



**Division of Occupational Safety and Health**  
**POLICY AND PROCEDURES MANUAL**

---

**P & P**

**Cal/OSHA Alliance Program**

---

**TABLE OF CONTENTS**

**A. Definitions.....1**

**B. Alliance Purposes and Requirements.....2**

**C. Responsibilities.....5**

**D. Procedures for Alliance Establishment, Operation, Renewal, and Termination .....6**

**E. Other General Alliance Considerations.....9**

**Appendix A: Process Flow Chart for Cal/OSHA Alliance .....10**

**Appendix B: Model or Sample Templates .....11**





## Division of Occupational Safety and Health

### POLICY AND PROCEDURES MANUAL

---

P&P

#### Cal/OSHA Alliance Program

Date: 4/2/19

---

**AUTHORITY:** Federal OSHA Directive CSO 04-01-002, July 29, 2015.

#### **POLICY:**

It is the policy of the Division of Occupational Safety and Health (Cal/OSHA) to work with groups committed to worker safety and health to prevent workplace fatalities, injuries, and illnesses through the Cal/OSHA Alliance Program.

#### **A. Definitions**

##### 1. Alliances

Cal/OSHA Alliances are formal, voluntary, cooperative relationships between Cal/OSHA and employers and trade associations; labor unions and other labor groups; professional associations; educational institutions; community- and faith-based organizations; consulates; local, state, and federal government agencies; and other organizations or institutions.

##### 2. Alliance Agreement

A document that defines the agreement between Cal/OSHA and their alliance participants. The agreement describes the broad goals of the alliance and how it will generally meet the requirements in this policy through specific purposes and requirements, as described in Section II. The agreement commonly identifies the hazard(s) or other topics in an industry segment, common objectives of Cal/OSHA and the participant, and the segments of the workforce towards which the efforts will be primarily directed. The agreement also includes a description of the general activities, such as the creation of tools, (e.g., videos, text materials, social media) and the rationale for these choices. The alliance work plan, defined below, provides more specific detail about how the agreement will be implemented.

##### 3. Alliance Work Plan

The work plan is a written document developed by the Alliance Implementation Team. The plan must be consistent with the alliance agreement in describing the specific

---

activities, such as exhibits, products created by the alliance, information dissemination, presentations, trainings, and other endeavors that the alliance will complete in a given year. A work plan provides more detail about the strategies, objectives, goals, tools, audiences, responsible parties, timelines, and methods for evaluating impact and success, and other aspects of the projected work of the alliance during the year.

The basic outline of the first year's work plan for a new alliance is developed and agreed upon jointly by the signatories during the discussions prior to signing the Alliance Agreement, and must be finalized in the first meeting of the Alliance's Implementation Team. The work plan is reviewed and updated annually.

#### 4. Alliance Program Signatories

Alliance agreements should be signed by senior representatives of all parties involved. For Cal/OSHA, Alliance agreements should be signed by the Chief of Cal/OSHA or the Chief's designee.

#### 5. Alliance Annual Reports

An annual report, prepared by the Alliance Program Coordinator for the purposes of documenting and evaluating each alliance's activities. Information in the reports must include brief general descriptive information concerning the alliance, its goals and specific objectives; the dates signed/renewed; names of the implementation team members and other contributors; a list of the events, activities, products and other outcomes of the alliance in the reporting year; measures of its reach and impact; and a copy of the work plan for the reporting year.

#### 6. Alliance Implementation Team

The group of representatives from Cal/OSHA and the signatory organization(s) who meet in person or teleconference to plan and implement the actions to be undertaken by the alliance under its agreement and work plan.

Implementation Team members include representatives from Cal/OSHA and the signatory organizations. If needed other agencies and/or other organizations that are relevant stakeholders but not signatories may also participate. These organizations may include, but are not limited to, Cal/OSHA Enforcement, Cal/OSHA Consultation, Process Safety Management Unit, Cal/OSHA Outreach Coordination Program, Professional Development and Training Unit, unions, and subject matter experts.

#### 7. Alliance Program Coordinator

Cal/OSHA's Alliance Program Coordinator serves as the primary contact for an alliance and manage the alliance implementation teams. The coordinator, or their designee, will facilitate and track alliance activity.

### **B. Alliance Purposes and Requirements**

---

## 1. Alliance Purposes

- a. The primary purpose of the Alliance Program is to enable Cal/OSHA to work collaboratively with private and public sector organizations and institutions to reduce fatalities, illnesses, and injuries in the workplace, with a special focus on ensuring that workers have a voice in alliance efforts, that alliances reach worker and employer constituencies most in need of Cal/OSHA's assistance, and that employers and workers respectively increase knowledge of their responsibilities and rights under the California Occupational Safety and Health Act.
- b. The Alliance Program is part of Cal/OSHA's 5-year Strategic Plan. In the plan, it is identified as Goal 2.4 "Alliances." The goal includes quantitative and qualitative measures.

