

Pre-Decisional Involvement Checklists

Presented to the National Council on Federal Labor-Management Relations

July 23, 2014

Introductory Language for PDI Checklists on National Council's website (lmrcouncil.gov)

The PDI/Collective Bargaining subgroup proposes that the National Council's website include the following explanation as to what readers will see if they click on the PDI Checklists link:

People who have had success with PDI have found it helpful to use checklists to prepare for and initiate PDI. Anyone who is thinking about engaging in PDI is encouraged to review these checklists and consider how they may enhance their PDI sessions, either as is or modified to suit their particular needs. PDI participants are also encouraged to consult, as appropriate, with the agency and union labor-relations professionals within their organizations for any policies applicable to PDI. Click here to see some of these checklists. Any questions about the information contained in this document should be sent to lmrcouncil@opm.gov.

When readers click on the Council's PDI Checklists link, they will then see a screen that reads:

As Labor-Management relationships grow and representatives gain experience, the parties usually develop practices and processes that help them work together better. Sometimes, having checklists of steps to take, information to gather, participants to include, etc., can move things forward more smoothly, efficiently use resources, eliminate "surprises," and prevent the parties from missing something important.

If you think these checklists will be useful, use them as is or please feel free to revise, edit, add to, or otherwise adapt them to work for you in your labor-management relationship.

These checklists have been adapted from those used by Federal agencies and their union partners that have experienced successful PDI over a period of several years at both the national and local level. These include planning checklists for unions and management, checklists for notifying the other party of the PDI opportunity and for responding to the notification, and a checklist to help the parties manage expectations in their PDI. We hope these checklists will give you ideas that may help you with developing your own PDI process.

Management pre-PDI checklist

Union pre-PDI checklist

PDI Invite, Response, and Expectations Checklists

Management Pre-Decisional Involvement (PDI) Planning Checklist

The goal is informed decision making and eliminating surprises

*Please note this checklist is just an example. Labor and Agency representatives are encouraged to change and adapt this list in a way that suits your needs.

Step 1-Background for the PDI session

Questions	Explanation	Notes
1. What is the proposed initiative? Is it new or is it building on something already in place?	If the initiative is not new, it is possible that a PDI invitation may have already been extended. A new invitation may not be necessary; instead, reopening the original PDI may be more appropriate and a better use of resources and time.	
2. Why is the Agency interested in doing it?	Mandates from external sources may require expedited timelines. Externally imposed timelines assist both the Union and management in planning which type of PDI outcome and model will be the most effective, given the available resources, etc.	
3. Confidentiality of Information. Are there any restraints or limitations on sharing information? If so, why?	Legal requirements, policy restrictions, and higher-level mandates may affect management's ability to openly share information and may require management to obtain assurances from PDI participants to protect against disclosure. This may require some research but, more importantly, requires the development of clear expectations with the union prior to engaging in the discussion. Like toothpaste, once information is out of the tube it can't be put back. (Here is a link to additional information related to the sharing of confidential information during PDI.)	(Link to sharing of confidential information to be added)
4. What are the timeframes associated with this initiative? Is there a target date for implementation?	Implementation of a management initiative requires backward planning to ensure negotiated or agreed upon timelines are honored. The amount of	

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	time before implementation will affect how the parties approach PDI and the need to establish any PDI timeframes. Agencies should begin the pre-decisional process as soon as possible after they determine that some decision or action is needed to address a particular issue or problem.	
5. Long-term or short-term initiative? If long term, list the phases and activities you anticipate are needed to complete the project? Will the union be involved in all phases? If not, which ones?	Helps plan for resources (e.g., subject matter experts (SMEs), locations equipment, etc.) as well as the type of PDI options. If a union representative is not part of each phase, it is helpful to develop a means of communicating the outcome of each to help promote discussion at the next phase. It also assists the Union in identifying what resources they have to contribute to the PDI.	
6. How do you see this initiative impacting unit employees? What, if any, action can management take to mitigate the impact?	Identifying the impact that management sees for the mission and bargaining unit and identifying what steps they will take to mitigate those impacts assists in setting up a starting point for PDI discussions with the union. This saves time, and shows that management is not promoting an initiative in an arbitrary manner. This also helps in gathering information from SMEs to share with the union during PDI.	
7. Are you leading the initiative? If not, who will be the lead?	A management official with the authority to initiate PDI in their program may elect to have the SME lead the PDI session. If so, management should identify who has the authority to represent the agency. For more information on the PDI process,	

