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question is an “equal opportunity employer/program” and that “auxiliary aids and services are available upon request to individuals with disabilities.” Where such materials indicate that the recipient may be reached by telephone, the materials shall state the telephone number of the TDD or relay service used by the recipient, as required by §34.6.

(2) Recipients required by law or regulation to publish or broadcast program information in the news media shall ensure that such publications and broadcasts state that the JTPA-funded program or activity in question is an equal opportunity employer/program (or otherwise indicate that discrimination in the JTPA-funded program or activity is prohibited by Federal law), and indicate that auxiliary aids and services are available upon request to individuals with disabilities.

(3) A recipient shall not use or distribute a publication of the type described in paragraph (b) of this section which suggests, by text or illustration, that such recipient treats beneficiaries, applicants, participants, employees or applicants for employment differently on any prohibited ground specified in §34.1(a), except as such treatment is otherwise permitted under Federal law or this part.

(c) *Services or information in a language other than English.* A significant number or proportion of the population eligible to be served or likely to be directly affected by a JTPA-funded program or activity may need service or information in a language other than English in order that they be effectively informed of or able to participate in the JTPA-funded program or activity. In such circumstances, the recipient shall take reasonable steps, considering the scope of the program and the size and concentration of such population, to provide to such persons, in appropriate languages, the information needed; the initial and continuing notice required pursuant to paragraph (a) of this section; and such written materials as are distributed pursuant to paragraph (b) of this section.

(d) *Orientation.* The recipient shall, during each presentation to orient new participants and/or new employees to its JTPA-funded program or activity,

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include a discussion of participants’ and/or employees’ rights under the nondiscrimination and equal opportunity provisions of JTPA and this part, including the right to file a complaint of discrimination with the recipient or the Director.

(e) As provided in §34.6, the recipient shall take appropriate steps to ensure that communications with individuals with disabilities are as effective as communications with others.

### §34.24 Data and information collection; confidentiality.

(a) *Data and information collection.* The Director shall not require submission of data that can be obtained from existing reporting requirements or sources, including those of other agencies, if the source is known and available to the Director.

(1) Each recipient shall collect such data and maintain such records, in accordance with procedures prescribed by the Director, as the Director finds necessary to determine whether the recipient has complied or is complying with the nondiscrimination and equal opportunity provisions of JTPA or this part.

(2) Such records shall include, but are not limited to, records on applicants, eligible applicants, participants, terminees, employees and applicants for employment. Each recipient shall record the race/ethnicity, sex, age, and where known, disability status, of every applicant, eligible applicant, participant, terminee, applicant for employment and employee. Such information shall be stored in such a manner as to ensure confidentiality and shall be used only for the purposes of record-keeping and reporting; determining eligibility, where appropriate, for JTPA-funded programs or activities; determining the extent to which the recipient is operating its JTPA-funded program or activity in a nondiscriminatory manner; or other use authorized by the nondiscrimination and equal opportunity provisions of JTPA or this part.

(3) In addition to the information which shall be collected, maintained, and upon request, submitted to the Directorate pursuant to paragraphs (a)(1) and (a)(2) of this section:

(i) Each grant applicant and recipient shall promptly notify the Director of any administrative enforcement actions or lawsuits filed against it alleging discrimination on the ground of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in JTPA;

(ii) Each grant applicant (as part of its application) and recipient (as part of a compliance review conducted pursuant to §34.40 (b) or (c), or monitoring activity carried out pursuant to §34.34) shall provide: the name of any other Federal agency that conducted a civil rights compliance review or complaint investigation during the two preceding years in which the grant applicant or recipient was found to be in noncompliance; and shall identify the parties to, the forum of, and case numbers pertaining to, any administrative enforcement actions or lawsuits filed against it during the two years prior to its application (or, with respect to recipients, its renewal application) which allege discrimination on the ground of race, color, religion, sex, national origin, age, disability, political affiliation or belief, citizenship or participation in JTPA;

(iii) Each recipient shall maintain a log of complaints filed with it that allege discrimination on the ground of race, color, religion, sex, national origin, age, disability, political affiliation or belief, citizenship or participation in JTPA. The log shall include: the name and address of the complainant; the ground of the complaint, i.e., race, color, religion, sex, national origin, age, disability, political affiliation or belief, citizenship or participation in JTPA; a description of the complaint; the date the complaint was filed; the disposition and date of disposition of the complaint; and other pertinent information.

(4) At the discretion of the Director, grant applicants and recipients may be required to provide such information and data as are necessary to investigate complaints and conduct compliance reviews on grounds prohibited under the nondiscrimination and equal opportunity provisions of JTPA and this part, other than race/ethnicity, sex, age, and disability.