## 2. Alliance Duration

Initial alliance agreements will have a duration of two years. Renewal agreements may have a duration of two to five years.

## 3. Criteria for New and Renewed Alliances

- c. Alliance Program participants are committed to working closely with Cal/OSHA to develop and share information with workers and employers to help prevent injuries, illnesses, and fatalities in the workplace.
  - d. Alliance Program participants work to educate workers and employers about their rights and responsibilities under the California Occupational Safety and Health Act, including the prevention of retaliation against employees engaging in protected activity.
  - e. Alliances provide a forum for employers and to work together to resolve workplace safety and health issues. To achieve this, Alliances with employers and employer groups (e.g., trade associations) must also include worker representatives. This is accomplished by:
    - (1) Having a union signatory whenever possible (e.g., from a union with a presence and/or experience in the industry); or
    - (2) Having worker involvement in the Alliance Agreement's development and implementation, including project workgroups; or
    - (3) Having participation in the alliance of community-based labor groups or similar organizations knowledgeable and involved in the
-

issues addressed by the alliance.

- f. Alliances should support Cal/OSHA's strategic goals of enhancing workers' voices and providing safe and secure workplaces. This is accomplished by the Alliance Program participants fulfilling all or part of the following criteria, as relevant and appropriate to each specific alliance:
- (1) Possessing sufficient knowledge and resources to fulfill the goals of the Alliance agreement.
  - (2) Demonstrating the ability and commitment to reach one or more diverse, at-risk workforces through the Alliance (e.g., low literacy or non-English-speaking workers).
  - (3) Providing workers with effective training, workplace safety guidance materials, whistleblower outreach materials, and similar tools to participate with employers in their efforts to achieve compliance with Cal/OSHA standards and, whenever possible, go beyond compliance through best practices.
  - (4) Providing tripartite participation through which management, workers and their representatives and Cal/OSHA can collaborate in addressing workplace safety and health issues, recognizing whistleblower protection issues, resolving disagreements, and identifying innovative solutions to safety, health, and retaliation problems through forums, roundtables, stakeholder meetings and similar activities.
  - (5) Supporting Cal/OSHA enforcement initiatives, such as by sharing information and/or developing compliance assistance materials for special emphasis programs and other specifically-targeted hazards/industries.
  - (6) Communicating information through alliance channels about Cal/OSHA's new and revised standards, enforcement initiatives, Cal/OSHA's whistleblower protection program, emphasis programs, specific workplace hazards and their controls, Cal/OSHA strategic initiatives, and similar matters.
  - (7) Providing Cal/OSHA staff with training opportunities and/or unique and desired skills or resources.
  - (8) Operating according to a written work plan that defines the specific activities and products the alliance will seek to complete.
  - (9) Developing and implementing methods and metrics to evaluate the impact of alliance activities on workplace safety and health.
-

- (10) Making their products available to the public free of any charges.
- (11) For renewals, demonstrating a record of meeting alliance agreement goals, work plans, and program expectations.

The alliance agreements and work plans must describe how each alliance will address these requirements.

## C. Responsibilities

### 1. Alliance Program Coordinator

The Alliance Program Coordinator, with the approval of the Chief of Cal/OSHA, is responsible for implementing the overall program, coordinating the development of alliance policy, implementing individual state alliances, helping to coordinate and track alliance activities, and advising the Chief concerning alliance issues. Specifically, Alliance Program Coordinator, or their designee, is responsible for the following:

- a. Providing general oversight for the program.
  - b. Researching, through contacts, internet, or other resources for future potential alliance participants. Initiating contact and developing strong relationships with potential alliance participants in order to form a lasting, effective partnership.
  - c. Developing objectives, strategies, projects, and activities for alliances.
  - d. Encouraging the participation of staff and technical experts in alliances, including participation on individual implementation teams as appropriate.
  - e. Coordinating as necessary for effective functioning, especially with regard to participation by appropriate subject matter experts and/or reviewers.
  - f. Preparing and writing draft alliance agreements, work plans, and annual reports in conformance with the mission and goals of Cal/OSHA and the alliance participants.
  - g. Reviewing alliances to ensure they follow the guidelines in this policy and sending them to the Chief of Cal/OSHA or their designee to obtain formal approval to sign the agreement.
-