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	please see the National Council’s guidance on PDI Outcomes, and Frequently Asked Questions about PDI.	
8. Are you using teams to carry out the initiative? Who should be on the team? Could this be an opportunity for PDI & having a Union rep as a team member? If a Union rep is a team member, what is your expectation of their involvement? Voting member, information sharing, collaborative problem-solver, other?	Planning helps promote open communication, efficient use of resources, and fosters collaboration. If the union’s participation is not clear, it can lead to loss of faith between the parties. Clarification of the Union’s role helps the union select the best person(s) for participation in PDI. Additionally, if the union is participating on a “team” set up to address aspects of a change, it is important that the team members have a background in the PDI process.	
9. When will you contact the Labor Relations Specialist? (Name and Contact Information.)	Some agencies require the presence of a Labor Relations Specialist (LRS) when an agreement is developed between management and the union either through negotiations or the PDI process. LRSs are a resource and their availability may require coordination. Some LRSs are adept at the PDI process, can serve as a coach or mentor, and can assist in the planning phase to help promote efficiency of the process. People who support PDI and the collaborative process often make the best resources for this effort.	
10. How do you see the change being communicated to the employees?	Communication is critical; the absence of information leads employees to fill in the blanks with perception and rumor. Change is hard enough on employees; it is useful to seek consensus with	

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	<p>Union representatives on how best to keep employees posted on what is decided, what isn't, and what is under discussion. Offering employees an opportunity to provide feedback to both the union and management (e.g., through a web-link) may provide the parties with real-time information while also conveying to employees that they have been "heard." Moreover, the person who handles these issues every day (front-line employee or supervisor) probably has a better sense of how a process works and how it can be improved.</p>	
<p>11. How will you introduce the proposed change(s) to the union? Prior to PDI? During the first PDI session?</p>	<p>The quality of the relationship and the types of forums in place between the parties will largely determine when and how you introduce the proposed changes. Sharing ideas about the change(s) in a leadership meeting, a partnership meeting, or some other setting and conveying management's intent to initiate PDI at a later date helps the union prepare and determine whether they want to participate in PDI. Agencies should begin the pre-decisional process as soon as possible after they determine that some decision or action is needed to address a particular issue or problem</p>	
<p>12. Are there any issues that may inhibit PDI from being constructive? Identify the steps you can take to try to mitigate or eliminate</p>	<p>A manager's comfort level with discussing issues with the union and her/his familiarity and training in PDI processes can affect the likelihood of success</p>	<p>(Link to sharing of confidential information to be added)</p>

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the potential roadblocks.	in PDI. Going into a PDI session half-heartedly or without conviction will likely harm the parties' relationship for future interactions. Other potential "roadblocks" may involve the type of information. Some information could be sensitive or considered confidential and may require certain precautions before sharing, while other information may not be appropriate to share. (Here is a link to additional information related to the sharing of confidential information during PDI.)	

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Step 2: Preparing for the PDI Session

