



OSHA INSTRUCTION

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

DIRECTIVE NUMBER: CSP 04-01-003

EFFECTIVE DATE: 03/04/2020

SUBJECT: OSHA Alliance Program

ABSTRACT

- Purpose:** This Instruction provides updated policies and procedures for implementing the Occupational Safety and Health Administration (OSHA) Alliance Program.
- Scope:** OSHA-wide.
- Cancellations:** This Instruction supersedes OSHA Directive Number CSP 04-01-002 of July 29, 2015.
- State Impact:** This Instruction describes a Federal Program for which implementation by State Plans is not required.
- Action Offices:** National, Regional, and Area Offices
- Originating Office:** Directorate of Cooperative and State Programs (DCSP)
- Contact:** Office of Outreach Services and Alliances (OOSA)
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By and Under the Authority of

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Executive Summary

This Instruction describes updated policies and procedures for implementing the OSHA Alliance Program. It revises and replaces the July 29, 2015, Alliance Program directive.

OSHA's Alliance Program enables the agency to develop voluntary, collaborative working relationships with organizations that are committed to workplace safety and health. Alliances provide a vehicle for regular, proactive interaction between OSHA and other organizations, including, but not limited to, trade and professional associations, companies, labor unions, educational institutions, community and faith-based groups, and government agencies. OSHA works with Alliance participants to share information with workers and employers, and educate workers and employers about their rights and responsibilities.

Both OSHA and the other signatory organizations have seen positive results since the Alliance Program was initiated in 2002. The primary benefit to OSHA is that Alliance participants serve as important information intermediaries, significantly amplifying and supporting OSHA's outreach initiatives. As a result, more employers and workers receive information to help them comply with OSHA requirements and improve workplace safety and health in their industries. OSHA also benefits by accessing the practical experience of industry subject matter experts who can provide feedback on OSHA compliance assistance materials. Alliance participants have found that their routine interaction with OSHA through Alliances has improved their members' perception of OSHA, and their willingness to work with the agency at the local level for answers to compliance and technical issues in their workplaces.

Significant Changes

This revision:

- Reshapes the Alliance Program to provide a more flexible framework that focuses on building and maintaining stakeholder relationships and streamlines administrative requirements.
- Clarifies the circumstances under which product development and other time- and resource-intensive projects beyond information sharing and outreach will be considered. These projects will be undertaken to fill key gaps and support OSHA's priorities.
- Establishes a set of fundamental requirements that all Alliance participants agree to follow as a condition of their participation in the program. These requirements include providing reasonable time and resources to Alliance activities, disseminating information on OSHA initiatives and resources to their stakeholders, and providing OSHA with information on their Alliance activities. The fundamental requirements also provide guidance on how to satisfy the requirement that Alliances with employer organizations have a worker participation component.
- Creates an Alliance Program Ambassador status for Alliance participants that have successfully completed an initial two-year agreement and one renewal cycle.
- Requires national Alliance participants to complete the Biannual Alliance Data Reporting Form.
- Requires DCSP to enter national Alliance background information and activity in the OSHA Information System (OIS).

- Requires Regional and Area Offices to enter Alliance background information and activity into OIS.
- Eliminates the requirement for annual reports for individual Alliances, but requires the OSHA Alliance Coordinator to do annual evaluations of Alliances to determine whether the participants are meeting the program's fundamental requirements.
- Provides updated Alliance agreement templates.
- Requires Regional Offices to notify DCSP when Regional or Area Offices initiate the process to sign an Alliance agreement. DCSP will in turn notify the Office of the Assistant Secretary and the appropriate Directorates of Alliances in development.

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I. Purpose

OSHA created the Alliance Program in 2002 to develop voluntary, collaborative working relationships with organizations that are committed to workplace safety and health. Alliances provide a vehicle for regular, proactive interaction between OSHA and the Alliance participants. The primary benefit to OSHA is that Alliance participants serve as important information intermediaries, significantly amplifying OSHA's outreach and supporting key initiatives.¹

While information sharing is the primary purpose of Alliances, more complex projects, such as Alliance products and training, may be pursued when a mutual need is identified and resources are available. Alliance participants do not receive any favorable treatment related to OSHA's enforcement program activity. For example, Alliance participants are not exempt from OSHA inspections.

This Instruction describes updated policies and procedures for implementing the OSHA Alliance Program.

II. Scope

OSHA-wide.

III. Cancellations

This Instruction supersedes OSHA Directive Number CSP 04-01-002 of July 29, 2015.

IV. Action Information

A. Responsible Office

The Directorate of Cooperative and State Programs.

B. Action Offices

All National Office Directorates and Offices, Regional Offices, and Area Offices involved in the design, approval, and implementation of OSHA Alliances must adhere to this Instruction.

C. Information Offices

Regional Administrators (RAs) will ensure that the information contained herein is transmitted to all State Plans and OSHA On-Site Consultation Programs.

V. State Program Change

This Instruction describes the ongoing implementation of a federal program for which state

¹ See Okun, Watkins, and Schulte, "Trade associations and labor organizations as intermediaries for disseminating workplace safety and health information." *Am. J. Ind. Med.* 2017 Sep. 60 (9): 766-775.

adoption is not required. However, OSHA encourages the states to participate in the implementation of OSHA's Alliances and to develop their own Alliance Programs, patterned after the federal program. In addition, states are encouraged to share with OSHA their Alliance agreements, lessons learned, and other related information that may be useful in furthering the common goal of reducing occupational fatalities, injuries, and illnesses.

VI. Definitions

A. Alliance

Formal, voluntary, cooperative relationship between OSHA and other organizations committed to workplace safety and health, and educating workers and employers about their rights and responsibilities, including whistleblower protections. Alliances can be formed at the National, Regional, or Area Office level.

B. Alliance Agreement

A document that defines the agreement between OSHA and the Alliance participants and describes the broad goals and specific objectives of an Alliance, including focus hazards/industry sectors, the target workforce, and specific activities.

See Appendix A for model templates for Alliance agreements.

C. Alliance Annual Evaluation

An annual check by the OSHA Alliance Coordinator to ensure that Alliance participants are meeting the Alliance Program's fundamental requirements.

See Appendix A for sample annual evaluation checklists.

