

IOSH Instruction
IACSP 04-01-002 IOSH Alliance Program

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IOSH NOTICE

Workforce Development Department
(IOSH)

Iowa Occupational Safety and Health

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I. Purpose. This Directive establishes the Division's revised policies and guidelines for the management and operation of the Division's Alliance Program. The directive modifies and clarifies the purposes and requirements of alliances, defines the duties of Iowa OSHA in relation to alliances, and provides general direction for the development and conduct of alliances.

II. Scope. This instruction applies to the State of Iowa.

III. Cancellations. This directive supersedes OSHA Directive Number CSP 04-01-001 of June 6, 2004, and incorporates the changes in the "Revised Alliance Program Participation Criteria" memorandum of July 8, 2010 by Assistant Secretary Dr. David Michaels.

IV. Significant Changes

This revision:

- Incorporates the policy changes to the original alliance directive of the July 8, 2010 memorandum from the Assistant Secretary for OSHA, entitled "Revised Alliance Program Participation Criteria."
- Expands the types of organizations with which alliances are encouraged by explicitly including labor unions and other worker advocate labor groups, community- and faith-based organizations, and consulates. While these were not excluded in the past, most past alliances have been with trade associations, employers and professional associations.
- Explicitly and strongly encourages OSHA and trade association and employer alliance signatories to ensure, whenever possible, that alliances have active labor voices, preferably through the active participation of unions in these alliances. Iowa OSHA staff is encouraged to help recruit union or labor representatives for such alliances whenever possible.
- More explicitly defines the purposes and requirements for alliances, particularly the requirement for alliances to operate according to agreements with well-defined goals and specific objectives, including a written work plan that translates the agreement's broad goals into specific objectives, actions, products and activities, including information about how and when these objectives will be achieved.
- More explicitly states the expectations that alliances will evaluate the impact of their activities on workplace safety and health, and that Iowa OSHA staff will also evaluate the performance of alliances when determining whether to renew an alliance.
- Reduces some of the administrative burdens and recordkeeping requirements of the alliances by reducing the required yearly meetings to twice per year, with more only as necessary.
- Defines the expected duration of initial and renewal alliance agreements.
- This instruction does not bind the Agency to approve or disapprove any particular Alliance, limit the Agency's discretion to enter into Alliances, or create any rights for private parties.

V. Definitions

A. Alliances

Iowa OSHA Alliances are formal, voluntary, cooperative relationships between Iowa 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. They may also include participation by Consultation Projects and other stakeholders. The purpose of alliances is to improve worker safety and health; the requirements they must meet are described in Section VII of this Directive.

B. Alliance Agreement

A document that defines the agreement between the Division and the alliance signatories. It is signed by senior representatives of both parties. The agreement describes the broad goals of the alliance and how it will generally meet the requirements in this Directive through specific objectives, as described in Section VII. For example, agreements commonly identify the hazard(s) in an industry segment or other topics which will be the focus of the alliance's work, the segments of the workforce towards which the efforts will be primarily directed, a description of the activities that are planned to address the hazard(s) or other topics (e.g., the tools planned, such as videos, text materials, social media--and the rationale for these choices). Work Plans, defined below, provide more specific detail about how the agreements will be implemented.

See the OSHA Web site at www.osha.gov/dcsp/alliances/template.html for model templates for alliance agreements.

C. Alliance Work Plan

A written document developed yearly by the Alliance Implementation Team that describes the specific activities and products that the Alliance will complete in a given year. Work Plans will be consistent with the Alliance agreement, but provide more detail about the specific goals, tools, audiences, responsible parties, timelines, metrics for evaluating impact and success, and other aspects of the projected work of the alliance during the year. The basic outlines of the first year's Work Plan for a new alliance will be developed and agreed upon jointly by Iowa OSHA and 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.

See the OSHA Web site at www.osha.gov/dcsp/alliances/template.html for sample templates for alliance work plans.

