Tools for EPA Teams:
Responsibilities Chart

The Responsibilities Chart was developed to be used as a tool to allow team members to better understand what is expected of them, to prevent things from slipping through the cracks, and to designate the appropriate responsibility and authority to get the job done. It delineates who on the team is responsible for completion of each task in the process. An XL project team should use this chart during its initial team building to think through the tasks required to complete the XL project and to come to agreement on assignments.

Vertically down the left side, the Responsibilities Chart identifies all activities, tasks, and decisions that have to be accomplished for effective operation of the program. Across the top, it lists all of the organizations represented on the EPA XL project team. (It also lists the sponsor, the state and other stakeholders that participate in the XL project development. These are not directly relevant to assigning tasks among the internal EPA XL project team; however, they were retained on this chart to ensure consistency and coordination with the broader stakeholder group.)

In the Responsibilities Chart there is a column for delineating the RAC's responsibilities in a project. The RAC role in XL projects is discussed in general terms in the Manual for EPA Project XL Teams. However, among the RAC, it is the Regional RAC member who is principally accountable to the Administrator for the timely development of projects and resolution of issues. When RAC accountability is indicated in the chart, it is intended to indicate shared RAC accountability for key decisions, but assumes that the Regional RAC member is responsible for making sure that the decisions/actions are being made/taken.

The squares formed by the grid are where the assignments are indicated. There are four types of assignments that can be given:

Responsible: The person who is responsible for the implementation of that task.
Accountable: The person who is ultimately accountable and has decision-making authority.
Consulted: The person(s) who must be consulted before an action is taken. This is a two-way communication.
Informed: The person(s) who needs to be informed that a decision or action is being taken. This is a one-way communication

The Responsibilities Chart is a participative tool to clarify the roles and responsibilities of key players in relation to each function. Its real value comes when a team uses it to streamline team activities. The Chart's specificity should allow individuals to take themselves out of certain processes with the knowledge that they will not be left out of ones that are important to them.

When your XL project team is developing its Responsibilities Chart, you should carefully consider where you best fit in the process. For example, your team has every right to expect full attendance at meetings by anyone who is regularly consulted. If your office has only one significant area of concern, you may want to consider whether you would rather be "informed" more of the time.

Legend

OR- Office of Reinvention
RAC- Reinvention Action Council
OECA- Office of Compliance Assurance
OGC- Office of General Council

Activity	Project lead		RAC	OECA	OGC	Program Office	Sponsor	State	Stakeholders
	OR	Region							
1.0 Pre-proposal									
1.1 Sponsor-EPA informal dialogue	C	C					R/A		
1.1.1 EPA provides sponsor with process package including all guidebooks	A	R				I			
1.1.2 Sponsor develops/outlines project concept using guides	C	C					R/A	C	I
1.1.3 EPA notifies sponsor if concept should be developed as proposal	A	R	I	C	C	C	I	I	I
2.0 Proposal Development									
2.1 Sponsor should initiate stakeholder contact as appropriate according to Stakeholder Guide	C	C					R/A	C	C
2.2 Sponsor submits initial concept	C	C					R/A	I	I
2.3 Sponsor contacts State, if it hasn't happened already (concurrent with 2.2)	C	C					R/A	C	C (If nucleus formed)
2.4 EPA Team established	R	R	A	C	C	C	I	I	I

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2.4.a Program Offices make a determination as to whether or not they are going to participate on the team	I	I	I	C	C	R/A			
2.4.b Program Offices need to be clear on who the final decision-maker is going to be	I	I	I	R	R	R/A			
2.4.1 Orient XL Team members to the relevance of XL. EPA Team building exercise (see 2.4.1.1-2.4.1.4)	A	R		C	C	C	I	C	C
2.4.1.1 Review the desired output & performance standards with the XL Team.									
2.4.1.1.a Team decides RACI	A	R	I	C	C	C	C	C	C
2.4.1.1.b Team decides schedule	A	R	C	C	C	C	C	C	I
2.4.1.1.c Team decides other communication and coordination logistics (e.g., meeting schedule)	A	R		C	C	C	C	C	I
2.4.1.2 Ensure that adequate resources are available to meet schedules and produce deliverables.	R	R	A						

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2.4.1.3 Provide XL Team with appropriate training (e.g., the negotiation skills and team building training).	A	R		C	C	C	I	C	C
2.5 EPA meets with sponsor and with stakeholder representatives, as appropriate.	R	R/A				C	C	C	C
2.6 EPA team guides sponsor in the development of a complete proposal package using Best Practices Guide (during this step, EPA is responsible for determining information needs and requesting them from sponsor. EPA should strive to do this only once and should prioritize requests.)	R	R	A			C			C
2.7 Ensure timely EPA review of draft proposal.	A	R		R	R	R	I	C	I
2.7.1 EPA informs sponsor when proposal is okay for official submission	A	R	I/C	I	I	C	I	I	I
2.8 EPA sets up and maintains the administrative record for the XL proposal/project.	C	R/A	I	I	I	I	C	I	I

