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Roles & Responsibilities Clarification Process (RACI)



Objectives

- To understand the need for and ultimately the benefits of having clearly defined roles and responsibilities
- To be able to analyze and develop an effective RACI chart



Unclear Roles And Responsibilities Result In Comments Like These ...

- “My boss always overrules my decisions whenever she wants”
- “The approval process for even the simplest item takes so long today”
- “It seems every department has someone putting together a spreadsheet on the same data”
- “Things are always slipping through the cracks”
- “I have the responsibility, but not the authority, to get the job done”



With Clear Roles And Responsibilities, We Should Expect To See ...

- Increased productivity through well defined accountability
- Increased capacity by eliminating overlaps and redundancies
- Eliminated misunderstandings; teamwork encouraged
 - Individual expectations
 - Defined and documented interfaces between individuals
- Streamlined work processes by eliminating unneeded interfaces and placement of accountability where it belongs
- Improved organization effectiveness results by allowing disciplines to cooperate and share responsibility
- Improved planning process and more participation of team members as a result of building in communication interfaces
- Reduced levels of approval

Clear roles and responsibilities can be identified through RACI charting.

So What Is RACI Charting?

- A systematic and participative technique to:
 - Identify all functions (activities, tasks, and decisions) that have to be accomplished for effective operation
 - Clarify roles and individual levels of participation in relation to each of these functions
 - Develop best methods for individuals to fill these roles

Participant Roles

	<i>R₁</i>	<i>R₂</i>	<i>R₃</i>	<i>R₄</i>	<i>R₅</i>	<i>R₆</i>	
<i>T₁</i>	A		R	R		C	R esponsible
<i>T₂</i>	A	R		C		I	A ccountable
<i>T₃</i>	I	A		R		R	C onsulted
<i>T₄</i>	R		C	A	I		I nformed
<i>T₅</i>	A		R		I		

Activities (or Tasks)/ Decisions

RACI provides lots of information in a very simple format.



Type/Degree of Participation Can Be Defined

Responsible “Doer”

Individual(s) who perform an activity—responsible for action/implementation. The degree of responsibility is defined by the accountable person. R’s can be shared.

Accountable “Buck Stops Here”

The individual who is ultimately accountable includes yes/no and power of veto. Only one “A” can be assigned to an activity/decision.

Consulted “In the Loop”

The individual(s) to be consulted prior to a final decision or action is taken. Two-way communication.

Informed “FYI”

The individual(s) who needs to be informed after a decision or action is taken. One-way communication.



The RACI Tool Is Simple; the RACI Process Is More Complex

- Developing RACI charts surfaces many organizational issues because it reconciles the three elements of roles and responsibilities:
 - **Role Conception:** what people think their jobs are and how they have been trained to perform them
 - **Role Expectation:** what others in the organization think another person's job function is and how it should be carried out
 - **Role Behavior:** what people actually do in carrying out their job responsibilities

Developing RACI charts is often an emotional process.



When Should a RACI Be Done?

- Undefined/unclear accountabilities of individuals or departments
- Redundancies or work not being accomplished
- Work delayed or incomplete
- Inadequate communication and/or coordination
- Approval/decision-making roles unclear
- Multiple decision points
- Infighting and finger-pointing
- Tasks being performed/decisions made at wrong levels
- Inability to manage interfaces



Common RACI-appropriate Situations

- Workload analysis:
 - Underloads or overloads against individuals and departments can be identified quickly.
- Re-organization:
 - Ensures that key functions and processes are not overlooked.
- Employee turnover:
 - Allows newcomers to rapidly identify their roles and responsibilities and also allows duties to be redistributed into other areas . . . an excellent education tool.
 - Project management: allows for flexibility in matrix management situations while ensuring the right balance between line and project accountabilities.
 - Conflict resolution: gives a forum for discussion and resolving interdepartmental conflict, thus improving teamwork.
- Documentation of procedures:
 - The output from RACI is a simple yet powerful method of documenting and communicating roles and responsibilities.