Questions	Explanation	Notes
<p>1. PDI Invitation: Do you and your union partners already have an agreement on a PDI process either in a CBA or elsewhere (e.g., MOU)? If not, how will you initiate the PDI? Are you sending the invitation to engage in PDI electronically, by mail, by phone, in person, etc.? How much time will the union have to respond?</p>	<p>Timelines associated with the initiative are important in setting parameters for discussions and may affect how you convey the invitation to engage in PDI. It's also important to make sure that after PDI is done, you can meet any timeframes for mid-term bargaining set forth in your CBA. If the union is in the same building as the management official initiating PDI, why not walk the package down to the union office? Sending the invitation electronically or having the LR specialist send it out provides a means for tracking the initiative and the response. You may also contact your Labor Relations Office for support and expertise regarding agency agreements and PDI.</p>	
<p>2. PDI meetings: If there are meetings, will you participate in the meetings? If you aren't leading the PDI sessions, who will? Will the SME lead the PDI session? What is the SME's authority? If the PDI expectation is that an agreement (MOU) will be the outcome, s/he will need a written delegation of authority. Does the lead have experience with facilitation, mediation,</p>	<p>If an expectation is to have an MOU at the conclusion of PDI, management needs to ensure that one of its representatives has authority to commit the agency. (If this person is the SME, then the delegation of authority should be clear.) Agency resources are limited. Participation of a facilitator, LRS, or SME may streamline the process and make it more efficient. Their participation requires time away from other duties and calls for planning to minimize the impact on service to their other</p>	

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<p>and/or interest-based problem-solving? Will the LRS participate? If so, what role do you expect her/him to play? If a face-to-face session, will you take notes during the session? Who will be the note-taker? Will you have a facilitator, and if so, what role will s/he play?</p>	<p>customers.</p>	
<p>3. If you have information to share regarding a proposed change, it is suggested that an information package be sent with the PDI invitation and be available for the PDI review/meetings. You will need to determine what it will contain. Who will ensure the package is completed and sent with the PDI written invite to the union representative?</p>	<p>Management sharing adequate information on PDI matters with the Union prior to the meeting is optional. However, doing so expeditiously demonstrates openness and saves time. If the union is hit "cold," it will need time to review and digest the information, eating up valuable time that could otherwise be spent in the PDI session.</p>	
<p>4. Who are the subject matter experts (SMEs) for the information? Are they available to provide briefings and additional information? Did they contribute to the management information package?</p>	<p>Having the right people at the right place helps ensure that the right information is shared, promotes efficiency and open communication, and builds trust in the parties' relationship. Ensuring involvement of the SME who helped create the information package (e.g., an IT Specialist who is the program lead for a change in automated time and attendance software) is critical to understanding the impact of the change and avoids delays in making decisions.</p>	
<p>5. What technology will you need for the PDI sessions? Does your union</p>	<p>Technology is only as good as the operator's level of comfort and training. Ensure that the method for</p>	

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counterpart have access to this technology? If not what is your “plan B”? With whom do you need to coordinate to establish communications?	sharing is one that all the participants have used and have access to. If the power goes out or the computer-based meeting system fails, what is your backup for continuing the discussions or reconnecting with everyone to set up a new meeting time?	
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Step 3: During the PDI Session

- Extra information packages are available
- Subject Matter Experts (SMEs) are on the included in the meeting
- Appropriate Labor Relations personnel are present consistent with agency policy.
- Identify how notes will be taken and shared with each party
- Introductions are made
- Management and the union share expectations for the meeting
- The parties clearly identify next steps -- this is dependent upon the type of PDI and expectations identified in the invitation and upon any agreement between management and the union. This could result in one or more of the following:
 - Mid-term negotiations
 - Implementation
 - Further PDI sessions/participation as a project moves forward

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Step 4: After the PDI session

- Meeting notes are completed and sent to all parties.
- If consensus or commitments were made by the parties not related to working conditions, these may be captured in meeting notes or in a separate document signed by both parties. Follow-up items from the meeting or written agreements are monitored and updates provided to the parties as they are completed.
- If an agreement was made (MOU), ensure it is signed and copies are provided to both parties.
- If PDI results in an agreement, negotiations may not be necessary. However, if negotiations are still required in relation to the implementation of a change discussed in PDI, the parties will normally follow their established process for addressing the impact and implementation of proposed changes. In the notice, the agency may elect to include the information package(s) exchanged during PDI, any written agreements, and any other information gathered during the PDI process. This gives the parties a platform to build upon for negotiations.