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2.9 EPA sets up and maintains the web site for the XL proposal/project	R/A	C	I	I	I	I	C	I	I
3.0 EPA and State Proposal Review									
3.1 Sponsor submits formal XL proposal to EPA	I	I	I	I	I	I	R/A	I	C
3.2 Sponsor submits formal XL proposal to State	I	I					R/A		
3.3 EPA, state, initiates enforcement screen (concurrent with 3.1).	R	I		A	C				
3.3.1 EPA, state, evaluates enforcement screen results	R	R		A	C		C	C	
3.4 EPA team reviews XL proposal	R/A	R		C	C	C	I	C	C
3.4.1 Draft time line and project summary	R	R/C	A		I	C	C	C	C
3.4.1 Send out proposal, time line and project summary (same as 2.4 or 2.9 and 2.10)	C	R/A	I	C	C	C			

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3.4.2 EPA staff reviews package	A	R			R	R		C	
3.4.2 .1 Staff brief RAC on proposal and significant issues	R	C	C	C	C	A			
3.4.2..2 RAC determines need for involvement			A			R			
3.4.3 EPA determines if proposal is complete. Refer to Best Practices Guidelines	A	R		C	C	C	I	I	I
3.4.3.1 EPA provides guidance to sponsor and stakeholder on proposal needs	R	A				R/A	R	C	C
3.4.3.2 Write letter to sponsor (within two weeks of distribution) indicating proposal is complete or asking for more info	R	R	A	C	C	C	C	C	C
3.4.3.3 EPA Team resolves issues using decision-making protocol (if necessary)	R	R	A	C	C	C	R	C	C
3.5 EPA checks to ensure sponsor has taken appropriate stakeholder process steps	R	R	A			I	C	I	C

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3.6 Using the Decision Protocol, the team develops its selection or non-selection recommendation and any issues discussion	R	C	A	C	C	C	I	C	C
3.6.1 Send draft recommendation out to EPA Team for comment, and brief RAC members	R	I	A	I	I	I			
3.6.1.a Decision must reflect 1) common understanding of proposal, 2) common understanding of issues raised and possible resolution, 3) analysis of how proposed project would address all XL criteria, and 4) assessment of what EPA would learn by conducting this experiment.									
3.6.2 RAC members individually briefed/consulted by their XL team members									
3.6.3 Questions from the RAC? If so, meet with relevant RAC members			R/A						
3.6.3.1 Identify and summarize RAC concerns	A	C	R	C	C	R			

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3.6.3.1 Notify team members of concerns	R / A	I	C	C	C	C			
3.6.3.1 Address concerns	R	R			R	R	C		
3.6.3.1 Summarize response	R	C			C	C	I		
3.6.3.2 Draft selection letter	R	R/A	I	C	C	C	I	I	
3.6.3.3 RACs Review and sign letter (should be concurrent review with 3.6.2)	R	R	A	C	C	R	I	I	
3.6.4 Deputy Administrator decision briefing, if necessary	R								
3.6.5 DA selection decision									
3.6.5.1 Inform OR RAC rep of outcome	R								
3.6.5.2 OR sends transmittal memo to RA	R	I	I	I	I	I			
3.7 Selection (or non-selection) letter from RA is sent to sponsor/stakeholders.	C	R	A	C	C	C	I	I	I
4.0 FPA Development									
4.1 FPA kick-off meeting with all participants	C	R	I	C	C	C	R/A	C	C

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4.1.2 All participants make decision regarding whether there is a significant change in project scope, circumstances, or stakeholders	C	R/A	I			C	A	C	C
4.1.3 EPA makes sure all participants have XL process package, including Stakeholder's Guide, FPA Guides, etc.	A	R		I	I	I	I	I	I
4.2 All participants develop FPA and legal mechanisms	R	R	I	C	C	C	R/A	R	C
4.3 RAC concurrences on final FPA sought	C	A	C	C	C	C			
4.4 Publish FR notice containing FPA and legal mechanism	R/A	R	A	I	I	I	I	I	I
4.5 EPA responds to public comments in consultation with all participants	R	R	A	C	A	A	C	R	C
4.6 Final site-specific rule is issued	A	R	A	I	I	I	I	I	I
4.7 Signing ceremony	R	R	A	C	I	I	R	R	I