

Report Identification: EO2AKC-A (Format 1-3)

Title: Title VIII of the Civil Rights Act of 1968
Executive Order 11063
Status Summary of Open Complaints

Purpose: To provide for each region a summary of the status of the Title VIII and EO 11063 complaint workload and a detail analysis of the status of open complaints.

Source Document: HUD 930.1A - Regional Monthly Status Summary of Complaints Received - Title VIII of the CRA of 1968 and Executive Order 11063.

Definition of Stub Items:

1. RECEIVED

Total number of complaints with an Authority Code of 200 or 260 and a Received date which is within the period specified in the title.

2. ON HAND BEGINNING OF PERIOD

Total number of complaints with an Authority Code of 200 or 260, a Received date which is earlier than the beginning of the period specified in the title, and a Closed date which is blank or on or after the beginning of the period specified in the title.

3. COMPLAINTS RE-OPENED

Total number of complaints with an Authority Code of 200 or 260, a Received date which is within the period specified in the title, and a "1" or "2" in the Special Indicator field.

4. AWAITING ASSIGNMENT TO INVESTIGATION

Total number of open complaints with an Authority Code of 200 or 260, which are not at a state or local agency, and which have an Assigned To Investigation field which contains a blank or a date later than the end of the period specified in the title.

Note A: A complaint is open if the Received date is earlier than the end of the period specified in the title and the Closed date is blank or later than the end of the period specified in the title.

Note B: A complaint is defined as "not at a state or local agency" if a) the Referral date is blank or later than the end of the period specified in the title or b) the Referral date is not blank and the Recalled date is not later than the end of the period specified in the title.

5. AWAITING INVESTIGATION

Total number of open complaints with an Authority Code of 200 or 260, which are not at a state or local agency, which have an Assigned To Investigation date which is not later than the end of the period specified in the title, and which have an Investigation Commenced field which is blank or later than the end of the period specified in the title.

6. AWAITING INVESTIGATION MORE THAN 30 DAYS

Total number of open complaints with an Authority Code of 200 or 260, which are not at a state or local agency, which are awaiting investigation as defined in 5 above, and which have a Received date which is more than 30 days earlier than the end of the period specified in the title.

7. AWAITING INVESTIGATION MORE THAN 90 DAYS

Total number of open complaints with an Authority Code of 200 or 260, which are not at a state or local agency, which are awaiting investigation as defined in 5 above, and which have a Received date which is more than 90 days earlier than the end of the period specified in the title.

8. UNDER INVESTIGATION

Total number of open complaints with an Authority Code of 200 or 260, which are not at a state or local agency, which have a date in Investigation Commenced which is not later than the end of the period specified, and which have no date in Investigation Completed as of the end of the period specified in the title.

9. UNDER INVESTIGATION MORE THAN 30 DAYS

Total number of complaints under investigation as defined in 8 above which have an Investigation Commenced date which is more than 30 days earlier than the end of the period specified in the title.

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10. UNDER INVESTIGATION MORE THAN 90 DAYS

Total number of complaints under investigation as defined in 8 above which have an Investigation Commenced date which is more than 90 days earlier than the end of the period specified in the title.

11. INVESTIGATION COMPLETED

Total number of complaints with an Authority Code of 200 or 260, which have an Investigation Completed date which is within the range of the period specified in the title.

12. INVESTIGATION COMPLETED IN 30 DAYS

Total number of investigation completed as defined in 11 above and which have an Investigation Completed date which is no more than 30 days later than the Received date.

13. NUMBER OF DETERMINATIONS TO RESOLVE BY DIRECTOR, REGIONAL/FHEO

Total number of complaints with an Authority Code of 200 or 260 which have a date in the Determination by Director, Regional/FHEO field that falls within the period specified in the title, and have a "1" in the Resolution Code.

14. NUMBER OF DETERMINATIONS NOT TO RESOLVE BY DIRECTOR, REGIONAL/FHEO

Total number of complaints with an Authority Code of 200 or 260 which have a date in the Determination by Director, Regional/FHEO field that falls within the period specified in the title, and which have a "2" in the Resolution Code.