D. Alliance Implementation Team

The representatives from OSHA and the Alliance participant organization(s) that meet in person or by teleconference to plan and implement the Alliance's activities.

E. Alliance Participant

Any organization that signs an Alliance agreement with OSHA, signifying that it is committed to work collaboratively with OSHA to achieve the goals of the Alliance agreement. See Section VII for more detail on Alliance participant types.

F. Alliance Products

Products developed by the Alliance participant through the Alliance. These products

can include best practice fact sheets, hazard alerts, case studies, videos, and training courses.

For Alliance products and other projects that go beyond outreach and dissemination, Alliance participants must follow the [Guidelines for OSHA's Alliance Program Participants: Alliance Products and Other Alliance Projects](#).

G. Alliance Program Ambassador

Status of Alliance participants that have successfully completed an initial two-year agreement and one renewal cycle.

See Section X.C.

H. Biannual Data Reporting Form

The form that national Alliance participants must submit twice a year with data on the Alliance's dissemination activities, events, presentations, and other activities.

I. Dissemination

Sharing information with Alliance participant members and/or stakeholders on OSHA rulemakings, enforcement initiatives, compliance assistance resources, training opportunities, and outreach campaigns and initiatives. Methods that Alliance participants use to share this information include email blasts, websites, blog entries, newsletters, and social media.

J. OSHA Alliance Coordinator

The OSHA staff person who serves as the primary contact for an Alliance. The OSHA Alliance Coordinator may be in the National, Regional, or Area Office, depending on the type of Alliance.

K. Regional Alliance Program Coordinator

The person designated by the Regional Administrator to track and facilitate Alliance activity in the Region.

L. Region-Wide Alliances

Region-wide Alliances are Alliances signed by the Regional Administrator and generally apply throughout a Region. Alliances signed by multiple Area Offices are generally not considered Region-wide Alliances.

M. Work and Project Plans

A work plan is a written document developed by the Alliance Implementation Team that describes the specific activities that the

Alliance will complete. A work plan should include milestones and target dates, and assigns responsible parties. A work plan is recommended, but not required, for new Alliances with multiple projects beyond dissemination. Individual activities specified in the work plan may be further defined in project plans. Project plans are recommended, but not required, when it would be helpful to provide more detailed milestones and target dates for specific Alliance activities identified in the work plan.

See Appendix A for sample templates for Alliance work plans.

VII. Alliance Participant Types

OSHA may sign Alliances with a variety of organizations, including trade and professional associations; companies; labor unions and other labor groups; educational institutions; community- and faith-based organizations; consulates; and local, state, and federal government agencies. State Plans and On-Site Consultation programs may sign or otherwise participate in Alliances.

The following are Alliance participant types that have specific issues or approval procedures that may differ from other Alliances.

A. Government Agencies

OSHA may sign Alliances with local, state, or federal agencies. For federal agencies, there may be situations where a Memorandum of Agreement may be more appropriate than an Alliance. DCSP should check with the National Office of the Solicitor of Labor (SOL) for more guidance on national Alliances with federal agencies, and Regions should check with their Regional SOL for guidance on Regional/Area Office Alliances with federal agencies.

Once the originating OSHA office makes a determination to pursue an Alliance with a federal agency, the originating OSHA office should notify the Directorate of Enforcement Programs' (DEP) Office of Federal Agency Programs.

B. Consulates

OSHA's Regional and Area Offices may sign Alliances with consulates from countries with foreign nationals in the U.S. workforce. Regional and Area Offices must send draft consulate Alliance agreements to DCSP.

For Alliances with Mexican consulates:

- DCSP's Office of International Affairs (OIA) reviews the draft agreements to ensure they follow the approved Mexican consulate Alliance template.

For Alliances with consulates from countries other than Mexico:

- DCSP (OIA) reviews the draft agreement to ensure they follow the approved Alliance template.
- DCSP sends the draft agreements to the National Office SOL and the Department of Labor’s Bureau of International Labor Affairs (ILAB) for clearance. ILAB sends these draft agreements to the State Department for approval.

See Appendix A for model templates for consulate Alliance agreements.

C. For-Profit Entities

OSHA may enter into Alliances with for-profit entities if the Alliance significantly amplifies OSHA’s outreach and supports OSHA’s strategic priorities. OSHA should not enter into Alliances with for-profit entities if those entities would financially benefit from the Alliance, or if there is a perception that the for-profit entity is using the Alliance primarily to gain clients or obtain a business advantage. When clearing these Alliances with SOL, the originating office should highlight the fact that the proposed Alliance signatory is a for-profit entity and outline how the proposed Alliance meets the criteria described in this paragraph.

If OSHA enters into an Alliance with a for-profit entity, OSHA should give the same consideration to any requests for Alliances from competitors. OSHA is not required to offer Alliances to competitors, but must treat all requests equally.

D. Native American Tribes

OSHA may enter into Alliances with Native American tribes. Regional and Area Offices must send draft agreements to DCSP, which will send the draft agreements to the National Office SOL for approval. Regional and Area Offices may not sign Alliances with Native American tribes unless approved by the National Office SOL.

E. Whistleblower Protection Entities

OSHA enforces the whistleblower provisions of more than twenty whistleblower statutes that protect employees who report violations of various workplace safety and health, airline, commercial motor carrier, consumer product, environmental, financial reform, food safety, health insurance reform, motor vehicle safety, nuclear, pipeline, public transportation agency, railroad, maritime, and securities, and tax laws. OSHA may enter into Alliances with organizations to promote awareness of the anti-retaliation provisions of these statutes and OSHA’s role in enforcing whistleblower protections.

VIII. Alliance Establishment

A. Stakeholder Versus Alliance Relationship

OSHA does not necessarily need to enter into a formal Alliance to work with an

organization on outreach and dissemination. OSHA and an organization may decide to work together informally on outreach activities, or may do so for a period of time before entering into an Alliance. OSHA may pursue an Alliance if an organization demonstrates the commitment and capability necessary to work cooperatively with the agency to meet specific goals. OSHA will begin the process of forming an Alliance if it determines that an Alliance would be an effective mechanism to achieve specific goals that are mutually agreeable, and would further the operational and strategic priorities of the agency.