A Five-Step RACI Process

- Step 1 Determine the activities/decisions and organizational levels to be included

- Step 2 Prepare a list of participants and their representative roles

- Step 3 Develop an initial RACI chart, supported by the activities and tasks defined in the relevant as-is or to-be process flow

- Step 4 Conduct horizontal and vertical analysis of the RACI chart (described below) for validation

- Step 5 Get feedback and buy-in;



Step 1: Determine The Activities/Decisions

What Are They?

- Identifiable
- Controllable
- Practical

Sources for Identification

- “As-Is” or “To-Be” brown papers
- Work reference model
- Functional decomposition
- Interviews
- Problem solving sessions

Analyzing Them

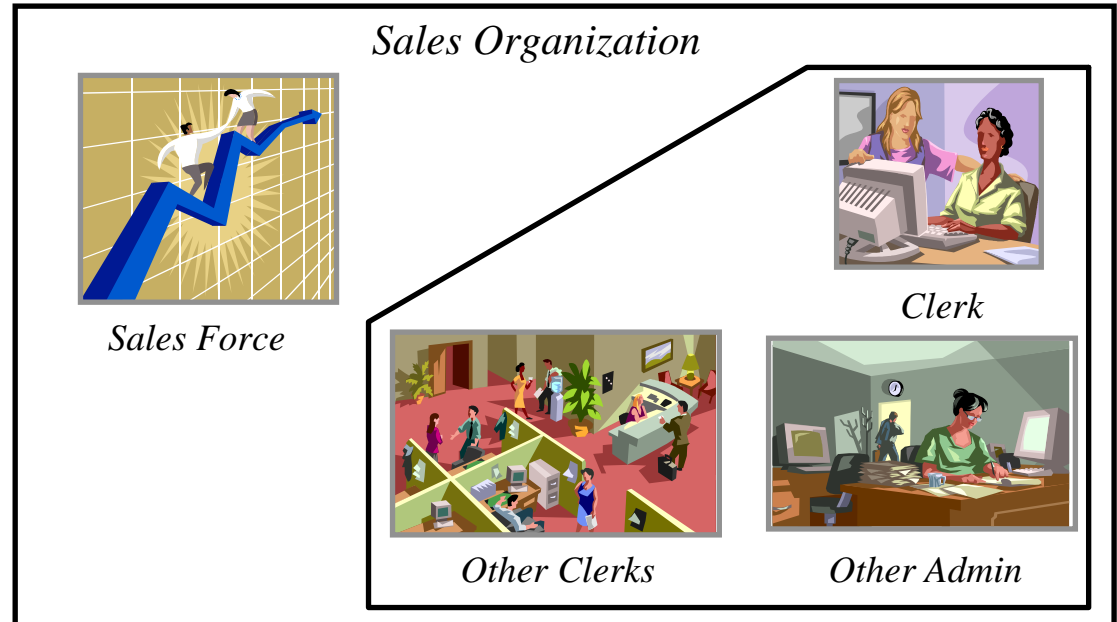
- Should it be performed at all (e.g., value added)?
- What is significant/impact?
- Is it duplicated elsewhere?
- How often is it performed?
- Is it performed at proper skill level?

Guidelines for Developing the Activity or Decision List

- Avoid obvious or generic activities, e.g., “attend meetings”
- Each activity or decisions should begin with a good action verb. Examples:
 - Evaluate Schedule Write
 - Record Determine Operate
 - Monitor Prepare Update
 - Collect Approve Conduct
 - Develop Inspect Train
 - Publish Report Review
 - Authorize Decide Plan
- When the action verb implies a judgment or decision (e.g., evaluate, monitor, inspect, review), add a phrase to indicate the primary outcome. Examples:
 - “Monitor phone service handling of customer requests to identify training needs”
 - “Analyze data to locate source of delay”
- Activities or decisions should be short, concise, and apply to a role or need, not to a specific person

Step 2: Prepare A List Of Participant Roles

- Roles can be individuals, groups, or entire departments



- Can include people outside of the department or even outside the company if appropriate



Step 3: Develop The RACI Chart

Business Process:

- A major process to be analyzed through R&R charting

Functional Role:

- A position assigned or assumed to accomplish an activity or sub-activity

Activity:

- An action or decision that is one of several sequential steps in the completion of a business process. It should always result in a clear output

	A		C		I
R		C	I	C	
		I		R	A
		R		A	
I		A	C		
A	I		R		C
	A	C	R		I



Guidelines For Developing A RACI Chart

- Only do RACI on value-added activities
- Consider the organization's philosophy: autocratic or empowered, flat vs. hierarchical. Remember new culture philosophy when defining roles and responsibilities:
- Remember new culture philosophy when defining roles and responsibilities:
 - Eliminate “checkers checking checkers”
 - Encourage teamwork
 - 100% accuracy not always required
- Place accountability (A) and responsibility (R) at the lowest feasible level. Assign only one accountability (A) per activity or decision; someone must be responsible (R) to do the work.
- Authority over the process or activity must accompany accountability; empower people to act.
- Minimize the number of consultants (C) and informs (I)
- All roles and responsibilities must be documented and communicated; consider the emotional aspects of documentation, including job justification and the role an individual plays beyond the activity and RACI.

Region Employee Expense Statement Processing (Sample)

<i>Activities</i>	<i>Participant Role</i>					
	<i>Employee</i>	<i>Secretary</i>	<i>Supervisor</i>	<i>Region Accounting</i>	<i>General Accounting</i>	
1. Document expenses	AR					
2. Complete expense account form	AR	R		C		
3. Forward to supervisor	A	R				
4. Review	C		AR			
5. Approve	I		AR			
6. Forward to region accounting		R	A			
7. Classify expenses	C			AR		
8. Audit				AR		
9. Determine payment type	C				AR	

Step 4: Chart Analysis And Review

Vertical Analysis

- Lots of R's
- No empty spaces
- No R's or A's
- Too many A's
- Qualifications

Participant Roles

		A		C		I
	R		C	I	C	
		C	I		R	A
			R		A	
	I		A	C		
	A	I		R		C

Following the coding process, the team should review how the charts look both vertically and horizontally

Vertical Analysis

<u><i>If You Find ...</i></u>	<u><i>... Then Ask ...</i></u>
Lots of R's	Can or need the individual(s) stay on top of so much? Can decisions be made efficiently with so many participants?
No empty spaces	Does the functional role need to be involved in so many activities? Could management by exception principles be used, perhaps reducing C's to I's?
No R's or A's	Should this functional role be eliminated from the process?
Too many A's	Does a proper segregation of duties exist? Should other groups be accountable for some of these activities to ensure checks and balances and accurate decision-making throughout the process?
Qualifications	Does the participation code fit the qualifications of the functional role?

Chart Analysis And Review

Horizontal Analysis

- No/too many R's
- No/too many A's
- Too few A's/R's
- Every box filled in
- Lots of C's
- Lots of I's

Participant Roles

			A		C		I
		R		C	I	C	
			C	I		R	A
				R		A	
		I		A	C		

Activities, Tasks, Decisions

Horizontal Analysis

<i><u>If You Find ...</u></i>	<i><u>... Then Ask ...</u></i>
No R's	Is the job getting done? Some roles may be waiting to approve, be consulted, or informed. No one sees their role to take the initiative. Is this activity value added? If so, who should take the initiative?
Too many R's	Is this a sign of "over the wall" activities? "Just get it off my desk ASAP!"
No A's	Why not? "Who benefits from this activity and why is it done? There must be an "A," and it should be pushed down to the most appropriate level.
Too many A's	Is there confusion? "I thought you had it!" It also creates confusion because every person with an "A" has a different view of how it is or should be done.
Too few A's and R's	The process must slow down while the activity is performed on an "ad hoc" basis. Or the procedure may be outdated and can be streamlined if not needed.
Lots of C's	Do all the functional roles really need to be consulted? Are there justifiable benefits in consulting all the roles?
Lots of I's	Do all the roles need to be routinely informed or only in exceptional circumstances?
Every box filled in	They shouldn't be. If they are, too many people are involved — usually too many "C's" and "I's."



