
ANR - The Catamount N215	20
DMV - MTPL 120 State Lg Conf Rm 316	30
AOT - Davis 5th Floor Board Rm	40
AHS - VDH Burlington 108 Cherry Rm 2B	60
CAPS - Center for Achievement in Public Service 120 State Street Montpelier, VT Phone: (802) 828-2751	Varies by room
Statehouse Lawn	200

### III. RSVP

- a. Distribute event agenda and Project Charter (as .pdf files)
- b. Invite IT support as required for duration of event
- c. Invite internal and external customers, stakeholders, and subject matter experts; and executive management between Current and Good (Future) State tasks, for daily report-outs, and as needed.
- d. Invite all for Team final presentation

## Appendix L: Flip Charts

- Ground Rules
- Parking Lot
- Who is the Customer?
- Team Members
- “Just-do-it” Tasks
- Fact Finding
- Guest Notes/Feedback
- Improvement Opportunities
- KPI's
- Assumptions
- Constraints
- ELMO

## Appendix M: Event Team Ground Rules

- Leave rank at the door
- Maintain a positive attitude
- Keep an open mind
- Be bold – think outside the box!
- Create a blameless environment
- Practice mutual respect everyday
- Treat others as you want to be treated
- There are no stupid questions
- Understand the process and just do it
- Never leave in silent disagreement
- *Other(s) as determined by Team*

## Appendix N: The Eight Wastes of Lean

Lean is focused on the pursuit of perfection through the systematic, continual identification and elimination of waste. But just what is waste? How do we spot it? How will we know it when we see it?

Non-value added activities are those for which the customer is not willing to pay. Waste within a business process is anything that adds non-value added time and cost to the completion of work.

Lean categorizes all process waste into eight types:

- Defects
- Overproduction
- Waiting
- Non-utilized people
- Transportation
- Inventory
- Motion
- Extra Processing

Remembering that **DOWNTIME** is non-value added helps in remembering the Eight Wastes.

**Defects** are easy to recognize as waste. When someone or something within the process causes an error, we have to spend non-value added time correcting the defect. When you take your car into the shop for service, you expect it to be fixed correctly the first time. Defects not only cause extra expense for the shop when they have to fix it properly (for free) the second time, they cause you (the customer) inconvenience, extra expense, and annoyance taking the car back.

**Overproduction** is producing more items than our customers have ordered, or producing them sooner than ordered. Some companies try to get ahead of the curve and produce finished product in advance, counting on the orders coming in. If they don't, that product often spoils, gets damaged, or becomes obsolete and has to be discarded. Overproduction is harder in direct customer-facing service processes, (you can't answer the phone before it rings) but often happens in supporting or prep functions in service environments.

**Waiting** relates to you, the employee trying to do the work. If the system is down, or just running slow, you have non-value added time waiting for it to respond. If you have to send everything to your supervisor or some committee for approval, you are waiting.

**Non-utilized people** refers to the organization's failure to fully utilize the knowledge, creativity, intelligence, and dedication of all employees. Most all of us have some ideas about how to make things run smoother, or improve service, or be more efficient. Unfortunately, traditionally-managed (command and control) organizations typically fail to tap into this powerful base. They instead rely on managers, or so-called experts, to have all the answers.



**Transportation** is the movement of product through the organization. When a salesperson sends an order to Order Entry, who later passes it along to Production Control and possibly Purchasing, that's transportation. In many administrative environments, we "transport" our products through the process electronically and instantaneously, and it's easy to ignore the waste of transportation. But in most cases when we transfer a piece of work it ends up going into an inventory, which leads us to the next of the Eight Wastes.

**Inventory** is an obvious form of waste. In manufacturing, inventory represents capital (money) that is tied up in materials and therefore not available for investment or other use. Physical inventory sitting around a plant is also subject to damage, decay, theft, loss and other issues. In office and service businesses, inventory is a bit different but we still have the potential for a lot of waste when inventory builds. Imagine a backlog of monthly credit card statements in a financial organization. Delays here lead to customer satisfaction issues as well as impacting cash flow.

**Motion** is similar to transportation but refers to us – the employees – rather than the product. The waste of motion occurs when you have to leave your workstation to retrieve work or supplies or to confer with a peer or leader to gain knowledge needed to complete your task. Many of us have a great deal of motion waste moving back and forth from cubicle to cubicle or conference room to conference room to attend meetings.

**Extra Processing** is "gilding the lily" – doing additional, unnecessary work that our customers don't care about and don't want to pay for. Requiring approvals that aren't really needed is an example of extra processing.

The Eight Wastes, easily remembered through DOWNTIME, all represent significant opportunities to improve our processes, increase customer satisfaction, and reduce costs. Can you think of examples of these in your work processes? What are you going to do about eliminating them?

## Appendix O: Mapping “Sticky Note” Colors and Meanings

**Value Added** – A step which creates value for the customer and brings the final outcome one step closer to completion. Often described as what the customer is willing to pay for. The higher the percentage of value within the process, the better. Denoted by a **green** “sticky note”.

**Non-Value Added but Required** – A step that does not add value but is required for the process to be properly completed. In most cases, these steps are required by law. Denoted by a **yellow** “sticky note”.