- h. Ensuring alliance meetings occur at least twice a year and more frequently if necessary, to facilitate the implementation of each alliance's work plan.
- i. Tracking, reporting on, and evaluating the impact of alliance activities.
- j. Collecting, completing, and/or finalizing annual reports. Reviewing reports for resource implications. Determining level of participation in the alliance based on relevant past experience with the potential program participant(s) – including any consultation, enforcement, legal issues, or other factors that could have an impact on the alliance.
- k. Identifying, developing, and disseminating to the Chief of Cal/OSHA and the public at large alliance success stories to encourage their replication by other parties in order to continuously improve the program and communicate its impacts.
- l. Coordinating with the Public Information Office (PIO) on news releases of relevant events and activities as appropriate. News releases and publications may include photographs of products, events, exhibits, and other alliance-related communication activities.
- m. Maintaining adequate documentation, including the original agreement and subsequent renewal agreements, annual reports, notes of meetings, products, reports, and other relevant materials, as well as entering and updating alliance information in the Office's National Alliance Database. Ensuring that copies of signed alliance agreements, work plans, and annual reports are maintained in the Communications and Strategic Planning office.
- n. Identifying, developing, and disseminating lessons learned from alliance implementation, including successes, setbacks, and obstacles faced and overcome, in order to stimulate continual improvement of the Alliance Program.
- o. Ensuring that the information on Cal/OSHA's Alliance Web page is current and accurate.

## 2. Program Office

The Program Office is responsible for tracking all Alliance activities.

## **D. Procedures for Alliance Establishment, Operation, Renewal, and Termination**

---

## 1. Alliance Establishment

The Alliance Program Coordinator, or their designee, must:

- a. Engage the proponent(s) of an alliance in a dialogue to explain the purposes, requirements and expectations of alliances, provide relevant information, including this policy, and obtain a brief written proposal that defines the projected participants and goals and objectives of the proposed alliance, and a draft version of its projected work plan.
- b. Evaluate the proposal for its potential value to the strategic goals of Cal/OSHA and its alignment with this policy, obtain similar input from others as appropriate, and share the observations with the proponents to refine the proposal.
- c. Work with the proponents to develop an acceptable draft alliance agreement and preliminary work plan for the first year of the alliance. Follow the process flow chart in Appendix A.
- d. Engage appropriate Cal/OSHA managers and staff to be part of an implementation team. Their selection depends on the subject matter of the alliance, the expertise needed, and the resources available.
- e. Implement the steps necessary for formal signing, after the draft agreement and preliminary work plan has been developed and agreed upon by all alliance participants.
- f. Coordinate and implement the formal signing, which can be done during an in-person ceremony or through an electronic exchange of signed correspondence. Alliance signatories should be senior representatives of the Alliance participants. In the case of Cal/OSHA, the signatory may be the Chief, the Alliance Program Coordinator, or their designees.

## 2. Alliance Operation

The Alliance Program Coordinator or their designee must:

- a. Convene a meeting of the implementation team to finalize the Work Plan for the first year of the alliance (and yearly for subsequent periods).
  - b. Arrange meetings of the implementation team at least twice per year, or as needed, via teleconference or in person, to ensure the Alliance remains on track and the work plan is being successfully implemented. The work plan
- 
-



and provisions for charting milestones of the alliance are essential to track the progress of the alliance.

- c. Communicate to the appropriate recipients and maintain appropriate documentation of the alliance and its activities, including official signature documents, work plans, annual reports, activities, products and other outcomes, evaluations, success stories, etc.

### 3. Alliance Renewal or Termination

To determine whether to renew or terminate an alliance, the Alliance Program Coordinator will:

- a. Conduct evaluation(s) on the performance and impacts of each alliance on a periodic basis, at least annually, to confirm they follow their identified goals and written work plan.
- b. Discuss the evaluation with the alliance participants.
- c. Based on the evaluation and discussion with alliance participants, recommend to the Chief of Cal/OSHA the following:
  - (1) Renewal;
  - (2) A conditional extension based on written expectations of improved performance within specified timelines; or
  - (3) Termination.

A recommendation to conclude an alliance may be due to:

- (1) Failure of an alliance to meet its goals and work plan.
- (2) A change in Cal/OSHA's or the alliance program participants' strategic direction that does not align with Cal/OSHA's priorities.
- (3) Evidence that the alliance program participant does not have the resources necessary to fulfill the alliance's goals and objectives.
- (4) All alliance participants reach a decision that the agreement has achieved its desired goal(s), and mutually agree to conclude the Alliance.

Any signatory may terminate its participation in an alliance at any time, if it gives 30 days written notice.

---

## **E. Other General Alliance Considerations**

### **1. Potential Conflicts of Interest**

Whether the alliance participants are private or non-profit organizations, Cal/OSHA must be careful to avoid any appearance of governmental sanction of the organizations' products, services, or perspectives. Alliance agreements and other documents must not include any language that suggests or implies that alliance participants will receive any preferential treatment related to any statutory function of Cal/OSHA.