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Step 4: After the PDI Session

Union Pre-Decisional Involvement (PDI) Planning Checklist

NATIONAL COUNCIL ON
FEDERAL LABOR-MANAGEMENT RELATIONS

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Step 1-Background for the PDI Session

Questions	Explanation	Notes
1. What is the proposed change(s)? Is it new or is it building on something already in place?	Commitments may have already been made by both parties at a different level of the organization, or issues that are ongoing may already have a PDI process initiated with different union representatives. Duplication of work or inadequate hand-off of PDI topics is not efficient for either party. Awareness of the history of a project and an understanding of any PDI process the union and management have agreed to follow will help promote continuity and clarify expectations.	
2. Why is the agency making this change or proposing this initiative? Is the initiative or change based on external mandates or on internal management decisions?	Knowing the why behind an initiative assists in identifying potential solutions to facilitate the change while minimizing adverse impact on unit employees. Understanding why the agency is considering the initiative or change(s) also promotes openness and transparency.	
3. Is the intent of the meeting to discuss conditions of employment or other types of information? Is there any concern which may inhibit the union from participating?, e.g., internal union concerns, the PDI subject is already addressed in PDI at a higher level or in the collective bargaining agreement, etc.?	Answers to these questions help the union determine if PDI is of value or if it is more effective to engage in bargaining. Levels of representation may be a consideration when a PDI invitation is initiated. To avoid overlap and duplication of efforts, the union may need to share information and coordinate among multiple representatives. This may require the union to notify management of a change in representation.	

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Questions	Explanation	Notes
<p>4. Confidentiality Concerns: Are there aspects of the initiative that involve confidential information? Are there aspects of the information that cannot be widely shared? Identify which information may be confidential and why. If confidential information is utilized in PDI, will you want to establish expectations in your PDI invitation or PDI response?</p>	<p>Legal requirements, policy restrictions, and higher-level mandates may affect management’s ability to openly share information, but the union may have its own reasons to maintain confidentiality of information pertaining to the union’s organization or information that the union has received from bargaining unit members. The union should consider whether it is to its benefit to provide assurances of confidentiality requested by management, as well as what similar assurances it may request from management. In either case, the parties should clarify expectations on confidentiality prior to engaging in PDI discussions. Like toothpaste, once information is out of the tube it can’t be put back. (Here is a link to additional information related to the sharing of confidential information during PDI.)</p>	
<p>5. What are the timeframes associated with this type of PDI; e.g. a committee meeting date, or a working condition implementation requirement?</p>	<p>Timeframes described by management may influence the Union’s decision whether to accept an invitation to engage in PDI or whether to engage in negotiations. If PDI is a possibility, even though a decision has been made, deadlines may affect who will be available with relevant subject-matter expertise to serve on the Union’s team. If the timeframe described by management would not allow for meaningful PDI input, then the Union</p>	

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	must weigh whether a later PDI effort or negotiations would better serve the interests of bargaining unit employees.	
6. Is it a long-term or short-term initiative? Does the invitation identify union involvement for each phase?	This type of information helps the union to plan and to identify the most suitable type of PDI options. (Here is a link for a description of different types of PDI.) If a union representative is not part of each phase, the union may wish to request management to maintain open lines of communication to help promote discussion at the next PDI phase. Moreover, union resources may be limited. If it is a long PDI initiative with multiple phases, union representatives may wish to evaluate whether there are enough time and personnel resources to dedicate to long-term PDI discussions.	(Link to PDI Models module to be added. This is still under development.)
7. How do you see this change impacting the bargaining unit? (Note: the absence of impact on the bargaining unit does not preclude engaging in PDI.)	Identifying and evaluating the impact on bargaining unit employees may help determine the union's approach, whether PDI is proposed by management or the union. For the union, bargaining unit impact is the focal point for PDI engagement or for deciding whether it would be better to engage in collective bargaining over the change. This saves time, and helps the union to determine the tools and resources it needs to successfully participate in PDI, for example, whether to involve Subject Matter Experts (SMEs)	