Step 5: Get Feedback Buy-In

- The RACI chart is shown to representative groups of people covering the roles on the chart
- Their builds are captured and the chart is revised as appropriate
- The RACI may be validated in conjunction with other related initiatives

Skills Helpful in Developing RACI Charts

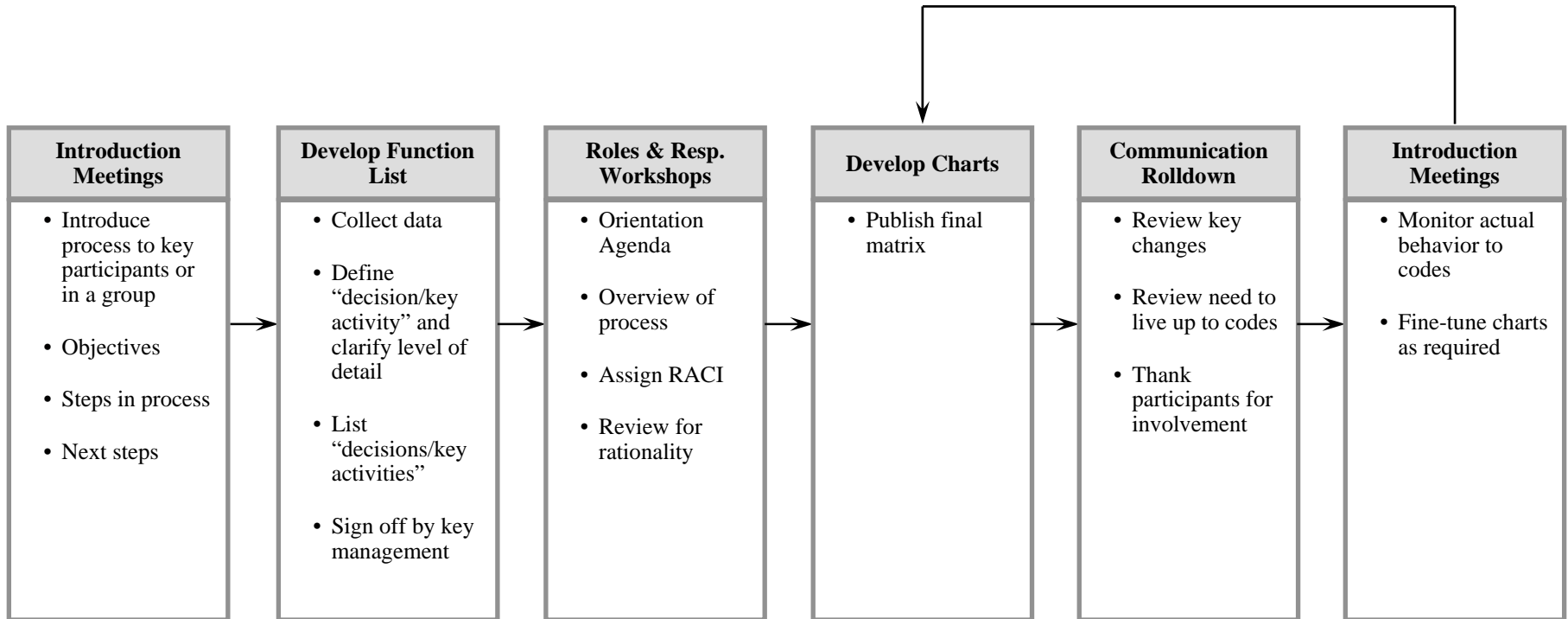
- Exceptional facilitation/team building skills
- Win/win conflict resolution
- Clear understanding of RACI
- Understanding of organization design concepts
- Evaluation and measurement skills
- Work process simplification



Some Keys to Remember during RACI Development Session

- Have two (2) facilitators in the session when the facilitator is not an “expert” in RACI
- Start out with the “To Be” or “As Is” model
- Have a representative from each of the major functions that participate in the process
- Reach consensus on all “A”ccountabilities and most “R”esponsibilities (this may mean giving them a definition of consensus: “I can live with that ...”)
- Establish agreement (at executive level) on the desired culture or direction for the company
- Allow for people to have one-on-one opportunities to discuss accountabilities and responsibilities
- Schedule a follow-up session for one half day to work out some of the details and exceptions that arise

