
CHAPTER 3. STATUS SUMMARY LOGS
TITLE VIII OF THE CIVIL RIGHTS ACT OF 1968;
AFFIRMATIVE FAIR HOUSING MARKETING REGULATIONS;
EXECUTIVE ORDER 11063

3-1 Applicability. The following applies to the status summary log for complaints and the status summary log for compliance reviews under the following authorities:

- a. Title VIII of the Civil Rights Act of 1968
- b. Affirmative Fair Housing Marketing Regulations
- c. Executive Order 11063

The HUD 930.1A shall be used to record the status of all complaints processed under any of the above listed authorities; the HUD 930.1A shall be used to record the status of all compliance reviews conducted under any of the above listed authorities. These logs shall be maintained on a current basis in each Regional Fair Housing Equal Opportunity Office in order that the exact status of a complaint or compliance review can be determined at all times by the Director, Regional FHEO.

3-2 General Description. The HUD 930.1A shall contain identification and status information on Title VIII and EO 11063 complaints. In general, the HUD 930.1A contains a unique case identification code (file number), information describing the allegation, and critical milestone actions associated with proper handling of complaints under these authorities. In addition to providing for the dates of milestone and other activities, the HUD 930.1A provides for milestone and other codes, where relevant, which further describe or identify the result or outcome of a particular action. A unique feature of the HUD 930.1A is the inclusion of a Special Indicator as the last (13th) position of the file number. This one position data item shall be used to provide information on repeated offenders and processing of previously closed complaints. Note also that the milestone actions associated with State and Local Agency referrals under HUD's Substantial Equivalency Regulation are monitoring type activities to be carried by the the Regional Fair Housing Equal Opportunity Compliance Staff. They do not represent the critical actions by State and Local Agencies in their processing of Title VIII complaints. See Chapter 8 of this document for a description of the information gathering and reporting procedures applicable to State and Local Agency processing of Title VIII complaints.

The HUD 930.1B shall contain identification and status information on compliance reviews conducted under the authorities of Title VIII, Affirmative Fair Housing Marketing, and EO 11063. In general, the status summary log for compliance reviews contains a unique case identification code (file number), identification of the respondent or recipient including the program through which he is funded, if applicable, and critical milestone actions associated with the conduct of a compliance review. The HUD 930.1B also contains a Special Indicator as the last (13th) position of the file number. This one position data item on the HUD 930.1B shall be used to provide linkage information between a compliance review and the complaint which gave rise to conduct of the review.

3-3 Instructions for Completion of the HUD 930.1A.

a. File Number. The file number is used to uniquely identify a complaint in addition to providing information on repeated offenders and reopened complaints. The file number is composed of thirteen (13) digits as follows:

(1) Region Code (Positions 1 - 2)

Two digit number from 01-10 to identify Region in which case is received.

(2) Fiscal Year (Positions 3 - 4)

Fiscal Year of the date of receipt of a verified complaint.

(3) Calendar Month (Positions 5 - 6)

Calendar Month of the date of receipt of a verified complaint.

(4) Serial (Positions 7 - 9)

Unique three digit number assigned chronologically within fiscal year by date of receipt of a verified complaint.

(5) Authority (Positions 10 - 12)

Three digit number which identifies a complaint and the Federal law or HUD regulation under which it is processed.

Below are listed the valid law codes:

Code	Description
200	Title VIII Complaint
260	Executive Order 11063 Complaint

(6) Special Indicator (Position 13)

One (1) digit number which indicates (1) whether or not the complaint is a reopened complaint under the same law; (2) if a complaint was originally referred to State/Local Agency and later recalled; or (3) if the complaint represents a multiple complaint against the same respondent (repeater data). If the complaint is not a reopened complaint and is not a case of a "repeated offender," position thirteen (13) should be left blank. Otherwise, position thirteen (13) should be coded as follows:

- One (1) - if a reopened complaint previously closed by HUD-FHEO activity.
- Two (2) - if a reopened complaint previously recorded on 930.1A as closed by State or Local Agency activity.
- Three (3) - if a second, third, fourth, etc., complaint while respondent is under the terms of a conciliation agreement.
- Four (4) - if a second, third, fourth, etc., complaint and respondent has been party to a conciliation agreement within the previous two (2) years but is not currently under terms of a conciliation agreement.
- Five (5) - if a second, third, fourth, etc., complaint not qualifying under code 3 or 4 above.
- Six (6) - if a complaint originally referred to State/Local Agency and later recalled to be processed by HUD.