B. Criteria for Evaluating Potential Alliance Participants

When evaluating potential Alliance participants, OSHA will consider factors such as:

- The alignment of the safety and health issues addressed by the potential participant with OSHA's strategic priorities.
- Whether the potential participant can help OSHA address an emerging workplace safety and health issue.
- Whether the potential participant has demonstrated the commitment and capability to work cooperatively with OSHA.
- The potential reach of the potential participant, such as the percentage of an industry represented by an association or the number of people reached through its dissemination channels.

OSHA may use agency and other data to identify industry sectors and representative organizations with which to pursue Alliances.

C. Alliance Duration

Initial Alliance agreements have a duration of two years. Renewals are typically for five years, but can range from two to five years at the discretion of the originating office. Alliances cannot be renewed automatically.

If an Alliance agreement has expired, and the parties are actively pursuing a renewal, OSHA and the Alliance participant may continue to work together until the agreement is renewed. An Alliance does not automatically conclude during this interim period. The renewal date for the Alliance becomes the date that the renewal agreement is signed.

D. Process for Establishing a National Alliance

1. A prospective national Alliance participant may approach DCSP about forming an Alliance. DCSP manages the Alliance Program and will work with the prospective national Alliance participant to form an Alliance. If a prospective Alliance participant contacts another OSHA Directorate about a national Alliance, then that Directorate may pursue an Alliance but should notify DCSP, and include OOSA in any discussions concerning a possible Alliance.

2. DCSP or other National Office Directorates may also reach out to organizations about entering into an Alliance.
3. DCSP will provide the prospective Alliance participant with background on the Alliance Program, including the [Alliance Program webpage](#) and this Instruction. DCSP will inform the prospective Alliance participant of OSHA's expectations, including the *Fundamental Requirements for OSHA Alliance Program Participants*. See Section VIII.G.
4. Prospective Alliance participants will provide DCSP with background on their organization, proposed Alliance objectives, specific hazards/issues to be addressed, resources/expertise that the organization could devote to the Alliance, and how the organization would provide worker participation in Alliance activities.
5. DCSP will evaluate the proposal for its alignment with OSHA's strategic priorities and this Instruction. DCSP will also obtain input from other Directorates and Regions, as appropriate, to help determine the value of the proposed Alliance to OSHA.
6. If DCSP determines that the proposed Alliance would be beneficial to the agency, DCSP will present the proposal to the Office of the Assistance Secretary (OAS) for approval before pursuing it further.
7. Upon approval from OAS, DCSP will work with the prospective Alliance participant(s) to develop a draft Alliance agreement using the agreement template. See Appendix A. For prospective new Alliances with multiple projects beyond dissemination, the parties may also prepare a work plan for the Alliance's first year.
8. DCSP will clear the draft agreement with the DCSP Director, National Office SOL, and OAS.
9. DCSP will seek comments on the draft agreement from other National Office Directorates and the Regions regarding resource implications, desire to participate in the Alliance, relevant experience with the potential Alliance participant(s) – including any enforcement or legal issues, or issues related to State Plans, Consultation programs, or Regions – and other factors that could have an impact on an Alliance. DCSP will incorporate any feedback as appropriate.
10. DCSP will form an Alliance Implementation Team that will include appropriate OSHA National Office Directorates and field personnel. Their selection depends on the Alliance's subject matter, the expertise needed, and the resources available.

11. DCSP will take the steps necessary for an Alliance signing. The signing can be accomplished through an in-person ceremony, an electronic exchange of signed correspondence, or the mail. The individuals who sign the agreement must be senior executive representatives of the Alliance participant organization(s) and OSHA. For OSHA, the signatory may be the Secretary of Labor, the Assistant Secretary of Labor for Occupational Safety and Health, or their designees.
12. DCSP will post national Alliance agreements on the OSHA public website within 15 days of the signing.

See the Process Flow Chart in Appendix B for a summary of these steps.

E. Process for Establishing Region-Wide Alliances

1. A prospective Alliance participant may approach a Region about forming an Alliance. A Region may also reach out to organizations about entering into an Alliance.
2. The Regional Office will determine whether to pursue a Region-wide Alliance or an Area Office Alliance.
3. If the Regional Office decides to pursue a Region-wide Alliance, the Regional Office will provide the prospective Alliance participant with background on the Alliance Program, including the [Alliance Program webpage](#) and this Instruction. It will inform the prospective participant of the expectations for Alliance participants, including the *Fundamental Requirements for OSHA Alliance Program Participants*. See Section VIII.G.
4. Prospective Alliance participants will provide the Regional Office with background on their organization, proposed Alliance objectives, specific hazards/issues to be addressed, resources/expertise that the organization could devote to the Alliance, and how the organization would provide worker participation in Alliance activities.
5. The Regional Office will evaluate the proposal for alignment with OSHA's strategic priorities, Regional priorities, and this Instruction.
6. If the Regional Office determines that the proposed Alliance would be beneficial to the agency, then the Regional Office will work with the prospective Alliance participant(s) to develop a draft Alliance agreement using the agreement template. See Appendix A. For prospective new Alliances with multiple projects beyond dissemination, the parties may, but are not required to, prepare a work plan for the Alliance's first year and subsequent years as necessary.
7. Once a Regional Office decides to initiate the drafting of a Region-wide

Alliance agreement, it will notify DCSP of the primary groups involved, the Alliance's general purpose, and a target signing date. DCSP will notify OAS and appropriate Directorates of the proposed Alliance and will promptly inform the Regional Office of any issues raised by OAS.

8. The Regional Office will clear the draft agreement with the Regional Office SOL.
9. The Regional Office will submit the draft agreement to DCSP.
10. DCSP will review the draft agreement to determine if it is consistent with Alliance Program requirements. DCSP will submit draft Region-wide agreements with national implications (e.g., agreements signed by more than one Region or agreements signed by other agencies) to the National Office SOL for clearance. Regional Offices must receive approval from DCSP before signing Region-wide Alliance agreements.
11. The Regional Office must submit draft renewals of Region-wide Alliances to DCSP only if revisions to the Alliance agreement result in the Alliance having national implications.
12. The Region will submit signed Region-wide Alliance agreements and renewals to DCSP within 30 days of signing for posting on the OSHA public website.

See the Process Flow Chart in Appendix C for a summary of the steps for approval of a Region-wide Alliance.