15. AWAITING CONCILIATION

Total number of open complaints with an Authority Code of 200 or 260, not at a State or local agency which have a) a date in Determination by Director, REGIONAL/FHEO which is not later than the end of the period specified in the title and b) no date in Conciliation Commenced or whose Conciliation Commenced date is later than the end of the period specified in the title.

16. IN CONCILIATION MORE THAN 30 DAYS

Total number of open complaints with an Authority Code of 200 or 260 which have a Conciliation Commenced date that is not later than the end of the period specified in the title, and no Conciliation Completed date as of the end of the period specified, and which have a Conciliation Commenced date that is more than 30 days earlier than the end of the period specified in the title.

17. CONCILIATION COMPLETED

Total number of complaints with an Authority Code of 200 or 260 which have a Conciliation Completed date which falls within the period specified in the title.

18. REFERRED TO STATE/LOCAL AGENCIES

Total number of complaints with an Authority Code of 200 or 260 which have a Referral date which falls within the period specified in the title.

19. OPEN AT REFERRAL AGENCIES

Total number of open complaints with an Authority Code of 200 or 260 which have a) a Referral date which is not later than the end of the period specified in the title and b) no Recalled date on a Recalled date which is later than the end of the period specified in the title.

20. OPEN AT REFERRAL AGENCIES 30-59 DAYS

Total number of complaints open at referral agencies as defined in 19 above and which have a Referral date which is 30 to 59 days earlier than the end of the period specified in the title.

21. 30-DAY STATUS CHECKS MADE

Total number of complaints with an Authority Code of 200 or 260 which have a 30-Day Status Check date which is within the period specified in the title.

22. OPEN AT REFERRAL AGENCIES 60-89 DAYS

Total number of complaints open at referral agencies as defined in 19 above and which have a Referral date which is 60-89 days earlier than the end of the period specified in the title.

23. 60-DAY STATUS CHECKS MADE

Total number of complaints with an Authority Code of 200 or 260 which have a 60-Day Status Check date which is within the period specified in the title.

24. OPEN AT REFERRAL AGENCIES 90 DAYS (OR MORE)

Total number of complaints open at referral agencies as defined in 19 above and which have a Referral date which is 90 days or more earlier than the end of the period specified in the title.

25. 90-DAY STATUS CHECKS MADE

Total number of complaints with an Authority Code of 200 or 260 which have a 90-Day Status Check date which is within the period specified in the title.

26. COMPLAINTS RECALLED

Total number of complaints with an Authority Code of 200 or 260 which have a Recalled date which falls within the period specified in the title.

27. COMPLAINTS CLOSED

Total number of complaints with an Authority Code of 200 or 260 which have a Closed date which is within the period specified in the title.

28. OPEN AT END OF PERIOD

Total number of complaints with an Authority Code of 200 or 260 which have a Received date which is not later than the end of the period specified in the title and which have no Closed date or a Closed date which is later than the end of the period specified in the title.

Report Identification EO2ALC - A (Format 1-4)

Title: Title VIII of the Civil Rights Act of 1968
Summary of Closed Complaints

Purpose: To provide for each region a detailed analysis of Title VIII
and EO 11063 complaint closure activity

Source Document: HUD 930.1A - Regional Monthly Status Summary of
Complaints Received - Title VIII of the CRA of 1968 and
Executive Order 11063.

Definition of Stub Items:

1. COMPLAINTS CLOSED (TOTAL)

Total number of complaints with an Authority Code of 200 or 260,
which have a Closed date within the period specified in the
title.

2. BY HUD (TOTAL)

Total number of complaints with an Authority Code of 200 or 260,
which have a Closed date within the period specified in the
title and a "1" in the leftmost position of Closing Code.

3. USING ACCELERATED PROCESSING

Total number of complaints with an Authority Code of 200 or 260,
which have a Closed date within the period specified in the
title and a "4" in the leftmost position of Closing Code.

4. BY STATE/LOCAL AGENCIES

Total number of complaints with an Authority Code of 200 or 260,
which have a Closed date within the period specified in the
title and a "2" or "3" in the leftmost position of Closing Code.

