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Subject Area: **Issue and Decision Paper (I&DP)**

### Contents: Issue and Decision Paper (I&DP)

Effective Date: **September 2001**

Point of Contact: [SBMS Manager](#)

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<a href="#">2. Developing and Submitting an SBMS Issue and Decision Paper</a>	<ul style="list-style-type: none"> <li>• Develop draft I&amp;DP.</li> <li>• Submit it to SBMS Office.</li> <li>• Present it to SBMS Steering Committee.</li> <li>• Upon verbal approval, sign and forward I&amp;DP for distribution and filing.</li> </ul>
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## Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area does not contain reporting obligations.

## References

## REFERENCES

[Laboratory-wide Procedures and Guidelines](#) Subject Area

## Standards of Performance

Managers shall ensure that scopes of work properly consider all elements of the Laboratory's operational priorities.

Managers shall review proposals before submitting them to the customer and before initiating work to ensure that risks are identified, evaluated, and accepted before deciding to undertake the work.

## Management System

This subject area belongs to the management system.

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Subject Area: **Issue and Decision Paper (I&DP)**

### Introduction: Issue and Decision Paper (I&DP)

Effective Date: **September 2001**

Point of Contact: [Issue and Decision Paper POC](#)

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This subject area describes the procedures and guidelines for formalizing and bringing to closure important management decisions. It defines the process for providing the Director with sufficient information to conclude important cross-cutting management issues. Most of the situations that meet the cross-cutting criteria are in the support areas of the Laboratory, although use of the [Issue and Decision Paper \(I&DP\)](#) to document the process is not limited solely to operations.

For new, or significantly revised subject areas, changes to policy, standards of performance, and other aspects of SBMS, an [SBMS Issue and Decision Paper \(I&DP\)](#) is used. It is used to document the implications or benefits associated with their implementation. Instead of a concurrence sheet, the [Approval Form](#) in the [Laboratory-wide Procedures and Guidelines](#) Subject Area is used. This form is signed by the Management System Steward, indicating approval to publish.

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Subject Area: **Issue and Decision Paper (I&DP)**

## 1. Developing and Submitting an Issue and Decision Paper

Effective Date: **September 2001**

Point of Contact: [Issue and Decision Paper POC](#)

## Applicability

This information applies to all staff who develop, review, and approve an Issue and Decision Paper (I&DP).

## Required Procedure

The originator develops a draft using the [Issue and Decision Paper \(I&DP\)](#) exhibit.

<b>Step 1</b>	Develop a concise statement of the decision being sought.
<b>Step 2</b>	Ensure background information contains details of the issue (or actions taken previously that have resulted in a situation) that demands a decision. It should also explore factors that help or hinder the decision.
<b>Step 3</b>	List options with supporting details from which the decision-maker may choose.  <b>Note:</b> These options should be viable alternatives (unless there are no possible alternatives). Authors should avoid options that have the flavor of (a) Do it my way or (b) Continue on the present hopeless path.
<b>Step 4</b>	Indicate how the proposed action aligns with or potentially affects the Critical Outcomes, Objectives, and Performance Measures. Particular attention should be given to the impact on critical outcome performance measures, when the I&DP could result in redirecting significant Laboratory resources. If appropriate, the need to revise a performance measure should be addressed as part of implementing the I&DP.
<b>Step 5</b>	Include additional details that bear on the decision as attachments (for clarifying the issue and as a basis for decision-making). Examples are committee recommendations to be implemented through the I&DP process, budget and resource requirements with an identified funding source, if possible, and implementation schedules.
<b>Step 6</b>	Complete the submittal signature and concurrence blocks when the decision requires concurrence by one or more individuals, or when <ul style="list-style-type: none"> <li>• There are budget implications that require the Budget Office to identify and/or encumber funds;</li> <li>• There are impacts to the environment;</li> <li>• There is a potential increase in a waste stream; or</li> <li>• There is potential to change the Laboratory's Environmental Management System (ISO 14001);</li> <li>• Other potential issues may adversely affect ESH or operations.</li> </ul>

