



INDIANA
DEPARTMENT OF
WORKFORCE
DEVELOPMENT

CORRECTIVE ACTIONS AND SANCTIONS

Nondiscrimination Plan – Element 9

Regulatory Oversight and Compliance

Department of Workforce Development





CORRECTIVE ACTIONS/ SANCTIONS

- *[29 CFR 38.86 through 38.115]*
 - Corrective Actions
 - Sanctions



CORRECTIVE ACTIONS

- Corrective actions must be designed to completely address each violation and may result from an annual monitoring review, a discrimination complaint, or both. Recipients must have procedures in place for obtaining prompt corrective action. Local EO Officers must notify the State EO Officer of violations discovered, corrective actions implemented, and timeframes for completion.
- If the State EO Officer determines a violation has occurred, the recipient will be notified and corrective action, including anticipated resolution timelines, will be required. The State EO Officer and/or ROC Monitoring Resolution staff will provide technical guidance and thoroughly track the resolution process. If a recipient does not undertake the corrective actions specified, a conciliation agreement should be initiated and completed based on the model outlined in 29 CFR Part 38.



SANCTIONS

- Sanctions will be considered as a last resort. DWD is in process of developing updated Sanctions policy and procedure to align with WIOA. Generally speaking and as provided in DWD Policy, sanctions may be necessary when a recipient refuses to implement voluntary corrective action, submit requested data or documentation, or refuses to provide access to premises or records during a compliance review.
- Sanctions that may be imposed include, but are not limited to:
 - Termination or reduction of funding;
 - Disallowance of selected costs;
 - Restriction from bidding on competitive or discretionary funds.



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NDP Element 9 Quiz

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