NOTE: If codes 3, 4, or 5 above are placed in position thirteen (13) of the file number, the first twelve (12) digits of the file number (excluding the special indicator) of the earliest known complaint

against this respondent should be entered on the log as the information item described as file number of previous complaint which immediately precedes name of EO Specialist assigned.

- b. Received. Date of receipt of a verified complaint under the authority of Title VIII, or EO 11063. Note that this and all succeeding dates shall be calendar dates entered in a six-digit format indicating year, month and day. For example: December 25, 1975 shall be entered as 751225.
- c. Close. Date on which the case is considered closed by the Director, Regional Fair Housing and Equal Opportunity.
- d. Closing Code. Four digit numeric code which provides for the recording of three separate and distinct information items relative to the complaint closure. Specifically, digit one (1), the leftmost digit indicates by whom the case was processed. Digit two (2), from left to right, indicates the last stage of processing completed prior to complaint closure. The last two digits - digits 3 and 4 indicate why the case was closed, final action recommended by Director, Regional FHEO and in the case of conciliation activities, the results of such efforts. Below are listed the valid closing codes for each of the three categories of information:

Primary Category (Digit One (1), from left to right)

Code	Description
1000	HUD-FHEO Closure
2000	State Agency Closure
3000	local Agency Closure
4000	HUD-FHEO Closure Utilizing Accelerated Processing Procedures

Secondary Category (Digit Two (2), from left to right)

Code	Description
0100	After commencement of preliminary complaint analysis but prior to assignment to investigation.

Code	Description
0200	After assignment to investigation but prior to commencement of

	investigation.
0300	After commencement of investigation but prior to completion of investigation.
0400	After completion of full investigation (FIR submitted) but prior to determination.
0500	After completion of limited investigation activity (No FIR submitted) but prior to determination
0600	After determination but prior to commencement of conciliation activities - full investigation, FIR submitted.
0700	After commencement of conciliation activities but prior to completion of conciliation - full investigation, FIR submitted.
0800	After completion of conciliation activities - full investigation, FIR submitted.

Tertiary Category (Digits three (3) and four (4) from left to right)

Code	Description
0011	Dismissed for lack of jurisdiction.
0012	Case transferred to Title VI.
0013	Case transferred to EO 11063.
0014	Case transferred to other appropriate HUD authority (not Title VI or EO 11063).
0015	Transferred to other region.
0016	Title IX complaint, referred to Justice.
0021	Unable to locate complainant.

Code	Description
0022	Complainant failed to furnish

requested information.

0023 Complaint withdrawn by complainant without resolution.

0024 Complaint withdrawn by complainant after resolution.

0025 Complainant plans court action and requests closure.

0026 Unable to identify respondent.

0031 Allegation not supported (determination not to resolve).

0041 Referred to Headquarters with recommendation for referral to Justice for possible pattern or practice.

0042 Referred to Headquarters with recommendation for referral to Justice for other appropriate action.

0043 Referred to Headquarters for other appropriate action.

0051 Conciliation unsuccessful - complainant plans court action.

0052 Conciliation unsuccessful - submitted to Headquarters with recommendation for referral to Justice.

0053 Conciliation unsuccessful action initiated under other law or HUD regulation.

0054 Conciliation unsuccessful - no further action taken.

0055 Conciliation successful - written agreement with follow-up reporting requirement.

0056 Conciliation successful - written agreement with no follow-up reporting requirement.

0057 Conciliation successful - no formal agreement but with follow-up reporting requirement.

0058 Conciliation successful - no formal agreement and no follow-up reporting requirement.

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- e. Relief. One digit numeric code to indicate existence and type of relief obtained by the complainant as a result of case processing. Below are listed the valid relief codes:

Code	Description
0	No relief obtained.
1	Housing only (contested or next available unit for complainant).
2	Housing only (assigned to other minority).
3	Affirmative Action only.
4	Other relief.
5	Housing and Affirmative Action.
6	Housing and other relief.
7	Affirmative Action and other relief.
8	Housing, Affirmative Action and other relief.