F. Process for Establishing Area Office Alliances

1. A prospective Alliance participant may approach an Area Office about forming an Alliance. An Area Office may also reach out to organizations about entering into an Alliance.
2. The Area Office will provide the prospective Alliance participant with background on the Alliance Program, including the [Alliance Program webpage](#) and this Instruction. It will inform the prospective participant of the expectations for Alliance participants, including the *Fundamental Requirements for OSHA Alliance Program Participants*. See Section VIII.G.
3. Prospective Alliance participants will provide the Area Office with background on their organization, proposed Alliance objectives, specific hazards/issues to be addressed, resources/expertise that the organization could devote to the Alliance, and how the organization would provide worker participation in Alliance activities.
4. The Area Office will evaluate the proposal for alignment with OSHA's

strategic priorities, Regional and Area Office priorities, and this Instruction.

5. If the Area Office determines that the proposed Alliance would be beneficial to OSHA, the Area Office will work with the prospective Alliance participant(s) to develop a draft Alliance agreement using the agreement template. See Appendix A. For prospective new Alliances with multiple projects beyond dissemination, the parties may, but are not required to, prepare a work plan for the Alliance's first year and subsequent years as necessary.
6. Once an Area Office decides to initiate the drafting of an Alliance agreement, it will notify the Regional Alliance Program Coordinator of the primary groups involved, the Alliance's general purpose, and a target signing date. The Regional Alliance Program Coordinator will collect this information from the Area Offices and notify DCSP. DCSP will notify OAS and the appropriate Directorates of the proposed Alliance and will promptly inform the Regional Alliance Program Coordinator of any issues raised by OAS.
7. The Area Office will submit the draft agreement to the Regional Office for review. Area Office Alliance agreements do not need to be submitted to DCSP for review.
8. The Regional Office will submit the draft agreement to their Regional SOL for approval.
9. Area Offices will submit signed Alliance agreements to the Region. The Region must send Area Office Alliance agreements to DCSP within 30 days of the signing for posting on the OSHA public website.

See the Process Flow Chart in Appendix D for a summary of the steps for approval of an Area Office Alliance.

G. Fundamental Requirements for OSHA Alliance Participants

Alliance participants agree to the following fundamental requirements as a condition of their participation in the program:

1. **Commitment of time and resources:** Alliance participants must commit reasonable time and resources to achieve outreach and communication goals and objectives and complete any other mutually agreed-upon projects.
2. **Communication with OSHA staff:** Alliance participants must assign a point of contact to OSHA who will:
 - a. Respond promptly to email inquiries/telephone calls from OSHA staff.
 - b. Participate in Alliance meetings, as scheduled.
 - c. Keep OSHA staff informed of any significant communication/outreach or collaboration with any U.S. Department of Labor (DOL) - affiliated

entity or staff (e.g., other DOL agencies, OSHA's OAS, other DCSP offices, other OSHA directorates, and any OSHA Regional or Area Offices.)

3. **Outreach and Dissemination:** Alliance participants must disseminate information to their members and/or stakeholders, including employers and workers in their industry (e.g., through email blasts, websites, blog entries, newsletters, case studies, and social media) regarding OSHA rulemakings, enforcement initiatives, compliance assistance resources, and outreach campaigns and initiatives.
4. **Alliance Activity Reporting:** Twice a year, national Alliance participants must provide OSHA with a completed *Biannual Alliance Data Reporting Form* with data pertaining to Alliance-related dissemination efforts, events, speeches/presentations, and other activities as appropriate. DCSP submits this data for entry into OIS. Participants in Regional/Area Office Alliances must work with OSHA staff to compile Alliance activity information that OSHA staff enter into OIS.
5. **Alliance Projects:** For Alliance activities beyond outreach and dissemination, Alliance participants must follow the [Guidelines for OSHA's Alliance Program Participants: Alliance Products and Other Alliance Projects](#).
6. **Worker Representation:** When Alliance participants are employers and/or employer groups (e.g., trade associations), they must make a reasonable effort to secure meaningful worker participation in the Alliance. Regional/Area Offices should contact DCSP if they have any difficulties in fulfilling this requirement. Worker representation may be accomplished by several means, including but not limited to:
 - a. Having a union signatory to the Alliance (e.g., from a union with a presence and/or experience in the industry);
 - b. Having union participation or other worker involvement in Alliance development and implementation;
 - c. Having participation in the Alliance of community-based labor groups or similar organizations knowledgeable and involved in the issued addressed by the Alliance;
 - d. Inviting union representatives or community-based labor groups to implementation meetings;
 - e. Requesting union or community-based labor group representatives to review products in development;
 - f. Surveying the target audience (e.g., students, workers, union representatives) to identify gaps in existing training or educational resources that could be addressed by the Alliance, and/or to ascertain the effectiveness of the Alliances activities (e.g., outreach campaigns, trainings, products);
 - g. Obtaining input and feedback from consulates (in cases where workers are predominantly from other countries); or

- h. Including OSHA compliance assistance staff in Alliance Implementation Team meetings. This may include a representative from the OSHA National Office.
- 7. **Alliance Webpage:** Each national Alliance participant must develop, publish and maintain a stand-alone webpage devoted to the Alliance. The webpage page should include information and links to resources, including those developed by the Alliance, on safety and health issues affecting workers in the Alliance participant's industry, as well as worker and employer rights and responsibilities.
- 8. **Potential Conflicts of Interest:** Alliance participants must not use the Alliance or relationship with OSHA to promote or to imply the agency's endorsement of their policies, products, or services. Alliance participants must also acknowledge that they will not receive any preferential treatment related to any statutory function of the agency.
- 9. **Logo Use:** Alliance participants must abide by all terms and conditions for the use of the Alliance Program logo as specified in OSHA's [Guidelines for Use of the Alliance Logo](#). In addition, Alliance participants may not use the OSHA logo on Alliance products or any other materials, as DOL policy only allows its use on OSHA and Departmental materials. Unauthorized use may be an infringement of the Department's federally protected trademark rights and will be reported to OSHA's Office of Communications (OOC). See the agency's [July 25, 2005 Letter of Interpretation](#).

IX. Alliance Implementation

A. Alliance Coordinators

Upon signing an Alliance, OSHA assigns an Alliance Coordinator to serve as OSHA's point of contact for the Alliance participants. The Alliance participants also designate a representative to be the lead point of contact. OSHA and the Alliance participants may also designate additional representatives to serve on the Alliance Implementation Team.