D. Alliance Program Signatory

Any party that signs an Alliance agreement with Iowa OSHA, signifying that it is willing to work collaboratively with Iowa OSHA to fulfill the alliance requirements described in Section VII. Examples of groups that may be alliance signatories can be found in the definition of Alliances above.

Signatories from the alliance participants should be senior officials, and Iowa OSHA signatories to Alliances should be the highest authorities in the Iowa OSHA office that develops the agreement. The Labor Commissioner must sign Alliances developed for the state.

E. Alliance Annual Reports

An annual report, prepared by the Alliance Coordinator for the purposes of documenting and evaluating each alliance's activities. The report may be posted on Iowa OSHA's web pages. 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.

See the OSHA Web site at <http://www.osha.gov/dcsp/alliances/template.html> for sample templates for annual reports.

F. Implementation Team

The group of representatives from Iowa OSHA and the signatory organization(s) who meet in person or teleconference at least twice per year to plan and implement the actions to be undertaken by the alliance under its Agreement and Work Plan.

Implementation Team members include representatives from the signatory organizations, a representative from Iowa OSHA and others such as OSHA Consultation Projects, unions, other agencies and/or other organizations that are relevant stakeholders but not signatories may also participate.

VI. Alliance Purposes and Requirements

A. Alliance Purposes

The primary purpose of the Alliance Program is to enable the Division 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 Iowa OSHA's assistance, and that employers and workers respectively increase knowledge of their responsibilities and rights under the *Iowa Occupational Safety and Health Act*.

B. Alliance Duration

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

C. Criteria for New and Renewed Alliances

1. Alliance Program participants are committed to working closely with Iowa OSHA to develop and share information with workers and employers to help prevent injuries, illnesses, and fatalities in the workplace.
2. Alliance Program participants work to educate workers and employers about their rights and responsibilities under the *Iowa Occupational Safety and Health Act*, including the prevention of retaliation against employees engaging in protected activity.
3. Alliances provide a forum for employers and workers 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:
 - a) Having a union signatory whenever possible (e.g., from a union with a presence and/or experience in the industry); or
 - b) Having worker involvement in the Alliance Agreement's development and implementation, including project workgroups; or
 - c) Having participation in the alliance of community-based labor groups or similar organizations knowledgeable and involved in the issues addressed by the alliance.
4. Alliances support the Iowa OSHA's strategic goals of enhancing worker voice 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:
 - a) Possessing sufficient knowledge and resources to fulfill the goals of the Alliance agreement.
 - b) 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).
 - c) 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 Iowa OSHA standards and, whenever possible, go beyond compliance through best practices.

- d) Providing tripartite participation through which management, workers and their representatives and Iowa 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.
- e) Supporting Iowa OSHA enforcement initiatives, such as by sharing information on national or local emphasis programs and/or developing compliance assistance materials for these and other specifically-targeted hazards/industries.
- f) Communicating information through alliance channels about OSHA's new and revised standards, enforcement initiatives, OSHA's whistleblower protection program, emphasis programs, specific workplace hazards and their controls, OSHA strategic initiatives, and similar matters.
- g) Providing Iowa OSHA staff with training opportunities and/or unique and desired skills or resources.
- h) Operating according to a written Work Plan that defines the specific activities and products the alliance will seek to complete.
- i) Developing and implementing methods and metrics to evaluate the impact of alliance activities on workplace safety and health.
- j) Making their products available to the public free of any charges.
- k) 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.