- f. Compensation Awarded. Six digit numeric item to contain dollar amount of award to complainant. Enter dollars only, do not enter cents. Leading zeroes must be entered when an amount is less than six (6) digits. For example: \$250.00 should be entered as 000250.
- g. Complainant. Last name and initials of the complainant. (Note that 25 positions of name fields will be input to the automated complaint and compliance system).
- h. Respondent. Last name and initials of the respondent if an individual; if not an individual, enter other appropriate identification. Care should be taken to consistently record the identification of the same respondent in exactly the same manner as previously recorded. This is necessary to facilitate retrieval of multiple offender information.
- i. State/County. Five digit code to identify location of the incident giving rise to the alleged violation. The valid two digit state codes and three digit county codes are included in the HUD Handbook of Codes 2160.4B and as Appendix 6 of this document.
- j. Basis. Two digit numeric code to indicate the basis of the complaint. The valid bases for Title VIII complaint are: race, color, religion, national origin, and sex.

The valid bases for EO 11063 complaints are: race, color, religion, and national origin. Below are listed the valid basis codes:

Code	Basis	Major Category	Sub-Category
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10	Race	White (Not of Hispanic Origin)	N/A
20	Race	Black (Not of Hispanic Origin)	N/A
30	Race	American Indian or Alaskan Native	
31			Aleut
32			Eskimo
40	Race	Hispanic	
41			Cuban
42			Mexican
43			Puerto Rican
50	Race	Asian or Pacific Islander	
51			Chinese
52			Filipino
53			Hawaiian
54			Japanese
55			Korean
56			Micronesian
57			Polynesian
70	1/ Sex	Sex	
71			Male
72			Female
75	Color	Color	N /A
77	National Origin	National Origin	N /A
80	Religion		
81			Catholic
82			Protestant
83			Jewish
84			Moslem
85			Hindu
86			Buddhist
87			Other

1/ For use with Title VIII complaints only.

k. Issue. Three digit numeric code to identify the major primary issue involved in the allegations. Below are listed the valid issue codes:

Code	Description
300	Discriminatory refusal to sell
310	Discriminatory refusal to rent
320	Discriminatory advertising

330	False representation
340	Blockbusting
350	Discriminatory financing
360	Discriminatory brokerage service
370	Discriminatory membership
380	Discriminatory terms and conditions
390	Failure to comply with Poster Regulations
400	Failure to comply with Advertising Guidelines

- l. Date of Violation. Date on which the alleged violation occurred.
- m. Complaint in Section 8 Program. Three digit code to indicate complaint in the Section 8 Program. If the complaint applies to the Section 8 Program, this field shall contain "HAP." Otherwise, this data item shall be left blank.
- n. File Number of Previous Complaint. This twelve digit item shall contain the first 12 positions of the file number of the earliest known complaint against this respondent. If the Special Indicator of the file number contains a 3, 4, or 5, this item of data shall be provided. In all other instances the data item shall be left blank.
- o. State/Local Agency Monitoring Activity Dates. These items of information are applicable only to those instances in which a Title VIII complaint has been referred to a State or Local Agency for handling.

(1) Date Referred

Date Title VIII complaint is referred to a State or Local Agency for handling.

(2) Date of 30-Day Status Check

Date on which the HUD-FHEO Specialist assigned makes the first check with the responsible State or Local Agency to monitor the status of a Title VIII complaint.

(3) Date of 60-Day Status Check

Date on which the HUD-FHEO Specialist assigned

makes the second check with the responsible State or local Agency to monitor the status of a Title VIII complaint.