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	in the process.	
8. Who does the Union have available with background related to this topic to take the lead in PDI discussions? What authorities will these individuals have? Will they have the authority to commit the union if an MOU is reached, authority to reach a tentative agreement or authority to represent the interests of the union for discussion purposes.	Successful PDI relies on all parties having common expectations of the roles of the PDI participants and of the PDI outcome (MOU, consensus, other agreement or recommendation). The parties are encouraged to involve representatives who can adequately represent them in each phase of the PDI process. It is detrimental for one party to have the expectation of a PDI outcome only to find out in the end that the other party's expectation was different. (Here is a link for a description of different outcomes in PDI.)	(Link to PDI Outcomes module to be added. This is still under development, but close to completion.)
9. How do you see the initiative being communicated to the employees?	The union should develop a joint strategy with management how best to inform and gain feedback from bargaining unit employees regarding the discussions and decisions reached in PDI. Examples include web-link, live meetings, jointly drafted memoranda or email messages, etc.	
10. Are there any issues that may create a barrier to constructive and successful PDI efforts? Is the union able to identify the steps it can take to try to mitigate or eliminate the potential roadblocks?	To promote successful PDI, unions may want to honestly evaluate whether there are union representatives who have stronger skills and a greater interest in collaborative communication techniques. To best prepare for the meetings, union representatives should evaluate whether there is a lack of trust between the management and Union representatives for that unit.	

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	Does the local representative have the needed expertise on the topic? Is there another more experienced Union representative who could participate and either lead or assist in moving the PDI forward? Some thought should be given to how some of these barriers may be addressed to achieve more productive meetings.	

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Step 2: Preparing for the PDI Session

Questions	Explanation	Notes
<p>PDI Invitation:</p> <p>1. Was there an information package provided with the invitation? If not, will you request information from management prior to the PDI session?</p> <p>Was there a timeline for responding to the invitation?</p> <p>Did you send the name of the designated union representative(s) for the PDI to management with your intent to participate?</p> <p>Did you identify in the response the authority that the representative(s) will have to speak or act on behalf of the union?</p>	<p>Coming into a meeting to discuss potential working condition changes or other issues without proper information is not conducive to collaborative discussions. It is essential that both sides are working with the same information. Preparation on both sides promotes efficiency and meaningful discussions, as opposed to delays until all parties gain the same level of understanding on a topic. Some parties' agreements or PDI invitations may have dates for the union or management to respond. The parties should agree on the dates and cooperate about response times to ensure successful PDI. Make sure the consequences of missing a deadline are understood.</p>	
<p>PDI meetings:</p> <p>2. If there are meetings, will the union elect to participate in the meetings or choose to only provide input in written and electronic format?</p> <p>How will travel costs associated with the participation in meetings be covered?</p>	<p>Planning prior to engaging in PDI promotes efficient use of both parties' time and resources, and thus promotes a collaborative environment to discuss an issue.</p> <p>Does the union representative selected to participate in PDI have the time to both prepare and engage in PDI?</p> <p>If the outcome expectation is for the parties to</p>	

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<p>What is the authority conferred on the union representative(s)? Will they need a written delegation of authority?</p> <p>Does the union rep have skill sets in PDI and interest-based problem-solving?</p>	<p>seek consensus and, if consensus is achieved, to put the agreement in an MOU, does the union have representatives with the authority to sign a binding agreement? The union should be prepared to provide the names of both the authorized representative(s) and any SME(s) it wishes to participate in the PDI sessions. Designations in writing keep the lines clear about who will and who will not be involved in the PDI meetings. This will facilitate any necessary arrangements for releasing employees on official time and/or arranging travel to participate.</p>	
<p>Additional Information requests:</p> <p>3. Is there additional information the union feels is necessary, but that was not included in the PDI invite package? What is needed? Who will request it for the union?</p>	<p>Does the union have enough information that it feels ready to talk about options, suggestions or concerns? If not, a request for information to the management official initiating the PDI may be appropriate. This request should be made prior to the first meeting to give the union representative(s) engaging in PDI time to prepare.</p>	
<p>4. Does the union have SMEs for the PDI? Are they available to attend briefings and to review additional information? Did the union include this request in its response to the management PDI invitation?</p>	<p>The union may wish to include in the PDI sessions unit employees who work in the program area, who use a system as part of their assigned duties, and who may have valuable information to offer to the discussion. The frontline employee often knows best the pitfalls and rewards for various approaches to solve a problem or address a change. If the SMEs are identified, the union will</p>	