B. Alliance Implementation Team Members

For national Alliances, the Implementation Team members include the national Alliance Coordinator, representatives from the Alliance participant(s), and subject matter experts from OSHA's National Office Directorates and Regions. For Regional and Area Office Alliances, the Implementation Team includes the OSHA Alliance Coordinator from the Regional or Area Office, representatives from the Alliance participant(s), and subject matter experts from OSHA's Regional or Area Offices.

For National, Regional, and Area Office Alliances, representatives from State Plans, OSHA Consultation programs, unions, other agencies, and/or other

organizations that are relevant stakeholders but not signatory organizations may also participate.

C. Alliance Implementation Team Meetings

1. The OSHA Alliance Coordinator should convene a kick-off meeting of the Implementation Team within 30 days of the Alliance signing to review the Alliance's planned activities for the upcoming year and work plan (if applicable).
2. The OSHA Alliance Coordinator will convene at least one Implementation Team meeting per year through teleconference or in person to ensure the Alliance remains on track and the Alliance activities are being successfully implemented. Additional Alliance meetings may be held as needed to address specific Alliance projects.

D. Alliance Activities

As specified in the *Fundamental Requirements* (Section VIII.G), all Alliance participants must conduct outreach and communication activities in support of OSHA's initiatives and resources.

OSHA will support this outreach and communication by providing timely information on OSHA and its activities to Alliance participants. OSHA will also connect Alliance participants with appropriate OSHA compliance assistance and technical staff who can support exhibits, and participate in meetings and other events to present information about the agency and its initiatives.

Alliance participants may conduct projects beyond outreach and dissemination. Priority is given to projects that fill gaps and support agency initiatives. Examples of these projects include:

1. Developing Alliance products. Alliance products should add value to existing OSHA or other workplace safety and health materials, fill gaps where such materials do not exist, or address an emerging issue. See [Guidelines for OSHA's Alliance Program Participants: Alliance Products and Other Alliance Projects](#).
2. Reviewing OSHA compliance assistance materials. This could include a subject matter expert from an Alliance participant providing technical review and feedback to ensure better reflection of real-world practices and conditions.
3. Planning and conducting stand-downs, training sessions, or other outreach events in support of key OSHA initiatives.
4. Providing technical briefings on industry operations and best practices for OSHA staff. Note: Alliance participants may become involved in litigation against OSHA. There is no blanket prohibition against having Alliance participants involved in active litigation brief OSHA staff. However, OSHA should review planned briefings on a case-by-case basis and consult with SOL.

For Alliance products and other projects that go beyond outreach and dissemination, Alliance participants must follow the [Guidelines for OSHA's Alliance Program Participants: Alliance Products and Other Alliance Projects](#).

For certain complex projects, Alliance participants may prepare project plans that outline the project's scope and goals, and identify milestones, timelines, and responsible parties, as outlined in the [Guidelines for OSHA's Alliance Program Participants: Alliance Products and Other Alliance Projects](#).

E. Alliance Forums

OSHA may hold Alliance Forums to bring Alliance participants together to hear OSHA updates, discuss safety and health topics and best practices, share Alliance successes, and identify opportunities for collaboration. For example, DCSP holds the following annual events: an Alliance Program Forum for all national Alliance participants and a Construction Roundtable for construction-related national Alliances.

F. Alliance Data Reporting

1. National Alliances

DCSP enters Alliance background information (e.g., Alliance name, signatory organizations, signing/renewal dates) into the Alliance OIS module.

National Alliance participants must submit Biannual Data Reporting Forms to DCSP twice a year, covering October – March and April – September of the fiscal year. Participants must submit these forms within 15 days of the end of the reporting period, on or about April 15 and October 15. DCSP compiles the biannual data and submits it for input into OIS.

2. Regional and Area Office Alliances

Regional and Area Offices enter Alliance background information (e.g., Alliance name, signatory organizations, signing/renewal dates) into the Alliance OIS module.

OSHA and the Alliance participants work together to collect information and data on Alliance dissemination efforts, events, speeches/presentations, and other activities, as appropriate. Regional and Area Offices must also enter Alliance activities into both the Alliance and Compliance Assistance OIS modules. Alliance activities in which an OSHA staff person participates are entered in the Compliance Assistance OIS module and associated with an Alliance. Alliance activities conducted by the participant without an OSHA staff person are entered in the Alliance OIS module as Participant Activities.

G. Annual Evaluations

OSHA Alliance Coordinators must conduct an annual evaluation to determine if Alliance participants are meeting the program's fundamental requirements listed in Section VIII.G. See Appendix A for sample annual evaluation checklists. Annual evaluations, which replace annual reports, should be done on a fiscal year basis.

If the participants are not meeting their fundamental requirements, OSHA will generally conclude the Alliance. At their discretion, Alliance Coordinators may allow Alliance participants that are making good faith efforts to meet the fundamental requirements additional time to do so. Critical in this decision is consideration for the Alliance participant's commitment of time and resources, communication with OSHA staff, outreach and dissemination efforts, and worker representation. When it becomes clear that a participant is not able to fulfill these aspects of the fundamental requirements due to a change in priorities or circumstances, an Alliance should be concluded.

Annual evaluations for Region-wide and Area Office Alliances are not required to be submitted to DCSP. The originating offices must maintain copies of annual evaluations for active Alliances and submit copies to the Regional Alliance Program Coordinator.

H. Program-Wide Annual Report

DCSP will develop a program-wide report on the Alliance Program using the activity data entered into OIS by DCSP, as well as the Regional and Area Offices. The report will be developed at the end of each fiscal year and made available on the OSHA public website in the second quarter of the following fiscal year. DCSP will share the report with the Regions for review before posting it on the OSHA public website.

X. Alliance Renewal, Promotion, or Conclusion

A. Completion of Initial Agreement: Renewal or Conclusion

As an Alliance approaches completion of its initial two-year agreement, OSHA will use the following criteria to determine whether to renew or conclude the Alliance:

1. Is the Alliance meeting the *Fundamental Requirements* (Section VIII.G)?
2. Is the Alliance meeting the Alliance agreement's goals?
3. Is the Alliance making sufficient progress on the projects in the work plan, if applicable?
4. Does the Alliance continue to be aligned with OSHA's strategic priorities?