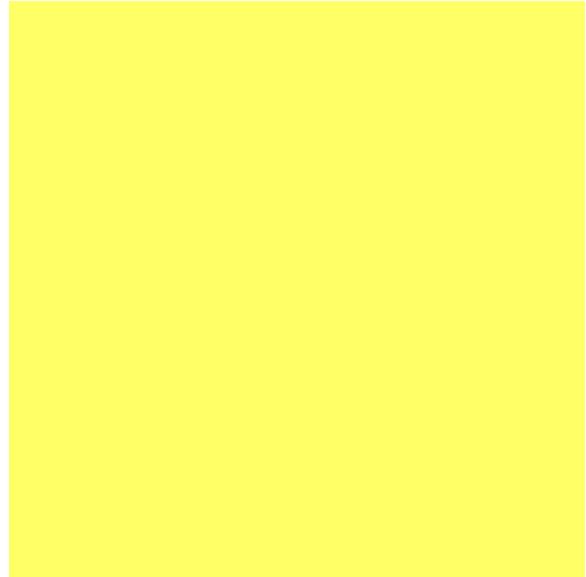
**Non-Value Added** – A step which does not add value to either the customer or the business. Defined as seven wastes (defects, overproduction, waiting, transport, inventory, motion and processing). These steps can be eliminated without affecting cost, quality or service delivery. Denoted as a **red** “sticky note”.

**Business Value Added** – A step which is valued by the business, but not necessarily the customer because it may hinder flow. These steps inherently align with the mission, values, and purpose of the business and its stakeholders. These steps often underpin some higher value function, i.e. providing technical review or ensuring accountability. The team should look for ways to streamline these steps without hindering cost, quality, or service delivery. Denoted by an **orange** “sticky note”.

**Value Added**



**Non-Value Added  
But Required**



**Non-Value Added**



**Business Value  
Added**



## Appendix P: Data Sheet Template

STEP NUMBER:	NAME/DESCRIPTION OF STEP	
A. <b>Process (Touch) Time</b> - The actual work time to complete the task.	Typical:	
	Min:	Max:
B. <b>Lead Time</b> - The time it takes to complete the step: from the end of the previous step to the end of this step - including wait times, setup time, routing time, process (touch) time, and any delays.	Typical:	
	Min:	Max:
C. <b>Complete &amp; Accurate</b> - Estimate the % of time the step is completed correctly the first time. (A low percentage means the work done at this step often requires rework.)		
Value Added (VA) – green dot; Non-Value Added (NVA) – red dot; Non-Value Added But Required (NVAR) – yellow dot ; Business Value Added – orange dot		
Notes:		

## **Appendix Q: End of Day Report-Out**

End of Day Report-Out questions from Sponsor and Executive Staff:

- What did you do today?
- What did you learn?
- What will you accomplish tomorrow?
- What help do you need to move forward and be successful?

## Appendix R: Implementation Check-In Meetings Template

<<Name of Lean Event>>

Implementation Plan

Check-In Meeting Schedule

Hello Team,

The check-in meetings are scheduled. These meetings will occur at <<Building – Room>>. The dates, times, and agenda are provided below. Each upcoming agenda will be updated following each preceding meeting to reflect what has been completed.

Meeting	30-day	60-day	90-day
Date	xx/xx/20xx	xx/xx/20xx	xx/xx/20xx
Time	10:00 - 11:00 am	10:00 - 11:00 am	10:00 - 11:00 am
Day	Wednesday	Tuesday	Tuesday
Agenda	<ul style="list-style-type: none"> <li>• Recap event goals/outcomes</li> <li>• Review Implementation Plan and update accordingly</li> <li>• Discuss next steps and assign action items for next meeting</li> </ul>	<ul style="list-style-type: none"> <li>• Recap event goals/outcomes</li> <li>• Review Implementation Plan and update accordingly</li> </ul>	<ul style="list-style-type: none"> <li>• RFP update</li> <li>• “do it now” updates</li> <li>• Recap event goals/outcomes</li> <li>• Review Implementation Plan and update accordingly</li> </ul>

Meeting	6 month	1 year
Date	xx/xx/20xx	xx/xx/20xx
Time	10:00 - 11:00 am	10:00 - 11:00 am
Day	Tuesday	Wednesday
Agenda	TBD	TBD

The participant list is located at the end of this document. Please add appropriate team members, and their e-mail contact information.

**NOTE:**

***It is vitally important that each team member attend every meeting. Please adjust calendars accordingly. Team members must consult with their supervisors regarding attendance at these meetings. Should a supervisor not allow a team member to attend a particular meeting for non-specific reasons, please contact Champion and Lean Program Manager.***

Thank you!

<<Facilitator>>

<<Job Title and Contact Information>>

<<Participant e-mail List>>

## Appendix S: A-3 Report-Out Poster Template

### SCHEDULE & LOCATION

*Lean Event – Month, days, 20xx  
@ (CAPS, VTTC, other)*

### SPONSOR

Name - Job Title

### I. BACKGROUND & SCOPE

*Insert Team Photo*

### II. CURRENT STATE

*Insert Value Stream  
Map Photo*

### III. OBJECTIVE/GOALS/CONSTRAINTS

### IV. ANALYSIS

*Critical current process metrics*

### V. PROPOSED GOOD (FUTURE) STATE

*Insert Value Stream  
Map Photo*

### VI. PROJECTED RESULTS

*(Sample)*

	<b>Current State</b>	<b>Future State</b>	<b>Improvement %</b>
# of Process Steps	X	X	X
# of Decision Points	X	X	X
# of Loop-Backs	X	X	X
Process Time	X	X	X
Lead Time	X	X	X

#### KEY HIGHLIGHTS:

- Reduced Lead Time
- Reduced Checking and Loopbacks
- Improved Workflow

### VII. IMPLEMENTATION/FOLLOW-UP

*Evaluate the Implementation Plan at scheduled Check-In Meetings:*

*30-day, 60-day, 90-day, 6-month, 12-month*

*Revisit project charter to identify and prioritize follow-up project(s) and event(s). **Promote Continuous Improvement!!!***

### TEAM MEMBERS

**Team:** *(names)*  
**Stakeholders:** *(names)*  
**Facilitator(s):** *(names)*

*Insert Team Photo*