(4) Date of 90-Day Status Check

Date on which the HUD-FHEO Specialist assigned makes the third check with the responsible State or Local Agency to monitor the status of a Title VIII complaint.

(5) Date Recalled

Date on which a previously referred Title VIII complaint is received by HUD-FHEO staff to process.

p. HUD-FHEO Milestone Action Completion Dates. The HUD 930.1A contains several columns denoting critical milestone actions in the processing of complaints under Title VIII and EO 11063. Whenever a milestone action listed is completed, the date of completion is to be entered in the appropriate column. Note that all dates shall be calendar dates entered in the six digit format YYMMDD indicating year, month and day of action.

(1) Analysis Completed

Date of completion of the review to make a preliminary determination whether, on its face, the complaint falls within the scope of authority of Title VIII or EO 11063.

(2) Assigned to Investigation

Date on which the complaint is assigned to a specific FHEO Specialist for investigation.

(3) Investigation Commenced

Date of initiation of investigation activity by the FHEO Specialist assigned.

(4) Investigation Completed

Date on which the Final Investigation Report (FIR) is signed by the appropriate personnel and transmitted to the Director, Regional FHEO for a determination.

(5) Determination by Director, Regional FHEO

Date on which the Director, Regional Fair Housing and Equal Opportunity makes a determination to resolve or not to resolve the complaint.

(6) Resolution Code

The result of the determination by the Director, Regional Fair Housing and Equal Opportunity whether or not to resolve the complaint. Enter "1" when the determination is made to resolve the complaint. Enter "2" when the determination is made not to resolve the complaint.

(7) Conciliation Commenced

Date of initiation of conciliation activities by responsible staff person.

(8) Conciliation Completed

Date on which all conciliation activities are completed.

q. FHEO Specialist Assigned. Last name and initials of the FHEO Specialist assigned to handle the complaint.

r. Remarks

3-4 Instructions for Completion of the HUD 930.1B

a. File Number. The file number is used to uniquely identify a compliance review. It is composed of thirteen (13) digits as follows:

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(1) Region Code (Position 1 - 2)

Two digit number from 01-10 to identify Region in which the review is being conducted.

(2) Fiscal Year (Positions 3 - 4)

Fiscal Year of the date the determination is made to conduct a compliance review.

(3) Calendar Month (Positions 5 - 6)

Calendar month of the date the determination is made to conduct a compliance review.

(4) Serial (Positions 7 - 9)

Three digit number assigned chronologically within fiscal year by date of determination to conduct a compliance review. This number should be unique.

(5) Authority (Positions 10 - 12)

Three digit number which identifies a compliance review and the Federal law or other authority under which it is conducted. Below are listed the valid law codes:

Code	Description
211	Compliance Review, Title VIII Conciliation Agreement (Regular or scheduled)
212	Compliance Review, Title VIII Conciliation Agreement (Re-review)
213	Compliance Review, Title VIII Conciliation Agreement (Special Review)
251	Compliance Review, Affirmative Fair Housing Marketing (Regular or scheduled)
252	Compliance Review, Affirmative Fair Housing Marketing (Re-review)

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253	Compliance Review, Affirmative Fair Housing Marketing (Special review)
254	Compliance Review, Affirmative Fair Housing Marketing (City-wide)
261	Compliance Review, Executive Order 11063

(6) Special Indicator (Position 13)

One digit number which indicates (a) whether or not the compliance activity was a review of a conciliation agreement and (b) whether or not the compliance review was initiated by a complaint. If the compliance review does

not qualify under a or b above, position thirteen (13) should be left blank.

Otherwise position thirteen (13) should be coded as follows:

One (1) - if a compliance review of a conciliation agreement

Two (2) - if a compliance review initiated by a complaint

Note: If codes 1 or 2 are placed in position thirteen (13) of the file number, the first twelve (12) digits of the file number (excluding the special indicator) of the initiating complaint should be entered on the log as the information item described as file number of initiating complaint which immediately precedes Milestone Action Completion Dates.

