Operational Audit Preparation Checklist

Lean Manufacturing & Shop-Floor Readiness Assessment

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Purpose: This checklist evaluates process stability, waste elimination, quality systems, and shop-floor management before internal auditors or external clients walk the floor. Use it to identify gaps, assign ownership, and drive containment actions ahead of an operational or customer audit.

Facility / Site		**Audit Date**	
Line / Cell		**Prepared By**	

1 Standardized Work & Visual Controls

- ☐ **Standard Operating Procedures (SOPs):** Current work instructions are posted at workstations, visible, and actively followed by operators. — Pass / Action Req'd
- ☐ **Takt Time & Cycle Time Alignment:** Line speeds and target cycle times are visually documented and updated to reflect current demand. — Pass / Action Req'd
- ☐ **5S Standards:** Work areas are free of clutter, tool shadow boards are complete, and aisle ways/ staging areas are clearly color-coded. — Pass / Action Req'd
- ☐ **Visual Management Boards:** Tier 1/Tier 2 boards are up to date with daily metrics (SQDCM) and active action logs. — Pass / Action Req'd

2 Material Flow & Inventory Control

- ☐ **WIP Caps:** Work-in-Process limits are defined, visually demarcated, and respected across all process cells. — Pass / Action Req'd
- ☐ **Kanban & Pull Systems:** Signals (cards, bins, visual lanes) are clearly marked with min/max levels and part numbers. — Pass / Action Req'd
- ☐ **Material Handling & Staging:** Parts staging areas are organized using FIFO (First-In, First-Out) protocols. — Pass / Action Req'd
- ☐ **Scrap & Rework Isolation:** Non-conforming material is immediately segregated into designated, locked, or clearly tagged scrap cages. — Pass / Action Req'd

3 Equipment Reliability & Quality Systems

- [ ] **Autonomous Maintenance (TPM):** Daily operator check-sheets (lubrication, inspection, cleaning) are completed and up to date. — Pass / Action Req'd
- [ ] **Poka-Yoke (Error-Proofing):** Sensor checks, physical stops, and interlocking quality gates are tested and fully functional. — Pass / Action Req'd
- [ ] **Calibration & Gaging:** All measuring devices, torque tools, and inspection equipment display valid, unexpired calibration stickers. — Pass / Action Req'd
- [ ] **Changeover Standard Work (SMED):** Setup tools, dies, and clear stage-by-stage instructions are staged prior to line changes. — Pass / Action Req'd

4 Leadership & Daily Management System (DMS)

- [ ] **Gemba Walk Audits:** Process behavior and layered process audit (LPA) logbooks show active sign-offs by supervisors and managers. — Pass / Action Req'd
- [ ] **Root Cause Problem Solving:** Active line stops or defect events have corresponding 5-Why or A3 documentation attached. — Pass / Action Req'd
- [ ] **Skills Matrix & Cross-Training:** The team capability board reflects current operator certifications for each workstation. — Pass / Action Req'd
- [ ] **Safety & Ergonomic Compliance:** PPE requirements are posted and enforced, and ergonomic risk assessments are documented for high-strain stations. — Pass / Action Req'd

Pre-Audit Walkthrough Scoring Tip

Run a 30-minute mock audit 48 hours prior using a simple binary scale (Pass / Action Required) across these four sections. Any item marked **Action Required** should have an immediate owner assigned for 24-hour containment rather than trying to fix systemic issues on audit morning.

Readiness Scoring Summary

Total Items Passed (out of 16)	Total Action Required	Overall Readiness %	Audit-Ready? (Y/N)

Containment Ownership & Sign-Off

Item # / Section	Owner Assigned	Containment Due Date
Item # / Section	Owner Assigned	Containment Due Date
Reviewed By (Supervisor/Manager)	Signature	Date

For more information, request a consultation at trueleansolutions.ca

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