(5) At the discretion of the Director, recipients may be required to provide such particularized information and/or to submit such periodic reports as the Director deems necessary to determine compliance with the nondiscrimination and equal opportunity provisions of JTPA or this part.

(6) At the discretion of the Director, grant applicants may be required to submit such particularized information as is necessary to determine whether or not the grant applicant, if funded, would be able to comply with the nondiscrimination and equal opportunity provisions of JTPA or this part.

(7) *Service providers.* A service provider's responsibility for collecting and maintaining the information required pursuant to this section may be assumed by the Governor, SDA grant recipient or Substate grantee, as provided in the State's Methods of Administration.

(b) *Access to sources of information.* (1) Each grant applicant and recipient shall permit access by the Director during normal business hours to its premises and to its employees and participants, to the extent that such individuals are on the premises during the course of the investigation, for the purpose of conducting complaint investigations, compliance reviews, monitoring activities associated with a State's development and implementation of a Methods of Administration, and inspecting and copying such books, records, accounts and other materials as may be pertinent to ascertain compliance with and ensure enforcement of the nondiscrimination and equal opportunity provisions of JTPA or this part.

(2) Asserted considerations of privacy or confidentiality shall not be a basis for withholding information from the Directorate and shall not bar the Directorate from evaluating or seeking to enforce compliance with the nondiscrimination and equal opportunity provisions of JTPA and this part. Information obtained pursuant to the requirements of this part shall be used only in connection with compliance and enforcement activities pertinent to the nondiscrimination and equal opportunity provisions of JTPA and this part. Whenever any information required of a grant applicant or recipient

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is in the exclusive possession of another agency or institution which, or person who, fails or refuses to furnish such information, the grant applicant or recipient shall provide certification to the Directorate of such refusal and the efforts it has made to obtain the information.

(c) *Record retention requirements.* (1) Each recipient shall maintain for a period of not less than three years from the close of the applicable program year, applicant, eligible applicant, participant, terminatee, employee and applicant for employment records; and such other records as are required under this part or by the Director. (2) Records regarding complaints and actions taken thereunder shall be maintained for a period of not less than three years from the date of resolution of the complaint.

(d) *Confidentiality.* The identity of any person who furnishes information relating to, or assisting in, an investigation or a compliance review shall be kept confidential to the extent possible, consistent with a fair determination of the issues. A person whose identity it is necessary to disclose shall be protected from retaliation (see §34.8).

(e) Where designation of persons by race or ethnicity is required, the guidelines of the Office of Management and Budget shall be used.

### **Subpart C—Governor’s Responsibilities To Implement the Nondiscrimination and Equal Opportunity Requirements of JTPA**

#### **§ 34.30 Application.**

This subpart applies to State Programs as defined in §34.2. However, the provisions of §34.32 (b) and (c) do not apply to State Employment Security Agencies (SESAs), because the Governor’s liability for any noncompliance on the part of a SESA cannot be waived.

#### **§ 34.31 Recordkeeping.**

The Governor shall ensure that recipients collect and maintain records in a manner consistent with the provisions of §34.24 and any procedures prescribed by the Director pursuant to §34.24(a)(1). The Governor shall further

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ensure that recipients are able to provide data and reports in the manner prescribed by the Director.

#### **§ 34.32 Oversight and liability.**

(a) The Governor shall be responsible for oversight of all JTPA-funded State programs. This responsibility includes ensuring compliance with the nondiscrimination and equal opportunity provisions of JTPA and this part, and negotiating with the recipient to secure voluntary compliance when non-compliance is found under §34.45.

(b) The Governor and the recipient shall be jointly and severally liable for all violations of the nondiscrimination and equal opportunity provisions of JTPA and this part by the recipient, unless the Governor has:

(1) Established and adhered to a Methods of Administration, pursuant to §34.33, designed to give reasonable guarantee of the recipient’s compliance with such provisions;

(2) Entered into a written contract with the recipient which clearly establishes the recipient’s obligations regarding nondiscrimination and equal opportunity;

(3) Acted with due diligence to monitor the recipient’s compliance with these provisions; and

(4) Taken prompt and appropriate corrective action to effect compliance.

(c) If the Director determines that the Governor has demonstrated substantial compliance with the requirements of paragraph (b) of this section, he or she may recommend to the Secretary that the imposition of sanctions against the Governor be waived and that sanctions be imposed only against the noncomplying recipient.

#### **§ 34.33 Methods of Administration.**

(a)(1) Each Governor shall establish and adhere to a Methods of Administration for State programs as defined in §34.2. In those States in which one agency contains both SESA and JTPA programs, the Governor may develop a combined Methods of Administration.

(2) Each Methods of Administration shall be designed to give reasonable guarantee that all recipients will comply and are complying with the nondiscrimination and equal opportunity provisions of JTPA and this part.