- b. Compliance Review Opened. Date the determination is made to conduct the compliance review. Note that this date and all succeeding dates shall be calendar dates entered in a six digit format indicating year, month and day. For example, December 25, 1978 shall be entered as 781225.

- c. Determination Code. Two digit numeric code to indicate the reason the determination was made to conduct a compliance review. Below are listed the valid determination codes:

Code	Description
01	Regularly scheduled
02	Initiated by complaint
03	On request of Area/Service Office
04	Initiated by Director, Regional FHEO for failure to comply with reporting requirement
05	Initiated by Director, Regional FHEO for apparent noncompliance after show cause
06	Initiated by Director, Regional FHEO - other
07	At request of Assistant Secretary for FHEO

- d. Closed. Date on which the compliance review is completed.

- e. Closing Code. Four digit numeric code to indicate the

outcome or result of completion of the compliance review.
Below are listed the valid closing codes:

Code	Description
1100	No violation found, no corrective action required.
1200	Successful resolution, respondent brought into compliance.
1300	Non-compliance - Transferred to Title VI or EO 11063 for appropriate action.
1400	Non-compliance - recommendation to Headquarters for referral to Justice.
1500	Non-compliance - recommendation to Headquarters for appropriate sanctions.
1600	Non-compliance, other.

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Appropriate for Title VIII Conciliation Agreements only:

Code	Description
1700	Compliance obtained after reconciliation, no additional corrective action incorporated.
1800	Compliance obtained after reconciliation, additional corrective action incorporated.
1900	Non-compliance after attempt to reconcile, no further action taken.

Appropriate for Affirmative Fair Housing Marketing only:

2000	Non-compliance-adjustment in plan agreed to and will be re-reviewed after specified time period.
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- f. Respondent or Recipient. Last name and initials of the respondent or recipient if an individual; if not an individual enter other appropriate identification. Care should be taken to consistently record the identification of

the respondent or recipient in the exact same manner each time he/she/it is recorded in the logs. This is necessary to facilitate retrieval of information on multiple compliance reviews of a particular recipient or respondent particularly across authorities. Note that all name fields are limited to 25 characters.

- g. State/County. Five digit code to identify the location of the project on which the compliance review is conducted. The valid two digit state codes and three digit county codes are included in the HUD Handbook of Codes and as Appendix 6 of this document.
- h. Program. Three digit alpha code to identify the HUD program through which the recipient agency is funded. Program is not applicable to compliance reviews of Title VIII conciliation agreements and should, therefore, in those instances be left blank. In all other instances this item should be recorded. See Appendix 7 of this document for a list of valid HUD program codes.

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- i. Follow-up Meeting. Date on which a follow-up meeting is held to determine if further enforcement action is needed.
 - j. Date of Last Review. Date of last known compliance review conducted of this respondent or recipient.
 - k. Compliance Review in Section 8 Program. Three digit numeric code to indicate a compliance review in the Section 8 Program. If the compliance review applies to the Section 8 Program, this field shall contain "231." Otherwise this data item shall be left blank.
 - l. File Number of Initiating Complaint. This twelve digit item shall contain the first 12 positions of the file number of the initiating complaint. If the Special Indicator of the file number contains 1 or 2, this item of data shall be provided. In all other instances the data item shall be left blank.
 - m. Milestone Action Completion Dates. The HUD 930.1B contains four columns to record critical milestone actions associated with the conduct of compliance reviews under Title VIII or EO 11063. Whenever a milestone action listed is completed, the date of completion is to be entered in the appropriate columns. Note that all dates shall be calendar dates entered in the six digit format YYMMDD indicating year, month and day

of action.

(1) Review Commenced

The date the review is initiated by the FHEO Specialist assigned.

(2) Review Completed

Date on which the compliance review report is completed and transmitted to the Director, Regional FHEO to make a determination.

(3) Determination

Date the Director, Regional FHEO determines whether or not corrective action is required.

(4) Conciliation Conference

Date of completion of the conciliation conference.

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n. FHEO Specialist Assigned. Last name and initials of the FHEO Specialist assigned responsibility for the conduct of the review.

o. Remarks.

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