

## Non Compliance, Corrective Action, and Sanction Guidelines

<b>AREA OF NON-COMPLIANCE</b>	<b>CORRECTIVE ACTION</b>	<b>PRE-SANCTION AND SANCTION</b>
<p>1. Practices and policies</p> <p style="padding-left: 20px;">A. Policies or procedures which discriminate, or have the effect of excluding identifiable groups of individuals or denying the administration of benefits, participation in, employment, or other activities in connection with WIA.</p>	<ol style="list-style-type: none"> <li>1. Technical Assistance.</li> <li>2. Elimination or modification of policies, practices and procedures which have been found to be discriminatory within a time period specific by the state's procedures</li> </ol>	<ol style="list-style-type: none"> <li>1. Warning of non-compliance.</li> <li>2. Recommendation of reduction of funding.</li> <li>3. Reduction of funding</li> </ol>
<p style="padding-left: 20px;">B. Programs, activities, or services that are inaccessible to disabled or limited English-speaking individuals.</p>	<ol style="list-style-type: none"> <li>1. Technical Assistance</li> <li>2. Identification of inaccessible features, and modification of inaccessible features, within time frame specified by the state's procedures</li> </ol>	<ol style="list-style-type: none"> <li>1. Warning of non-compliance.</li> <li>2. Reduction of funding.</li> <li>3. Disallowance of costs in inaccessible programs, activities, or services.</li> <li>4. Elimination of funding.</li> </ol>
<b>AREA OF NON-COMPLIANCE</b>	<b>CORRECTIVE ACTION</b>	<b>PRE-SANCTION AND SANCTION</b>
<p>C.) Non-existent, incomplete, or inadequate accessibility assessment tool on file as required by Section 504 of the</p>	<ol style="list-style-type: none"> <li>1. Acquisition of technical assistance materials.</li> <li>2. Production of such a document within a</li> </ol>	<ol style="list-style-type: none"> <li>1. Warning of non-compliance.</li> <li>2. Reduction of funding.</li> </ol>

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Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990	time period specified by the state's procedures.	
D.) Policies, practices, or procedures which are not in compliance with Section 188, 29 CFR 37, or other civil rights legislation.	<ol style="list-style-type: none"> <li>1. Acquisition of technical assistance materials.</li> <li>2. Prompt modification or elimination of non-complaint policies, practices, and procedures within a time specified by the state's procedures.</li> </ol>	<ol style="list-style-type: none"> <li>3. Warning of non-compliance</li> <li>4. Reduction of funding.</li> <li>5. Elimination of funding</li> </ol>
E.) Non-existence of a staff analysis by race, sex, and age.	<ol style="list-style-type: none"> <li>1. Completion of staff analysis within 1 month of receipt of non-compliance.</li> </ol>	<ol style="list-style-type: none"> <li>1. Warning of non-compliance</li> <li>2. Recommendation of reduction of funding.</li> <li>3. Reduction of funding</li> </ol>
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II. ADMINISTRATIVE DUTIES  A. Lack of implementation of procedure for resolving complaints alleging a violation of the WIA, or relating to terms and conditions of employment.	Obtain technical assistance, and take necessary steps to achieve compliance.	<ol style="list-style-type: none"> <li>1. Warning of non-compliance.</li> <li>2. Terminate federal financial assistance</li> </ol>
B. Service provider complaint procedures which are not in	Obtain technical assistance and take necessary steps to achieve compliance.	<ol style="list-style-type: none"> <li>1. Warning of non-compliance.</li> </ol>

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compliance with 29 CFR 37		<ol style="list-style-type: none"> <li>2. Suspension of federal financial assistance.</li> <li>3. Discontinue federal financial assistance.</li> </ol>
D. Failure to comply with equal opportunity directives issued by Governor's liaison or the state EO officer, as his designee, and with applicable laws and regulation.	Take prompt action to comply within a time frame specified in the state's procedures.	<ol style="list-style-type: none"> <li>1. Warning of non-compliance.</li> <li>2. Discontinue federal assistance</li> </ol>
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E. Failure to carryout oversight responsibilities by monitoring equitable service performance of its subcontractors.	Require immediate implementation of oversight and written report of the results to the state EO office within 3 months of the receipt of report of noncompliance.	
F. Failure to collect and maintain records as required in 29 CFR 37.	Take prompt action to comply within a time frame specified by the state's procedures.	<ol style="list-style-type: none"> <li>1. Warning of non-compliance.</li> <li>2. Suspension of federal financial assistance.</li> <li>3. Termination of federal financial assistance.</li> </ol>