
CHAPTER 5. STATUS SUMMARY LOG
EQUAL EMPLOYMENT OPPORTUNITY CONTRACT CLAUSE

- 5-1 Applicability. The following applies to the status summary log for complaints and compliance reviews under the authority of the Equal Employment Opportunity Contract Clause which is contained in every contract entered into by the Department of Housing and Urban Development. The reference to this authority as the Equal Employment Opportunity Contract Clause encompasses the heretofore but no longer referenced Federal Agency Employment and HUD Contract Provision Activities. The HUD 930.3 Rev. shall be used for recording the status of all complaints and compliance reviews processed under the Equal Employment Opportunity Contract Clause. This log shall be maintained on a current basis in each Regional Fair Housing and 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 Fair Housing and Equal Opportunity.
- 5-2 General Description. The HUD 930.3 Rev. shall contain identification and status information on Equal Employment Opportunity Contract Clause Complaints and Compliance Reviews. In general, the status summary log contains a unique case identification code (file number), identification of the HUD contractor involved, basis and issue of the allegations, and critical milestone actions associated with processing under the contract clause. In addition to providing for the dates of milestone actions, the status summary log, in relevant instances, provides for milestone codes which further describe or identify the results of a particular milestone action.
- 5-3 Instructions for Completion of the HUD 930.3.
- a. File Number. The file number is used to uniquely identify a complaint or compliance review. It is composed of twelve (12) digits as follows:
- (1) Region Code (Positions 1 - 2)

Two digit number from 01-10 to identify Region in which case is processed.
 - (2) Fiscal Year (Positions 3 - 4)

Fiscal year of the date of receipt of a complaint or date determination is made to conduct a compliance review.
 - (3) Calendar Month (Positions 5 - 6)

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

(4) Serial (Positions 7 - 9)

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

(5) Authority (Positions 10 - 12)

Three digit number which identifies a complaint or compliance review and the Federal law or HUD regulation under which it is processed. Below are listed the valid law codes:

Code	Description
380	Equal Employment Opportunity Contract Clause Complaint
385	Compliance Review, Equal Employment Opportunity Contract Clause

- b. Complaint Received. Date of receipt of a complaint under the EEO Contract Clause authority. This item applies to complaints only and shall be left blank when recording a compliance review. 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, 1976 shall be entered as 761225.
- c. Compliance Review Opened. Date of determination to conduct a compliance review. This item applies to compliance reviews only and shall be left blank when recording a complaint.
- d. Complaint/Respondent. If a complaint, enter as item A the last name and initials of the complainant and enter as item B the last name and initial or contractor's name of the respondent. If a compliance review, leave item A blank and enter as item B the contractor's name and/or other project identification information. Note that all name fields are limited to 25 characters.
- e. State/County. Five digit code to identify location of the HUD project under investigation. 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.

- f. Basis. Two digit numeric code to indicate the basis of the complaint. The valid basis for an Equal Employment Opportunity Contract Clause Complaint are race, color, religion, national origin, and sex. Below are listed the valid basis codes:

Code	Basis	Major Category	Sub-Category
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	Sex	Sex	
71			Male
72			Female
75	Color	Color	N/A
77	Nat	National Origin	N/A
	-ional		
	Origin		
80	Religion		

Code	Basis	Major Category	Sub-Category
81			Catholic
82			Protestant
83			Jewish
84			Moslem
85			Hindu
86			Buddhist

- g. Issue. Three digit code to identify the major or primary issue involved in the allegation. Below are listed the valid issue codes:

Code	Description
700	Discrimination in employment
702	Discrimination in promotion
703	Discrimination in job assignment
704	Discrimination in conditions of employment
705	Discrimination in selection for training
706	Discrimination in layoff or termination policy
707	Discrimination in rates of pay or compensation
708	Discrimination in recruitment policy
709	Other

- h. Program. Three digit alpha code to identify the HUD program through which the contractor is being funded. See Appendix 7 of this document for a list of valid HUD program codes.
- i. Milestone Actions. The HUD 930.3 Rev. contains several columns denoting critical milestone actions in the processing of complaints and compliance reviews under the Equal Employment Opportunity Contract Clause. Whenever a milestone action listed is completed, the date of completion and appropriate completion code, if applicable, is to be entered in the appropriate columns. Note that all dates shall be calendar dates entered in the six digit format YYYYDD indicating year, month and day of action.

- (1) Investigation Commenced on Site

Date of first investigative on-site visit.

- (2) Preliminary Report Completed

Date of completion of the narrative preliminary report which outlines the basis for a determination of the compliance status of a contractor.

- (3) Negotiations Initiated

Date of initiation of negotiations with a contractor to

obtain voluntary compliance.

(4) Results of Negotiations

One digit numeric code to indicate outcome of negotiations initiated in (3) above. Below are listed the only valid results of negotiations codes:

Code	Description
1	Voluntary Plan Secured
2	Compliance Achieved
3	Voluntary Compliance Failed

(5) FIR Completed

Date of completion of the final investigation report containing the signature of the Director, Regional FHEO and other appropriate personnel.

(6) Closed

Date on which the case is considered at the Regional Office level by the Director, Regional FHEO.

(7) Type of Closure

One digit numeric code to indicate reason for case closure at the Regional Office level. Below are listed the only valid closure codes:

Code	Description
1	Substantial Compliance
2	Headquarters referral to other agency

(8) Referred to Headquarters

Date on which the Director, Regional FHEO refers the matter to Headquarters for appropriate action.

(9) Reason for Referral to Headquarters

One digit numeric code to describe the reason for referral to AS/FHEO. Below are listed the only valid referral codes:

Code	Description
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- 1 Recommendation for initiation of administrative process
- 2 Recommendation for referral to Justice
- 3 Recommendation for referral to other Federal agency (other than Justice)
- 4 For advice

(10) Follow-up

Date of completion of follow-up activity by Regional Office staff.

(11) Type of Follow-up

Two digit numeric code to indicate (a) type of or reason for conduct of follow-up activity and (b) results of the follow-up activity. Below are listed the only valid follow-up codes:

For digit one, the leftmost digit:

Code	Description
1	Previous requirement to develop AAP
2	Previous requirement to implement AAP
3	Other monitoring activity

For digit two, the rightmost digit:

Code	Description
1	Referral to Headquarters with recommendation for imposition of sanctions
2	Referral to Headquarters with recommendation for referral to Justice
3	Referral to Headquarters with recommendation for referral to other Federal agency
4	In compliance
5	Compliance achieved or terms of plan being met

j. Remarks.