	<p>Concurrence is not optional. The originator must indicate in concurrence blocks who has reviewed and approved the I&amp;DP.</p> <p><b>Note:</b> Inserting a name in a concurrence block means that the individual has certified approval of the draft.</p> <p>The originator of the I&amp;DP seeks input from internal stakeholders, such as Department Chairs/Division Managers, the Budget Office, and Environmental Services Division.</p>
<b>Step 7</b>	<p>Submit draft I&amp;DPs to <a href="mailto:IDP@bnl.gov">IDP@bnl.gov</a> at least two weeks before presentation at a Policy Council meeting.</p> <p>There may be situations in which an Issue and Decision Paper (I&amp;DP) does not require review by the Policy Council. In such cases, a Deputy Director, or Associate or Assistant Laboratory Director submits the I&amp;DP electronically, including relevant back-up material as attachments (1,2,3, etc.), to <a href="mailto:IDP@bnl.gov">IDP@bnl.gov</a>. Indicate that review by the Policy Council is not required and request that a "Record Copy" be produced and submitted to the Laboratory Director for a decision.</p>
<b>Step 8</b>	<p>The Policy Council reviews the I&amp;DP and submits comments and recommendations to the Laboratory Director, with carbon copies to the Deputy Director for Operations and <a href="mailto:IDP@bnl.gov">IDP@bnl.gov</a>. The council has one week to review. Review of the I&amp;DP should include the following:</p> <ul style="list-style-type: none"> <li>• Does the issue statement clearly define the issue?</li> <li>• Does the discussion encompass the details of the problem, or is it possibly a symptom of a deeper problem?</li> <li>• In a review of the background and discussion of the issue, are the options as presented reasonable and comprehensive, or are there other options that should be considered?</li> <li>• Are the budget implications, resource requirements, and implementation schedules well-defined and thorough?</li> </ul>
<b>Step 9</b>	<p>After the comment period, the originator notifies <a href="mailto:IDP@bnl.gov">IDP@bnl.gov</a>, indicating</p> <ul style="list-style-type: none"> <li>• The I&amp;DP is ready for discussion at the next regularly scheduled Policy Council meeting;</li> <li>• The name of the individual presenting the I&amp;DP (must be approved by a relevant Associate/Assistant Laboratory Director);</li> <li>• How much time will be required on the agenda.</li> </ul>
<b>Step 10</b>	<p>The originator presents the draft I&amp;DP to the Policy Council in as complete a form as possible, particularly for budget and implementation schedules.</p>

	<p><b>Note:</b> The Budget Office should attach a proposal of where funding should come from if no other entity has made such a proposal.</p>
<b>Step 11</b>	<p>The Laboratory Director decides at the Policy Council meeting whether to</p> <ul style="list-style-type: none"><li>• Reject the I&amp;DP as inappropriate for this process;</li><li>• Return the I&amp;DP to the originator for further development; or</li><li>• Give verbal approval of one of the options, or a modification of same.</li></ul> <p>See the <a href="#">Decision-making Process</a> exhibit for information on the Director's choices for making decisions.</p> <p>When the Laboratory Director gives verbal approval, the Issue and Decision POC produces a "Record Copy" with an assigned sequential tracking number, and forwards the I&amp;DP to the Director for signature.</p>

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Subject Area: **Issue and Decision Paper (I&DP)**

## 2. Developing and Submitting an SBMS Issue and Decision Paper

Effective Date: **September 2001**

Point of Contact: [SBMS Manager](#)

## Applicability

This information applies to management system stewards, management system points of contact (POCs), and others who develop an SBMS Issue and Decision Paper (I&DP) for submittal to the SBMS Steering Committee.

## Required Procedure

The originator develops a draft using the [SBMS Issue and Decision Paper \(I&DP\)](#) exhibit.

Before the SBMS Office can accept the SBMS I&DP, the

- New subject area, or major revision to a subject area must be completed;
- [Approval Form](#) must be signed and submitted to the SBMS Office. See the [Laboratory-wide Procedures and Guidelines](#) Subject Area for information on developing and revising SBMS documents.

The SBMS I&DP must be submitted to the SBMS Office at least one week before the SBMS Steering Committee meeting. The SBMS I&DP will not move forward if the following steps have not been completed.