5. HUD CLOSURES BY LAST PROCESSING STAGE COMPLETED

Total number of complaints with an Authority Code of 200 or 260,
which have a Closed date within the period specified in the
title, a "1" or "4" in the leftmost position of Closing Code,
and which contain the following values in the second position
of Closing Code:

- a. PRIOR TO ASSIGNMENT TO INVESTIGATION - "1"
- b. PRIOR TO COMMENCEMENT OF INVESTIGATION - "2"
- c. PRIOR TO COMPLETION OF INVESTIGATION - "3"
- d. PRIOR TO DETERMINATION (FIR) - "4"
- e. PRIOR TO DETERMINATION (NO FIR) - "5"

- f. PRIOR TO COMMENCEMENT OF CONCILIATION - "6"
- g. PRIOR TO COMPLETION OF CONCILIATION - "7"
- h. AFTER COMPLETION OF CONCILIATION - "8"

6. HUD CLOSURES BY TYPE OF CLOSURE

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a, "1" or "4" in the leftmost position of Closing Code, and which contain the following values in the two rightmost positions of Closing Code:

- a. DISMISSED LACK OF JURISDICTION - "11"
- b. JURISDICTION TRANSFERRED TO TITLE VI - "12"
- c. TRANSFERRED TO EO 11063 - "13"
- d. TRANSFERRED TO OTHER AUTHORITY - "14"
- e. TRANSFERRED TO OTHER REGION - "15"
- f. TITLE IX, REFERRAL TO JUSTICE - "16"
- g. SUBTOTAL
Total number of complaints contained in a through f above
- h. CANNOT LOCATE COMPLAINANT - "21"
- i. FAILED TO FURNISH INFORMATION - "22"
- j. WITHDRAWN WITHOUT RESOLUTION - "23"
- k. WITHDRAWN AFTER RESOLUTION - "24"
- l. REQUESTED CLOSURE-COURT ACTION PLANNED - "25"
- m. UNABLE TO IDENTIFY RESPONDENT - "26"
- n. SUBTOTAL
Total number of complaints contained in h through m above
- o. ALLEGATION NOT SUPPORTED - "31"
- p. RECOMMENDED REFERRAL TO JUSTICE (PATTERN OR PRACTICE) - "41"
- q. RECOMMENDED REFERRAL TO JUSTICE (OTHER) - "42"
- r. REFERRED TO HEADQUARTERS (OTHER) - "43"
- s. SUBTOTAL
Total number of complaints contained in o through r above

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7. HUD CONCILIATION EFFORTS (TOTAL)

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1" or "4" in the leftmost position of Closing Code, and which contain the following values in the two rightmost positions of Closing Code:

- a. SUCCESSFUL, AGREEMENT WITH FOLLOW-UP - "55"
- b. SUCCESSFUL, NO FOLLOW-UP - "56"
- c. SUCCESSFUL, NO AGREEMENT BUT WITH FOLLOW-UP - "57"
- d. SUCCESSFUL, NO AGREEMENT, NO FOLLOW-UP - "58"
- e. SUBTOTAL
 Total number of complaints contained in a through d above
- f. UNSUCCESSFUL, COURT ACTION - "51"
- g. UNSUCCESSFUL, RECOMMENDED REFERRAL TO JUSTICE - "52"
- h. UNSUCCESSFUL, OTHER ACTION - "53"
- i. UNSUCCESSFUL, NO FURTHER ACTION - "54"
- j. SUBTOTAL
 Total number of complaints contained in f through i above

8. CASES IN WHICH RELIEF WAS OBTAINED

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1" or "4" in the leftmost position of Closing Code, and a "1", "2", "3", "4", "5", "6", "7", or "8" in Relief Code.

9. CONCILIATION BUT NO RELIEF

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1" or "4" in the leftmost position of Closing Code, a "55", "56", "57", or "58", in the two rightmost positions of Closing Code, and a zero or blank in Relief Code.