Alliances that meet these criteria are eligible for renewal, which is for two to five years. Alliance renewals will follow a process similar to that in Section VIII, using the

Alliance Renewal Agreement template in Appendix A.

OSHA will conclude Alliances that do not meet these criteria. OSHA may also conclude an Alliance at any time based on its evaluation of these factors, if it gives 30 days' written notice. An Alliance participant may also terminate its participation in an Alliance at any time if it gives 30 days' written notice.

B. Completion of Initial Agreement and One Renewal Period: Conclusion or Promotion to Ambassador Status

Alliances that have completed an initial two-year agreement and one renewal period will generally be concluded or promoted to the status of Alliance Program Ambassador. OSHA will use the following criteria to make this determination:

1. Did the Alliance meet the *Fundamental Requirements* (Section VIII.G)?
2. Did the Alliance meet the Alliance agreement's goals?
3. Did the Alliance make sufficient progress on the projects in the work plan, if applicable?

National Alliances that meet these criteria will be given the opportunity to enter into an Alliance Program Ambassador relationship with OSHA. OSHA will conclude National Alliances that do not meet these criteria. OSHA will also conclude National Alliances if the Alliance participant chooses not to enter into an Ambassador relationship.

National Alliances that are active as of the effective date of this Directive and meet these criteria will be offered the opportunity to enter into an Alliance Program Ambassador relationship at the end of their current Alliance agreement. Alliance agreements may be extended to complete projects in progress.

Regional and Area Offices have discretion on whether to adopt the Ambassador Program option. Regional and Area Offices may continue to renew successful Alliances that have completed their initial two-year agreement and one renewal period.

C. Ambassador Status

Ambassador status reflects OSHA's recognition that participants have built and will continue to maintain a productive cooperative relationship with the agency. Alliance participants that are promoted to Alliance Program Ambassador sign a standard document with OSHA to establish the Ambassador relationship. See Appendix A for the Ambassador document template.

By promoting long-term, successful Alliance participants to Ambassador status, OSHA will have greater flexibility to enter into formal Alliances with more organizations. This will enable OSHA to enter into Alliances with organizations that may address industries or hazards not covered by the program, while continuing relationships with organizations that have demonstrated their

commitment to sharing workplace safety and health information with their stakeholders.

OSHA expects that Alliance Program Ambassadors will continue to share timely and relevant safety and health information with members, and work collaboratively on issues that emerge among its membership. Alliance Program Ambassadors must also comply with the [*Guidelines for OSHA's Alliance Program Participants: Alliance Products and Other Alliance Projects*](#). (For purposes of these guidelines, Alliance Program Ambassadors are considered active Alliances.) However, OSHA and the Ambassador participants do not have the data reporting and other requirements that come with a formal Alliance. The originating OSHA office should continue to associate outreach activities entered into the OIS Compliance Assistance module with the Alliance Ambassador.

Ambassador relationships remain in effect for the duration of an ongoing cooperative relationship and a good faith effort by both parties to meet the intent of the arrangement. Either party may terminate the Ambassador relationship at any time with a 30 days' written notice.

OSHA may consider previously concluded Alliances for promotion to Alliance Program Ambassador if they met the goals of their agreements and have maintained a robust, ongoing relationship with the agency, as evidenced by activities similar to Section VIII.G.

D. Concluded Alliances

OSHA may continue to maintain a relationship with organizations from concluded Alliances. For example, OSHA will continue to include concluded Alliance participants in its stakeholder lists and send routine communication unless instructed otherwise by the former Alliance participant.

Organizations from concluded Alliances:

1. Should not represent on their webpages or other materials that they have an active Alliance or Ambassador status with OSHA.
2. Should, if they developed Alliance products, follow the [*Guidelines for OSHA's Alliance Program Participants: Alliance Products and Other Alliance Projects*](#) as they relate to products from concluded Alliances.

XI. Responsibilities

A. Directorate of Cooperative and State Programs

DCSP is responsible for implementing the overall OSHA Alliance Program, coordinating the development of Alliance policy, implementing individual national Alliances, helping to coordinate and track Regional and Area Office Alliance activities, and advising the Assistant Secretary concerning Alliance

issues. DCSP–OOSA manages the Alliance Program.

DCSP is responsible for:

1. Working with prospective Alliance participants to develop draft agreements.
2. Developing and obtaining required clearances for draft national Alliance agreements.
3. Meeting with national Alliances at least once a year, and more frequently if necessary, to coordinate the implementation of each Alliance’s activities.
4. Planning and conducting forums, roundtables, and other intra-program activities for national Alliances.
5. Tracking, reporting on, and evaluating the impact of Alliance activities. DCSP will also enter Alliance information and activity in the Alliance and Compliance Assistance modules in OIS.
6. Reviewing Region-wide Alliances to ensure that they follow the guidelines in this Instruction and sending the draft Alliance agreements with national implications to the National Office SOL for approval.
7. Coordinating with OOC on national Alliance press releases; and *QuickTakes* stories and social media postings related to national, Regional, and Area Office Alliances.
8. Serving as liaisons to the Regional Alliance Program Coordinators.
9. Notifying OAS of Region-wide and Area Office Alliances in development.
10. Notifying the affected RA and State Plan of any Alliance-related activity that will take place in their Regions or State Plans.
11. Developing annual program-wide reports on the Alliance Program.
12. Maintaining this Instruction and developing needed policy documents, tools, and resources, in coordination with the Regions and Directorates, to effectively implement the program.

B. National Office Directorates

While national Alliances are coordinated through DCSP, other National Office

Directorates may initiate discussions with prospective Alliance participants. Successful coordination depends on communication with DCSP. Likewise, the views and participation of policy, subject matter, and other experts from relevant Directorates and field offices are important to the development and implementation of Alliances initiated by DCSP. Thus, Directorates are responsible for:

1. Including DCSP as soon as possible in discussions regarding a potential Alliance.
2. Informing DCSP of any activities or collaboration with Alliance participants.
3. Providing comments on draft national Alliance agreements.
4. Alerting DCSP to any issues or problems that are relevant to the implementation of a national Alliance.
5. Actively participating on Alliance Implementation Teams as subject matter experts. This may include serving as reviewers of products developed by Alliance participants.