<b>Step 1</b>	Develop a concise statement of the decision being sought.
<b>Step 2</b>	List the team members involved in developing or revising the subject area.
<b>Step 3</b>	Ensure background information contains details of the issue (or actions taken previously that have resulted in a situation) that demands a decision. It should also explore factors that help or hinder the decision.
<b>Step 4</b>	Indicate how the proposed action aligns with or potentially affects the Critical Outcomes, Laboratory Commitments, or other impacts. Particular attention should be given to the impact on critical outcome performance measures, when the I&DP could result in redirecting significant Laboratory resources. If appropriate, the need to revise a performance measure should be addressed as part of implementing the I&DP.
<b>Step 5</b>	Discuss implementation costs and milestones.
<b>Step 6</b>	Include additional details that bear on the decision as attachments (for clarifying the issue and as a basis for decision-making). Examples are committee recommendations to be implemented

	a basis for decision making. Examples are committee recommendations to be implemented through the I&DP process, budget and resource requirements, with an identified funding source, if possible, and implementation schedules.
<b>Step 7</b>	Seek input from internal stakeholders, i.e., team members, Department Chairs/Division Managers, and the SBMS Office.
<b>Step 8</b>	Submit draft I&DP to the SBMS Office.
<b>Step 9</b>	The originator, management system POC, or management system steward presents the draft I&DP to the SBMS Steering Committee in as complete a form as possible, particularly for budget and implementation schedules.  <b>Note:</b> A five to fifteen minute presentation should be prepared based on the complexity of the subject.
<b>Step 10</b>	The SBMS Steering Committee Chair decides at the SBMS Steering Committee meeting whether to <ul style="list-style-type: none"> <li>• Reject the I&amp;DP as incomplete for this process;</li> <li>• Return the I&amp;DP to the originator for further development; or</li> <li>• Give verbal approval of the I&amp;DP, or a modification of the same.</li> </ul> See the <a href="#">Decision-making Process</a> exhibit for information on the Director's choices for making decisions.
<b>Step 11</b>	Upon verbal approval of the I&DP, the SBMS Manager sends the I&DP to <a href="mailto:IDP@bnl.gov">IDP@bnl.gov</a> , who produces a "Record Copy" with an assigned sequential tracking number.  The SBMS Steering Committee Chair signs and forwards the I&DP to the Director's Office for distribution and filing.

## Guidelines

The originator should notify the SBMS Manager that the Approval Form has been signed and submitted to the SBMS Office.

## References

[Laboratory-wide Procedures and Guidelines](#) Subject Area

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Subject Area: **Issue and Decision Paper (I&DP)**

### 3. Process for Closure of Records of Decision

Effective Date: **September 2001**

Point of Contact: [Issue and Decision Paper POC](#)

## Applicability

This information applies to the Issue and Decision Paper (I&DP) Subject Area Point of Contact (POC), who ensures the Director's decision is recorded.

## Required Procedure

The process for closure of Records of Decision requires the Director to indicate a decision in writing on the "Record Copy" of the Issue and Decision Paper (I&DP).

<b>Step 1</b>	The Director signs and dates the I&DP and gives directions for promulgation.
<b>Step 2</b>	<p>The I&amp;DP Administrator</p> <ul style="list-style-type: none"> <li>• Logs, files, and promulgates the signed "Record Copy" of the I&amp;DP;</li> <li>• Sends approved I&amp;Ds electronically to all Policy Council members and Level 2 Managers.</li> </ul> <p><b>Note:</b> The original, signed I&amp;DP "Record Copy" and all back-up material are filed in the Director's Office for future reference.</p>

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Subject Area: **Issue and Decision Paper (I&DP)**

## Decision-making Process

Effective Date: **September 2001**  
Point of Contact: [SBMS Manager](#)

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The Laboratory Director's decision must be recorded on every Issue and Decision Paper (I&DP) submitted. The Director's choices for decision include the following:

- **Approval of one (or a combination) of the options** in the I&DP, without further consultation, and without requiring discussion before the Policy Council. The Director specifies the method for promulgating the decision.
- **Further discussion is needed with the Management Council before decision.** Director specifies placing the I&DP on the agenda of the next Policy Council meeting.
- **Revision and resubmittal of the I&DP** for clarifying the issue, revised/expanded arguments, additional options, identifying potential funding, discussion with additional individuals, and expanded background material. The Director specifies individual(s) or group(s) to revise the I&DP to present a more complete, well-rounded case.
- **I&DP Rejected.** The Director evaluates the issue as inappropriate to be decided by the I&DP process. The Director may direct other closure actions to be taken.