10. SUMMARY OF RELIEF OBTAINED

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1" or "4" in the leftmost position of Closing Code, and which contain the following values in Relief Code:

- a. HOUSING, CONTESTED UNIT - "1", "5", "6", or "8"
- b. HOUSING, FOR OTHER MINORITY - "2"
- c. AFFIRMATIVE ACTION - "3", "5", "7" or "8"
- d. OTHER RELIEF - "4", "6", "7", or "8"

11. MONETARY COMPENSATION AWARDED

Sum of the dollar values contained in the Compensation field of those complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, and a "1" or "4" in the leftmost position of Closing Code.

12. REFERRAL AGENCY CONCILIATION EFFORTS

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "2" or "3" in the leftmost position of Closing Code, and which contain the following values in the two rightmost positions of Closing Code:

- a. SUCCESSFUL, AGREEMENT WITH FOLLOW-UP - "55"
- b. SUCCESSFUL, NO FOLLOW-UP - "56"
- c. SUCCESSFUL, NO AGREEMENT BUT WITH FOLLOW-UP - "57"
- d. SUCCESSFUL, NO AGREEMENT, NO FOLLOW-UP - "58"
- e. SUBTOTAL

Total number of complaints contained in a through d above

- f. UNSUCCESSFUL, COURT ACTION - "51"
- g. UNSUCCESSFUL, RECOMMENDED REFERRAL TO JUSTICE - "52"
- h. UNSUCCESSFUL, OTHER ACTION - "53"
- i. UNSUCCESSFUL, NO FURTHER ACTION - "54"
- j. SUBTOTAL

Total number of complaints contained in f through i above

13. CASES IN WHICH RELIEF WAS OBTAINED

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "2" or "3" in the leftmost position of Closing Code, and a "1", "2", "3", "4", "5", "6", "7", or "8" in Relief Code.

14. CONCILIATION BUT NO RELIEF

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "2" or "3" in the leftmost position of Closing Code, a "55", "56", "57", or "58" in the two rightmost positions of Closing Code, and a zero or blank in Relief Code.

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15. SUMMARY OF RELIEF OBTAINED

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "2" or "3" in the leftmost position of Closing Code, and which contain the following values in Relief Code:

- a. HOUSING, CONTESTED UNIT - "1", "5", "6", or "8"
- b. HOUSING, FOR OTHER MINORITY - "2"

- c. AFFIRMATIVE ACTION "3", "5", "7", or "8"
- d. OTHER RELIEF - "4" "6", "7", or "8"

16. MONETARY COMPENSATION AWARDED

Sum of the dollar value contained in the Compensation field of those complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, and a "1" or "4" in the leftmost position of Closing Code.

17. TOTAL CONCILIATION EFFORTS

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1", "2", "3", or "4" in the leftmost position of Closing Code, and which contain the following values in the two rightmost positions of Closing Code:

- a. SUCCESSFUL, AGREEMENT WITH FOLLOW-UP - "55"
- b. SUCCESSFUL, NO FOLLOW-UP - "56"
- c. SUCCESSFUL, NO AGREEMENT BUT WITH FOLLOW-UP - "57"
- d. SUCCESSFUL, NO AGREEMENT, NO FOLLOW-UP - "58"
- e. SUBTOTAL
Total number of complaints contained in a through d above
- f. UNSUCCESSFUL, COURT ACTION - "51"
- g. UNSUCCESSFUL, RECOMMENDED REFERRAL TO JUSTICE - "52"
- h. UNSUCCESSFUL, OTHER ACTION - "53"
- i. UNSUCCESSFUL, NO FURTHER ACTION - "54"
- j. SUBTOTAL
Total number of complaints contained in f through i above

18. CASES IN WHICH RELIEF WAS OBTAINED

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1", "2", "3", or "4" in the leftmost position of Closing Code, and a "1", "2", "3", "4", "5", "6", "7", or "8" in Relief Code.

19. CONCILIATION BUT NO RELIEF

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1" or "4" in the leftmost position of Closing Code, a "55", "56", "57", or "58" in the two rightmost positions of Closing Code, and a zero or blank in Relief Code.