The RACI Charting Process Flowchart



Facilitator's Guide To RACI Process Implementation

Introduction Meetings	Develop Decision/Activity List	RACI Charting Workshops	Develop Matrices	Roll-down/Communication	Follow-Up
<ul style="list-style-type: none"> • Identify business needs • Theory, purpose, how RACI Charting works • Decide how to develop decision/activity lists • Time commitment required • Plan who should participate in: <ul style="list-style-type: none"> - Decision/activity list development - Workshops • Agree on code definitions • Owner writes letter to participants • Establish implementation dates 	<ul style="list-style-type: none"> • Select method to solicit input (one-to-one or group) • Develop structured interview (if appropriate) <p><i>Alternatives</i></p> <ul style="list-style-type: none"> • Brainstorm • Nominal group 	<ul style="list-style-type: none"> • Workshop logistics: <ul style="list-style-type: none"> - Room arrangements - Large matrices - Finalize function list - Small matrices - Arrange for typist • Develop agenda and meeting process • Pre-workshop meeting with owner - discuss role, kick-off speech • Conduct workshops • Determine need for additional workshops 	<ul style="list-style-type: none"> • Input data in PC (if applicable) • Publish final material • Publish all backup material (i.e., history of process) 	<ul style="list-style-type: none"> • Determine roll-down process: one-to-one, small groups, or total department • Select media and print materials 	<ul style="list-style-type: none"> • Implement procedure to assess compliance with charts • Implement procedure to regularly review need to modify matrices based on experience • Implement RACI Evaluation at one, three months, etc., as required

Appendix

Sample RACIs — what's wrong with them?

What Is Wrong With This Picture?

	<i>VP Manufacturing</i>	<i>Manufacturing Supt.</i>	<i>Supervisor</i>	<i>Maintenance Supt.</i>	<i>VP Quality</i>	<i>HR Manager</i>	<i>Engineer for Unit</i>	<i>Operator</i>	<i>Mechanic</i>	<i>Sales & Marketing Manager</i>	<i>Other</i>
1. Value Added Task #1	C	I	A	I	I	I	R	A	A/R	C/I	
2. Value Added Task #2	C/I	C/I	I	A	I	I	R	R	R	C	
3. Value Added Task #3	I	I	A/R	A	C	C	R	C	C	I	
4. Value Added Task #4	C/I	C	I	I	A/R	A/R	I	I	I	I	
5. Value Added Task #5	C/I	C/I	C/I	C/I	C/I	C/I	A/R	C/I	R	C/I	

How About This Picture?

	<i>VP Manufacturing</i>	<i>Manufacturing Supt.</i>	<i>Supervisor</i>	<i>Maintenance Supt.</i>	<i>VP Quality</i>	<i>HR Manager</i>	<i>Engineer for Unit</i>	<i>Operator</i>	<i>Mechanic</i>	<i>Sales & Marketing Manager</i>	<i>Other</i>
1. Value Added Task #1	A	C	C	C	I				R		
2. Value Added Task #2	A	C	C	C	I			R		C	
3. Value Added Task #3	A	C	C	C	I		R			C	I: Purch. Supt.
4. Value Added Task #4	A	C	C	C	I			R		C	
5. Value Added Task #5	A	C	C	C	I			I		C	I: Engin. Supt.

And This Picture?

	<i>VP Manufacturing</i>	<i>Manufacturing Supt.</i>	<i>Supervisor</i>	<i>Maintenance Supt.</i>	<i>VP Quality</i>	<i>HR Manager</i>	<i>Engineer for Unit</i>	<i>Operator</i>	<i>Mechanic</i>	<i>Sales & Marketing Manager</i>	<i>Other</i>
1. Conducting customer visits		C	R		I						R: QC Rep
2. Scheduling customer visits		I	I		I					C	A: QC Rep R: Secret'y
3. Arranging logistics for customer visits		I	I		I					C	A: QC Rep R: Secret'y
4. Picking up customer at the airport		I	I		I					C	A/R QC Rep
5. Showing the customer the coffee machine		I	I		I					C	A: QC Rep R: Secret'y