VII. Responsibilities

A. Iowa OSHA

Iowa OSHA is responsible for implementing the overall Alliance Program, coordinating the development of Alliance policy, implementing individual Alliances, helping to coordinate and track activities, and advising the Labor Commissioner concerning Alliance issues. Specifically, Iowa OSHA is responsible for:

1. Meeting with Alliances at least twice a year, and more frequently if necessary, to facilitate the implementation of each Alliance's work plan.
2. Tracking, reporting on, and evaluating the impact of Alliance activities, including completing annual reports.
3. Management will review and comment regarding resource implications, desire to participate in the alliance, relevant past experience with the potential Alliance Program participant(s) – including any enforcement or legal issues, or other factors that could have an impact on an alliance.
4. Sending draft Alliance agreements to Legal of the Division of Labor for Iowa OSHA to obtain formal approval to sign the agreement.
5. Signing alliances developed at the State Office level.
6. Identifying, developing and disseminating to the Division 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.
7. Ensuring that copies of signed alliance agreements are sent to the Area Office and annual reports are maintained by the Alliance Program Coordinator.

B. Alliance Coordinators

Alliance Coordinators are responsible for the following tasks for the alliances assigned to them:

1. General oversight.
2. Ensuring timely operation according to their agreement and written work plan.
3. Convening the implementation team, twice/year at a minimum, or more often as needed, by teleconference or in person.
4. 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 into the Iowa OSHA Alliance Database.
5. Keeping the Labor Commissioner and management apprised of significant events and issues.

6. Coordinating with Iowa OSHA as necessary for effective functioning, especially with regard to participation by appropriate subject matter experts and/or reviewers.
7. Responding to requests for information.
8. 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.
9. Encouraging, supporting, and facilitating appropriate Enforcement, Training and Consultation Project participation Alliances.

IX. Procedures for Iowa OSHA Alliance Establishment, Operation, Renewal and Termination

A. Alliance Establishment

The Alliance Coordinator must:

1. Engage the proponent(s) of an alliance in a dialogue to explain the purposes, requirements and expectations of alliances, provide relevant information, including this directive, 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.
2. Evaluate the proposal within the Division for its potential value to the strategic goals of the Division and its alignment with this directive, and share the observations with the proponents to refine the proposal.
3. If the review of the proposed alliance judges it to be beneficial to the Division, present the proposal to the leadership for approval before pursuing it further.
4. 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.
5. Engage appropriate Iowa OSHA management and field personnel to be part of an Implementation Team. Their selection depends on the subject matter of the alliance, the expertise needed, and the resources available.
6. Once the draft agreement and preliminary work plan are agreed upon by the Division and the proponent(s), implement the steps necessary for a formal signing.
7. 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 must be senior executive representatives of both the proponent(s) and the Agency. In the case of Iowa OSHA the signatory may be the Labor Commissioner or their designees.

B. Alliance Operation

The Alliance Coordinator must:

1. Convene a meeting of the Implementation Team to finalize the Work Plan for the first year of the alliance (and yearly for subsequent periods).
2. 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.
3. Maintain and communicate to the appropriate recipients 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.

C. Alliance Renewal or Termination

To determine whether to renew or terminate an Alliance, Iowa OSHA staff will:

1. Conduct evaluation(s) on the performance and impacts of each alliance on a periodic basis, at least annually, against their identified goals and written work plan. (see VI,C, 4).
2. Discuss the evaluation with the alliance participants.
3. Based on the evaluation and discussion with alliance participants, recommend to management:
 - a. Renewal;
 - b. A conditional extension based on written expectations of improved performance within specified timelines; or
 - c. 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 Iowa OSHA's or the Alliance Program participants' strategic direction that results in the alliance no longer being aligned with agency 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.
5. Any signatory may terminate its participation in an alliance at any time, provided that it gives 30 days written notice.

X. Consulate Alliances

Iowa OSHA may sign alliances with consulates from countries with nationals in the U.S. workforce. Templates for consulate alliance agreements are available at www.osha.gov/dcsp/alliances/template.html.

XI. Other General Alliance Considerations

A. Potential Conflicts of Interest

Whether the alliance participants are private or non-profit organizations, the Division 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 the Division.

B. Iowa OSHA Recognition of Alliances

Iowa OSHA officially recognizes alliances through press releases, postings on the Iowa OSHA Web page, and coverage in the Agency's print and electronic publications.

Appendix A: Process Flow Chart for State Office Alliance