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	<p>want to contact the SMEs to prepare for the meeting. Also, if the union would like to include unit employee SMEs, any necessary arrangements for releasing employees on official time and/or arranging travel to participate should be coordinated with management as early as possible to minimize any potential impact to the mission.</p> <p>This is also an opportunity to evaluate reasons about whether a certain employee may not be the best candidate to serve as an SME. Questions to ask: does the employee have the right skill set to make a contribution in a collaborative environment? Is there anything that would prevent the employee from asserting his or her opinion honestly with agency representatives? Is there a history of a difficult relationship with other PDI group members that may inhibit successful PDI efforts?</p>	
<p>5. What technology will be used for the PDI sessions? Does the Union have access to this technology? And are the Union representatives familiar with this technology? If not, is there a “plan B” that could be proposed to management?</p>	<p>Technologies used to conduct PDI should be available to all parties. If the parties are not familiar with using the technology efficiently, the comfort level for discussion could be affected. For example, if the parties decide to use video meetings does everyone have a laptop with the correct software and meeting access information?</p>	

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	Has this system been tested in advance of the meeting to ensure it works and everyone has access?	

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Step 3: During the PDI Session

- Have handy any information management provided in advance and review it prior to the meeting
- SMEs are on the conference line or have the call in number available and have blocked time on their schedules to assist when notified
- Union Rep with authority is present (if an agreement is being drafted, the Rep with delegated authority should be present)
- Introductions are made
- Management and the union share expectations for the meeting
- Clearly identify next steps - dependent upon the type of PDI and expectations identified in the invitation, this could result in one or more of the following:
 - Mid-term negotiations
 - Implementation of the PDI change(s)
 - Further PDI sessions/participation as a project moves forward
- Notes: capture those items discussed. Those items receiving consensus and those identified by the parties as needing negotiations are captured in writing.

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Step 4: After the PDI session

- Meeting notes are completed and sent to all parties.
- If consensus or commitments were made by the parties not related to working conditions, these may or may not be captured in the meeting notes or a separate document signed by both parties. Follow up items from the meeting are monitored and updates provided to the parties as they are completed.
- If an agreement was made (e.g., an MOU) ensure it is signed and copies have been provided to all parties.
- If negotiations are still required, the union and management will normally follow their negotiated or statutory procedures for bargaining. The union may wish to provide its negotiator(s) with the information packages, any statement of facts, and any other information gathered during the PDI process. This gives the parties a platform to build upon for negotiations.

Preparer: _____ Date: _____

Step 4: After the PDI Session

* Please note this checklist is just an example. Labor and Agency representatives are encouraged to change and adapt this list in a way that suits your needs.

Pre-Decisional Involvement Invitation Checklist

When initiating pre-decisional involvement (PDI), a representative from either labor or management may choose to provide a written invitation to the receiving party. A written PDI invitation that includes the items listed below will assist in the PDI process:

- The name and title of the designated representative to whom the invitation is addressed.
- The phrase “PDI Invitation” in addition to the issue or topic in the subject header of the letter (and of an e-mail message, if that is the method of delivery).
- Summary background and rationale for the initiative or the proposed change (may outline specific initiative or indicate that it is contained in the information package). Please note that the amount of information provided may be limited if PDI is being initiated at a very early stage.
- The type of PDI model or outcome that the initiating party is seeking. If there are multiple phases of the initiative which will include different types of PDI engagement, clearly break these out for the receiving party.
- Identification of the potential impact to the organization and/or to affected bargaining unit employees.
- Timelines and any proposed implementation date(s), if known.
- To whom to respond and his or her contact information.

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- The desired “reply-due” date(s).
- The PDI information package (as an attachment).
- Any confidentiality requirements or concerns related to the topic.
- Proposed available dates for discussions to begin as well as the type of meeting (video conference, teleconference, face to face, etc.).
- A description of expectations upon completion of PDI.(See e.g., FAQ section X, Checklist #5 - Expectations, Outcomes Module)
- If the topic requires a strong background in a particular subject area, a request for a designated representative who has a background in that subject area; also, identify the notifying party’s Subject Matter Expert (SME) contact information.
- Signature or transmission by the appropriate designated representative.