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**BROOKHAVEN NATIONAL LABORATORY**

**Issue and Decision Paper**

**Issue :**

**Decision-maker:**

**Originator:**

**Background:**

**Discussion:**

**Options :**

- A.
- B.
- C.

**Recommendations :**

**Impact on Critical Outcome/Performance Objective/Measure :**

**Impact on Environment or Lab Waste Streams :**

**Implementation schedule and/or milestones:**

**Implementation Costs (funding, person hours):**

**Continuing Costs:**

**Decision:**

**Approved by:** \_\_\_\_\_

Signature

\_\_\_\_\_

date

Attachment(s):

1. Concurrence Sheet

**BROOKHAVEN NATIONAL LABORATORY**  
**Issue and Decision Paper**

**CONCURRENCE SHEET**

**Submitted by:** \_\_\_\_\_  
I&DP Originator

<b>Concurrences:</b> _____	_____
Name	Dept/Office + date
_____	_____
Name	Dept/Office + date
_____	_____
Name	Dept/Office + date

**Concurrence Notes (as appropriate):**

1. (Dept./Office)  
NOTE:

2.

3.

**EXAMPLES of Departments/Offices that may be required for concurrence include, but are not limited to:**

- Budget Office
- Community Relations
- Media & Communications
- Human Resources

**BROOKHAVEN NATIONAL LABORATORY**

**Issue and Decision Paper (I&DP) Form  
(For SBMS Subject Areas Only)**

**SBMS Decision requested:** Approval and Implementation of .....

The Subject Area can be found at: <https://sbms-AuthQA.bnl.gov/xxxxxxx.htm>

**Decision-maker:** SBMS Steering Committee

**Originator:** SBMS Steering Committee; Management System Steward, (name) Management System POC, (name); (other than team member names).

**SBMS Subject Area Development Team Members :**

**Discussion:**

**Impact on Critical Outcomes/Laboratory Commitments/Other:**

**Impact on Environment or Lab Waste Streams :**

**Resource Requirements (funding and person hours):**

**Implementation Schedule and/or Milestones:**

**SBMS Steering Committee Concurrence**

\_\_\_\_\_ **date**

**Approved:**

\_\_\_\_\_ **Chair, SBMS Steering Committee**

\_\_\_\_\_ **date**



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**Definitions: Issue and Decision Paper (I&DP)**

Effective Date: **September 2001**

Point of Contact: [SBMS Manager](#)

Term	Definition
decision-maker	BNL Director.
Issue and Decision Paper (I&DP)	A Laboratory-wide standard for formally documenting and discussing issues, recording resulting decisions, and defining actions for closure of the issue.
Policy Council	Level 0, 1, and select Level 2 Managers.
originator	Person seeking the decision.
Record Copy	The official copy of the Issue and Decision Paper that is duly executed by the Director and stamped "Record Copy" in red ink.
SBMS Steering Committee	The body responsible for reviewing and approving SBMS I&DPs and for initially reviewing other SBMS/ISM matters. The SBMS Steering Committee is made up of Level 1 and 2 Managers and other select Laboratory staff.

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Revision History: **Issue and Decision Paper (I&DP)**

Point of Contact: [SBMS Manager](#)

## Revision History of this Subject Area

Date	Description	Management System
September 2001	<p>This subject area describes the procedures for developing Laboratory-wide Issue and Decision Papers (I&amp;DPs) and SBMS I&amp;DPs.</p> <p>It includes the process for submitting, reviewing, and approving I&amp;DPs. It also discusses the procedure for reaching closure on and recording final decisions made by the Laboratory Director.</p>	Integrated Planning

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