20. SUMMARY OF RELIEF OBTAINED

Total number of complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, a "1", "2", "3", or "4" in the leftmost position of Closing Code, and which contain the following values in Relief Code:

- a. HOUSING, CONTESTED UNIT - "1", "5", "6", or "8"
- b. HOUSING, FOR OTHER MINORITY - "2"
- c. AFFIRMATIVE ACTION - "3", "5", "7", or "8"
- d. OTHER RELIEF - "4", "6", "7", or "8"

21. MONETARY COMPENSATION AWARDED

Sum of the dollar value contained in the Compensation field of those complaints with an Authority Code of 200 or 260, which have a Closed date within the period specified in the title, and a "1", "2", "3", or "4" in the leftmost position of Closing Code.

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Report Identification: EO2AMC (Format 1-5)

Title: Title VIII of the Civil Rights Act of 1968
Executive Order 11063

Affirmative Fair Housing Marketing Regulation
Status Summary of Compliance Reviews

Purpose: To provide for each region an analysis of compliance review activity under Title VIII, EO 11063 and AFHM.

Source Document: HUD 930.1B - Regional Monthly Status Summary of Compliance Reviews - Title VIII of CRA of 1968 and Affirmative Fair Housing Marketing.

Definition of Stub Items:

1. OPENED

Total number of compliance reviews by Authority Code which have a Compliance Review Opened date which is within the period specified in the title.

2. REASONS FOR DETERMINATIONS TO REVIEW

Total number of compliance reviews with an Authority Code of 211, 212, 213, 251, 252, 253, 254 or 261 which have a

Compliance Review Opened date which is within the period specified in the title and which have the following values in Determination Code:

- a. REGULARLY SCHEDULED - "01"
- b. INITIATED BY COMPLAINT - "02"
- c. REQUESTED BY AREA/SERVICE OFFICE - "03"
- d. REQUESTED BY DIRECTOR, REGIONAL FHEO, FAILURE TO REPORT - "04"
- e. REQUESTED BY DIRECTOR, REGIONAL FHEO, AFTER SHOW CAUSE - "05"
- f. REQUESTED BY DIRECTOR, REGIONAL FHEO, OTHER - "06"
- g. REQUESTED BY AS/FHEO - "07"

3. ON HAND BEGINNING OF PERIOD

Total number of compliance reviews by Authority Code which have a Compliance Review Opened date which is earlier than the beginning of the period specified in the title, and a Closed date which is blank or on or after the beginning of period specified in the title.

4. FOLLOW-UP MEETINGS CONDUCTED

Total number of compliance reviews with a Follow-up Meeting date which falls within the period specified in the title.

5. REVIEWS COMMENCED

Total number of compliance reviews with a Review Commenced date which falls within the period specified in the title.

6. UNDER REVIEW MORE THAN 30 DAYS

Total number of compliance reviews with a Compliance Review Opened date which is earlier than the end of the period specified in the title, a Closed date which is blank or later than the end of the period specified in the title, a Review Commenced date which is not later than the end of the period specified, no date in Review Completed as of the end of the period specified, and a Review Commenced date which is more than 30 days earlier than the end of the period specified in the title.

7. UNDER REVIEW MORE THAN 60 DAYS

Total number of compliance reviews with a Compliance Review

Opened date which is earlier than the end of the period specified in the title, a Closed date which is blank or later than the end of the period specified in the title, a Review Commenced date which is not later than the end of the period specified, no date in Review Completed as of the end of the period specified, and a Review Commenced date which is more than 60 days earlier than the end of the period specified in the title.

8. REVIEWS COMPLETED

Total number of compliance reviews with a Review Completed date which falls within the period specified in the title.

9. DETERMINATION BY DIRECTOR, REGIONAL/FHEO

Total number of compliance reviews with a Determination date which falls within the period specified in the title.

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10. CONCILIATION CONFERENCES COMPLETED

Total number of compliance reviews with a Conciliation Conference date which falls within the period specified in the title.

11. RE-REVIEWS WITHIN TWO YEARS

Total number of compliance reviews with a Date of Last Review which is no more than two years earlier than the Review Commenced date.

12. TITLE VIII:

The following applies to compliance review with an Authority Code of 211, 212, or 213.