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Pre-Decisional Involvement Invitation Response Checklist

Upon receiving an invitation to engage in pre-decisional involvement (PDI), an appropriate representative from either labor or management will provide a written response. A written response to a PDI invitation that includes the items listed below will assist in the PDI process:

- The name and title of the designated representative for the PDI issuing party.
- Contain the phrase “PDI Invitation Response” in addition to the issue or topic in the subject header of the letter (and of an e-mail message, if that is the method of delivery).
- The date of the initial PDI invitation and date of its receipt.
- Whether the party is electing to participate in PDI.
- The name(s) and contact information of the point of contact for the PDI. If applicable, please indicate if the individual(s) are authorized to execute any Final Agreement for that Party. Ideally, this is the same person.
- Available dates for PDI discussions to begin, with a response to any dates proposed in the initial PDI invitation.
- If applicable, any initial request for additional information related to the PDI topic that was not provided with the PDI invitation.
- A description of expectations upon completion of PDI. (See e.g., FAQ section X, Checklist #5 – Expectations, Outcomes Module)
- Any initial interests, issues, and/or information that the party has gathered since receipt of the PDI invitation and that the party wishes to share in advance.

* Please note this checklist is just an example. Labor and Agency representatives are encouraged to change and adapt this list in a way that suits your needs.

Pre-Decisional Involvement Expectations Agreement Checklist

When engaging in Pre Decisional Involvement (PDI), there are critical pieces to remember:

- By participating in PDI, the parties do not waive their statutory rights.
- It is important to check the applicable collective bargaining agreement and any other agreements or established practices for information about the PDI process and/or about the subject to be discussed in PDI.
- Even if bargaining unit employees are included in the PDI process, the union remains the exclusive representative for the bargaining unit.

For the PDI process to be successful the parties should identify and clarify the expectations up front before discussions begin. The designated representatives for both parties should discuss and capture in writing what the expectations will be for this PDI engagement BEFORE the PDI discussions begin. It is strongly suggested that the first meeting be used to determine, at a minimum, the following items:

- Type of PDI engagement.
 - What types of activities will comprise the PDI engagement. (Please note that some PDI engagements may have phases or multiple activities.)
 - What level of union representation will be involved (e.g., National or Intermediate or Local?, President or Steward?, subject matter expert?) for each activity of the PDI engagement?
- PDI team membership.
- Meeting support personnel.
 - Will the meetings require support personnel, such as a facilitator, note-taker, and/or any subject matter experts (SMEs)? (Please note that the participation of a labor relations specialist or other representative may be required.)
 - How will these support personnel be utilized and what are their respective roles?

- Equipment/Technology needed. Does everyone have access to the same tools?
- What is the group's expectation for the PDI process?
 - Will the parties use interest-based problem-solving techniques?
 - Will there be a facilitator?
 - Is the PDI process governed by the collective bargaining agreement or a Labor-Management Forum charter or other agreement?
- What is the group's expectation for an outcome? Expected outcomes might be
 - Information sharing
 - Development of proposals
 - Memorandum of Understanding
 - Some combination of the above.
- Future meeting methods (face-to-face, video conference and/or teleconference,). Give consideration to the cost efficiency of travel relative to the complexity of the subject matter.
- Identify how the logistics for the follow-up meetings will be completed. Will the group rotate it?
- Confidentiality and communications.
 - Is there any information that is considered confidential?
 - How is it "normally" protected?
 - What methods can the parties offer to monitor the release of information during the process?
 - How will the group's efforts be communicated to the organization, e.g., periodic status reports, etc.?
- Timelines for the group to complete the PDI session(s).
- How the group's final product will be captured depends on the type of PDI that was initiated, the expected outcome and the actual outcome. One or more of the following may be the final product:
 - MOU
 - statement of facts
 - meeting notes