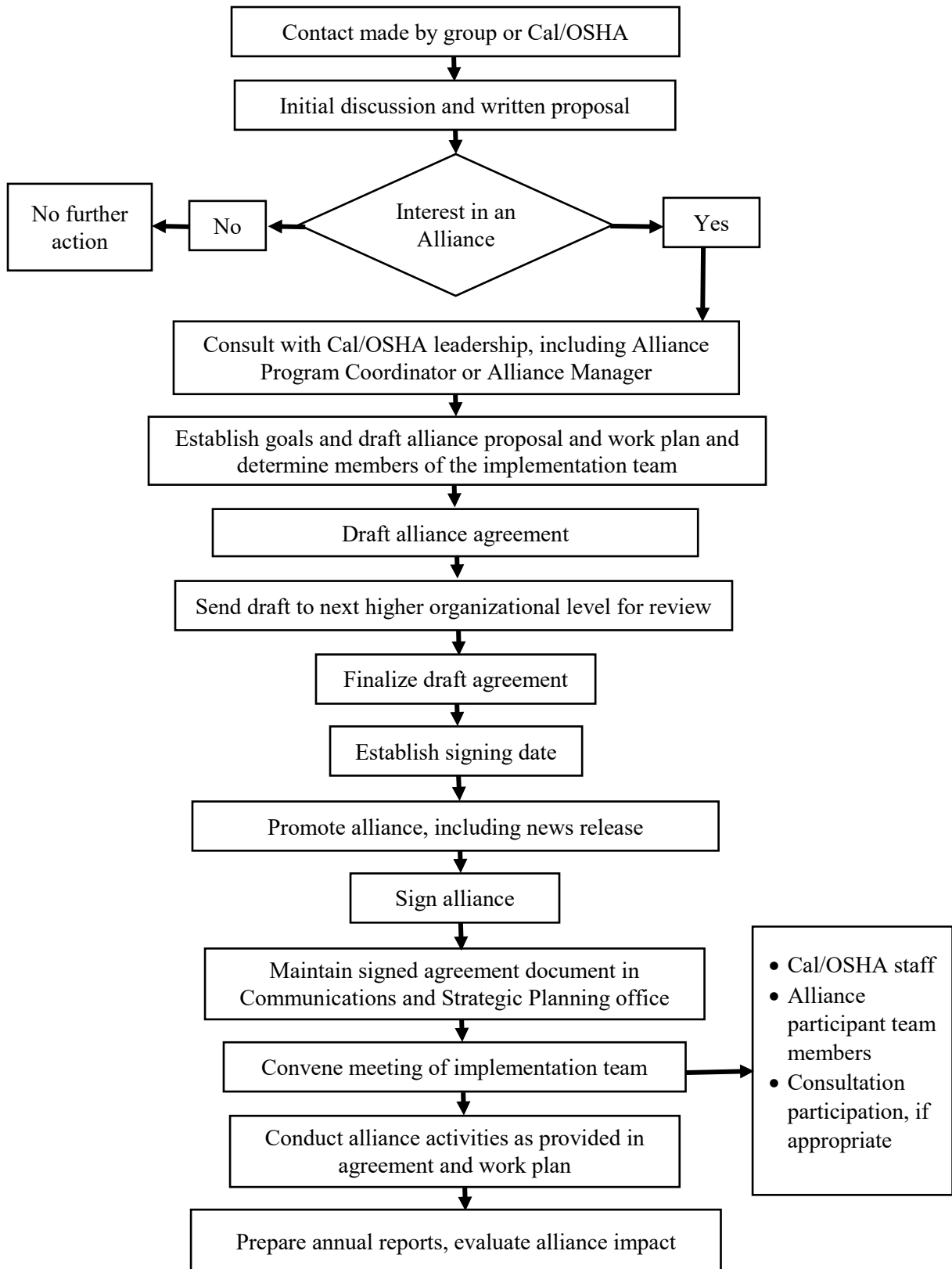
### **2. Cal/OSHA Recognition of Alliances**

Cal/OSHA officially recognizes alliances through press releases, postings on the Cal/OSHA web page, and through social media platforms as appropriate.

In addition, Cal/OSHA makes available to each signatory an alliance program logo to recognize its relationship with Cal/OSHA. Alliance program participants are authorized to appropriately use the Cal/OSHA alliance logo on documents or web pages relating to the alliance for as long as the alliance remains in effect. The logo may not be used for fundraising or lobbying efforts or to imply that Cal/OSHA endorses a particular entity or its actions or products.

---

**Appendix A: Process Flow Chart for Cal/OSHA Alliance**



---

**Appendix B: Model or Sample Templates**

Model or sample templates for alliance agreements and renewals, alliance annual reports, and alliance work plans are available on the federal OSHA's website at [https://www.osha.gov/dosp/alliances/work\\_plan\\_template.html](https://www.osha.gov/dosp/alliances/work_plan_template.html)