C. Regional Administrators

RAs or their designees are responsible for:

1. Ensuring that Regional and Area Office Alliances are developed and implemented in accordance with this Instruction.
2. Designating a Regional Alliance Program Coordinator who will ensure that the originating office of each Alliance establishes and maintains accurate oversight, coordination, and documentation of Alliance activities.
3. Signing Alliances developed at the Regional Office level and ensuring that the Area Directors (ADs) sign those Alliances developed at the Area Office level.
4. Disseminating Alliance information to Area Offices, State Plans, and Consultation programs, as appropriate.
5. Commenting promptly on draft national Alliance agreements, and thereafter, if the need arises.
6. Ensuring that draft Area Office Alliances are submitted to the Regional SOL for review.

7. After appropriate internal review, submitting draft Region-wide Alliance agreements to the National Office for transmittal to SOL for approval.
8. Implementing Region-wide Alliances, including holding implementation team meetings, conducting and monitoring activities, and entering information into OIS.
9. Sending signed Alliance agreements to DCSP within 30 days of signing.

D. Area Directors

ADs or their designees are responsible for:

1. Ensuring that draft Alliances originating at the Area Office level are submitted to the Regional Office to be reviewed for programmatic consistency.
2. Signing Alliances developed at the Area Office level.
3. Ensuring that DCSP or the Regional Alliance Program Coordinator is notified when the process for drafting an Area Office Alliance has been initiated.
4. Ensuring that copies of signed Alliance agreements are sent to the Regional Alliance Program Coordinator.
5. Ensuring that Area Office Alliances are effectively implemented.

E. National Alliance Coordinators

National Alliance Coordinators are responsible for:

1. Working with prospective Alliance participants and other stakeholders on outreach and other activities.
2. Developing and clearing national Alliance agreements.
3. Ensuring effective implementation of the Alliance agreement and work plan (if applicable).
4. Convening the implementation team, once a year at a minimum, or more often as needed, by teleconference or in person.
5. Sharing relevant information on OSHA policy and resources with assigned Alliance participants.

6. Leading or supporting the planning of Alliance forums and roundtables.
7. Maintaining adequate documentation, including the original agreement and renewal agreements, annual Alliance evaluations, and other relevant materials.
8. Entering Alliance activity and background information in OIS.
9. Ensuring that the information on OSHA's Alliance webpage is accurate for the national Alliances that they manage and the Regions for which they are liaisons, to include posting of the signed Alliance agreements.
10. Keeping DCSP–OOSA apprised of significant events and issues.
11. Coordinating with Directorates, and National and Regional Offices as necessary for effective functioning, especially with regard to participation of appropriate subject matter experts and/or reviewers.
12. Responding to requests for information.
13. Identifying, developing, and disseminating lessons learned from Alliance implementation, including successes, setbacks, and obstacles faced and overcome, to promote continual improvement of the Alliance Program.
14. Serving as the National Office liaison to OSHA Regions. This includes answering Alliance policy and implementation questions from Regional Alliance Program Coordinators and coordinating with Regional Alliance Program Coordinators on *QuickTakes* stories and social media postings.

F. Regional Alliance Program Coordinators

Regional Alliance Program Coordinators are responsible for:

1. Maintaining regular communication with Alliance Coordinators in the Area Offices to support them as needed, as well as communicating issues or concerns to the National Office.
2. Submitting draft Consulate Alliance agreements to DCSP.
3. Submitting Alliance agreements and renewals, including Consulate Alliance agreements, to DCSP as soon as possible after they are

signed, but not later than 30 days after signing.

4. Notifying the National Office liaison in DCSP of concluded Alliances as soon as possible after they are concluded, but not later than 30 days after conclusion.
5. Notifying DCSP when the process for drafting a Region-wide or Area Office Alliance has been initiated.
6. Maintaining Region-wide and Area Office annual evaluation checklists.
7. Supporting the Regional Office in implementation of Region-wide Alliances.
8. Encouraging and supporting appropriate State Plan and Consultation Program participation in Region-wide and Area Office Alliances.

G. Area Office Alliance Coordinators

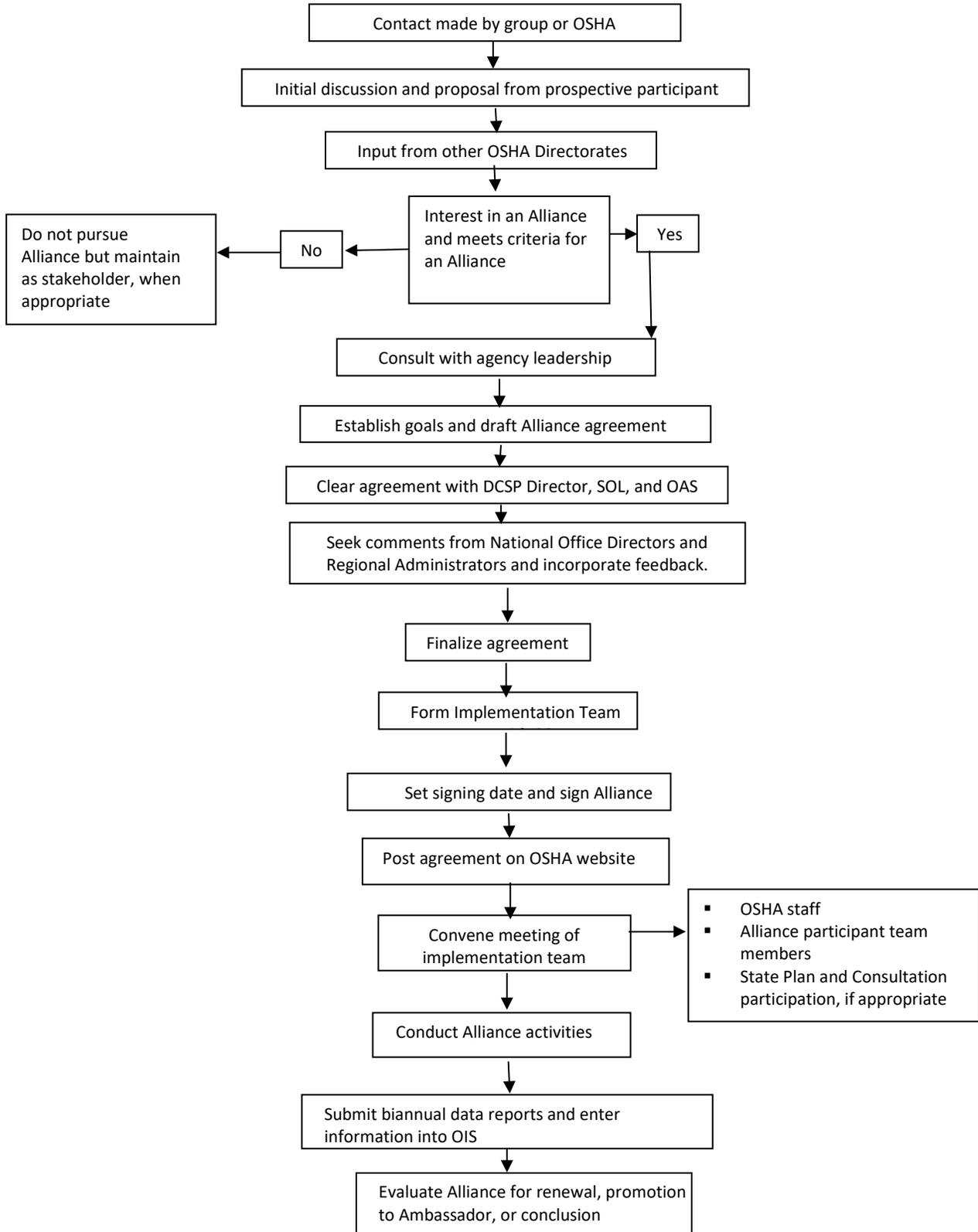
Area Office Alliance Coordinators are responsible for:

1. Developing draft Area Office Alliance agreements and work plans (if applicable).
2. Implementing Area Office Alliances, including holding implementation team meetings as necessary, conducting and monitoring activities.
3. Entering Alliance activity and background information in OIS.
4. Maintaining adequate documentation, including the original agreement and renewal agreements, annual Alliance evaluations, and other relevant materials.

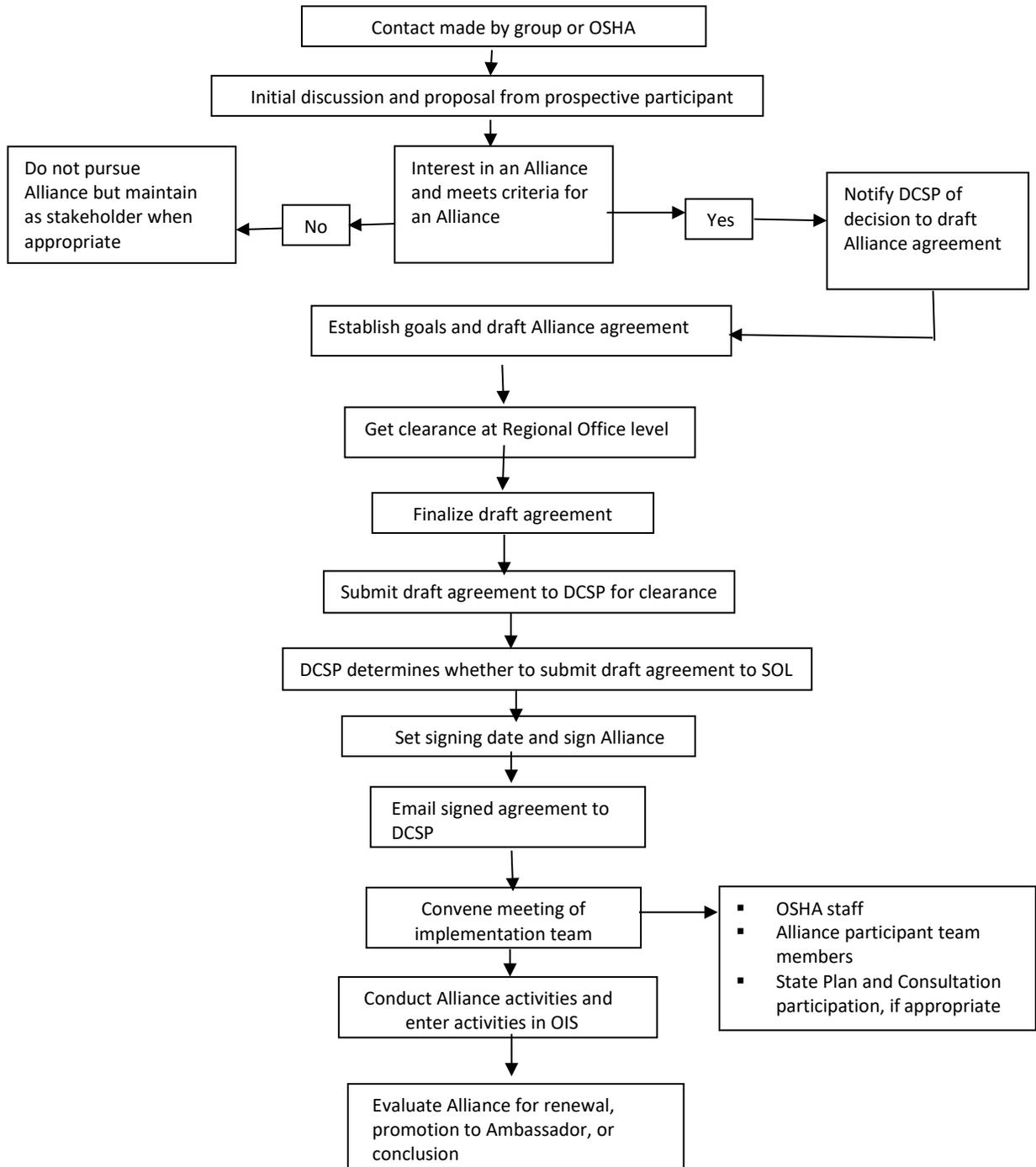
Appendix A: Templates and Sample Documents

Templates for Alliance agreements and renewals, Alliance annual evaluation checklists, and a sample Alliance work plans are available on the OSHA website at www.osha.gov/alliances/templates .

Appendix B: Process Flow Chart for National Alliance



Appendix C: Process Flow Chart for Regional Office Alliance



Appendix D: Process Flow Chart for Area Office Alliance