COMPLIANCE REVIEW CLOSED-TOTAL

Total number of Title VIII compliance reviews with a Closed date within the period specified in the title and the following values in Closing Code:

- a. NO VIOLATIONS FOUND - "1100"
- b. SUCCESSFUL RESOLUTION - "1200"
- c. NON-COMPLIANCE, TRANSFER TO OTHER AUTHORITY - "1300"
- d. NON-COMPLIANCE, RECOMMENDED REFERRAL TO JUSTICE - "1400"

- e. NON-COMPLIANCE, RECOMMENDED FOR SANCTIONS - "1500"
- f. NON-COMPLIANCE, OTHER - "1600"
- g. COMPLIANCE OBTAINED, NO CORRECTIVE ACTION - "1700"
- h. COMPLIANCE OBTAINED, ADDITIONAL CORRECTIVE ACTION - "1800"
- i. NON-COMPLIANCE AFTER ATTEMPT TO RECONCILIATE - "1900"

13. AFFIRMATIVE MARKETING:

The following applies to compliance reviews with an Authority Code of 251, 252, 253, or 254.

COMPLIANCE REVIEWS CLOSED - TOTAL

Total number of Affirmative Marketing compliance reviews with a Closed date within the period specified in the title and the following values in Closing Code:

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- a. NO VIOLATIONS FOUND - "1100"
- b. SUCCESSFUL RESOLUTION - "1200"
- c. NON-COMPLIANCE TRANSFER TO OTHER AUTHORITY - "1300"
- d. NON-COMPLIANCE, RECOMMENDED REFERRAL TO JUSTICE - "1400"
- e. NON-COMPLIANCE, RECOMMENDED FOR SANCTIONS - "1500"
- f. NON-COMPLIANCE, OTHER - "1600"
- g. NON-COMPLIANCE, PLAN ADJUSTMENT - "2000"

14. EO 11063

The following applies to compliance reviews with an Authority Code of 261.

COMPLIANCE REVIEWS CLOSED - TOTAL

Total number of EO 11063 compliance reviews with a Closed date within the period specified in the title and the following values in Closing Code:

- a. NO VIOLATIONS FOUND - "1100"
- b. SUCCESSFUL RESOLUTION - "1200"
- c. NON-COMPLIANCE, TRANSFER TO OTHER AUTHORITY - "1300"
- d. NON-COMPLIANCE, RECOMMENDED REFERRAL TO JUSTICE - "1400"
- e. NON-COMPLIANCE, RECOMMENDED FOR SANCTIONS - "1500"
- f. NON-COMPLIANCE, OTHER - "1600"

15. OPEN AT END OF PERIOD

Total number of compliance reviews by Authority Code which

have a Compliance Review Opened date which is not later than the end of the period specified in the title and which have no Closed date or a Closed date which is later than the end of the period specified in the title.

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Report Identification: EO2ANC (Format 2-1)

Title: Title VI of the Civil Rights Act of 1964
Section 109
Title I of the Housing and Community Development Act of 1974
Status Summary of Complaints

Purpose: To provide for each region an analysis of complaint activity under Title VI and Section 109.

Source Document: HUD 930.2 - Regional Monthly Status Summary of Complaints Received and Compliance Reviews Conducted - Title VI of the Civil Rights Act of 1964 and Section 109 of the Housing and Community Development Act of 1974.

Definition of Stub Items:

1. RECEIVED

Total number of complaints with an Authority Code of 300 or 350 and a Complaint Received date which is within the period specified in the title.

2. ON HAND BEGINNING OF PERIOD

Total number of complaints with an Authority Code of 300 or 350, a Complaint Received date which is earlier than the beginning of the period specified in the title, and no Closed date or a Closed date which is on or after the beginning of the period specified in the title.

3. AWAITING INVESTIGATION

Total number of open complaints with an Authority Code of 300 or 350, and a Investigation Commenced On Site date which is blank or later than the end of the period specified in the title.

NOTE: A complaint is open if the Complaint Received date is earlier than the end of the period specified in the title and the Closed date is blank or later than the end of the period specified in the title.

4. AWAITING INVESTIGATION MORE THAN 30 DAYS

Total number of complaints awaiting investigation as defined in 3 above and which have a Complaint Received date which is more than 30 days earlier than the end of the period specified in the title.

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5. PRELIMINARY REPORT COMPLETED

Total number of complaints with an Authority Code of 300 or 350, which have a Preliminary Report Completed date within the period specified in the title.

6. UNDER INVESTIGATION

Total number of open complaints with an Authority Code of 300 or 350, which have an Investigation Commenced On Site date which is not later than the end of the period specified in the title and no entry in Preliminary Report Completed as of the end of the period specified in the title.

7. UNDER INVESTIGATION MORE THAN 30 DAYS

Total number of complaints under investigation as defined in 6 above and which have an Investigation Commenced On Site date which is more than 30 days earlier than the end of the period specified in the title.

8. INVESTIGATED AND FOUND IN COMPLIANCE

Total number of complaints with an Authority Code of 300 or 350 which have a Preliminary Report Completed date within the period specified in the title and Closing date which is within the period specified in the title, and the Type of Closure contains a "2".

9. INVESTIGATED AND FOUND IN NON-COMPLIANCE

Total number of complaints with an Authority Code of 300 or 350 which have a Preliminary Report Completed date within the period specified in the title and the 30-Day Notice field contains a date which is not later than the end of the period specified in the title.

10. UNDER NEGOTIATION

Total number of open complaints with an Authority Code of 300

or 350 which have a Negotiations Initiated date which is not later than the end of the period specified in the title and a Results of Negotiation which is blank.

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11. UNDER NEGOTIATIONS MORE THAN 30 DAYS

Total number of complaints under negotiation as defined in 10 above which have a Negotiations Initiated date which is more than 30 days earlier than the end of the period specified in the title.

12. RESULT OF NEGOTIATIONS

Total number of complaints with an Authority Code of 300 or 350, which have a Negotiations Initiated date within the range of the period specified in the title and the following values in Results of Negotiations:

- a) COMPLIANCE ACHIEVED - "1"
- b) VOLUNTARY PLAN SECURED - "2"
- c) FAILED TO COMPLY - "3"
- d) INTERIM DEFERRAL - "4"

13. FIR COMPLETED

Total number of complaints with an Authority Code of 300 or 350, and an FIR Completed date which is within the period specified in the title.

14. CONSEQUENTIAL DEFERRAL

Total number of complaints with an Authority Code of 300 or 350, and a Deferral date which is within the period specified in the title.

15. CLOSED AT REGION (TOTAL)

Total number of complaints with an Authority Code of 300 or 350, which have a Closed date within the period specified in the title, and which have the following values in Type of Closure:

- a) LACK OF JURISDICTION - "1"
- b) SUBSTANTIAL COMPLIANCE-IN COMPLIANCE - "2"
- c) SUBSTANTIAL COMPLIANCE-VOLUNTARY - "3"
- d) MATTER TO BE HANDLED UNDER TITLE VIII - "4"

- e) MATTER TO BE HANDLED UNDER SECTION 109 - "5"
- f) MATTER TO BE HANDLED UNDER EEO CONTRACT CLAUSE - "6"
- g) MATTER TO BE HANDLED UNDER OTHER AUTHORITY - "7"

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16. REFERRED TO HEADQUARTERS (TOTAL)

Total number of complaints with an Authority Code of 300 or 350, which have a Referred TO Headquarters date within the period specified in the title and which have the following values in Reason for Headquarters Referral:

- a) ADMINISTRATIVE PROCEDURES - "1"
- b) REFERRAL TO JUSTICE - "2"
- c) REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) FOR ADVICE - "4"

17. FOLLOW-UP, REASON FOR

Total number of complaints with an Authority Code of 300 or 350, which have a Follow-up date within the period specified in the title, and which have the following values in the leftmost position of Type of Follow-up:

- a) MONITORING - "1"
- b) AFTER REFERRAL TO HEADQUARTERS - "2"

18. FOLLOW-UP, RESULTS OF (TOTAL)

Total number of complaints with an Authority Code of 300 or 350, which have a Follow-up date within the period specified in the title, and which have the following values in the rightmost position of Type of Follow-up:

- a) ADMINISTRATIVE PROCESS - "1"
- b) REFERRAL TO JUSTICE - "2"
- c) REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) FOR ADVICE - "4"
- e) IN COMPLIANCE - "5"
- f) COMPLIANCE ACHIEVED - "6"
- g) INTERIM DEFERRAL - "7"

19. ON HAND AT END OF PERIOD

Total number of complaints with an Authority Code of 300 or 350, which have a Complaint Received date which is not later than the end of the period specified in the title and which

have no Closed date or a Closed date which is later than the end of the period specified in the title.

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APPENDIX 3

Report Identification: EO2AOC (Format 2-2)

Title: Title VI of the Civil Rights Act of 1964
Section 109
Title I of the Housing and Community Development Act of 1974
Status Summary of Compliance Reviews

Purpose: To provide for each region an analysis of compliance review activity under Title VI and Section 109

Source Document: HUD 930.2 - Regional Monthly Status Summary of Complaints Received and Compliance Reviews Conducted Title VI of the CRA of 1964 and Section 109 of the Housing and Community Development Act of 1974.

Definition of Stub Items:

1. OPENED

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 and a Compliance Review Opened date which is within the period specified in the title.

2. ON HAND BEGINNING OF PERIOD

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360, a Compliance Review Opened date which is earlier than the beginning of the period specified in the title, and no Closed date or a Closed date which is on or after the beginning of the period specified in the title.

3. AWAITING INVESTIGATION

Total number of open compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 and an Investigation Commenced On Site date which is blank or later than the end of the period specified in the title.

NOTE: A compliance review is open if the Compliance Review Opened date is earlier than the end of the period specified in the title and the Closed date is blank or later than the end of the period specified in the title.

4. AWAITING INVESTIGATION MORE THAN 120 DAYS

Total number of compliance reviews awaiting investigation as defined in 3 above and which a Compliance Review Opened date which is more than 130 days earlier than the end of the period specified in the title.

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5. PRELIMINARY REPORT COMPLETED

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Preliminary Report Completed date within the period specified in the title.

6. UNDER INVESTIGATION

Total number of open compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have an Investigation Commenced On Site date which is not later than the end of the period specified in the title and no entry in Preliminary Report Completed as of the end of the period specified in the title.

7. UNDER INVESTIGATION MORE THAN 120 DAYS

Total number of compliance reviews under investigation as defined in 6 above and which have an Investigation Commenced On Site date which is more than 120 days earlier than the end of the period specified in the title.

8. INVESTIGATED AID FOUND IN COMPLIANCE

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Preliminary Report Completed date within the period specified in the title and Closing date which is within the period specified in the title, and the Type of Closure contains a "2".

9. INVESTIGATED AND FOUND IN NON-COMPLIANCE

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Preliminary Report Completed date within the period specified in the title and the 30 Day Notice field contains a date which is not later than the end of the period specified in the title.

10. UNDER NEGOTIATION

Total number of open compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Negotiations Initiated date which is not later than the end of the period specified in the title and a Results of Negotiations field which is blank.

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11. UNDER NEGOTIATIONS MORE THAN 30 DAYS

Total number of compliance reviews under negotiation as defined in 10 above which have a Negotiations Initiated date which is more than 30 days earlier than the end of the period specified in the title.

12. RESULTS OF NEGOTIATIONS

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Negotiations Initiated date within the range of the period specified in the title and the following values in Results of Negotiations:

- a) COMPLIANCE ACHIEVED - "1"
- b) VOLUNTARY PLAN SECURED - "2"
- c) FAILED TO COMPLY - "3"
- d) INTERIM DEFERRAL - "4"

13. FIR COMPLETED

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360, and an FIR Completed date which is within the period specified in the title.

14. CONSEQUENTIAL DEFERRAL

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360, and a Deferral date which is within the period specified in the title.

15. CLOSED AT REGION (TOTAL)

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340 or 360 which have a Closed date within the period specified in the title, and which have the following values in Type of Closure:

- a) LACK OF JURISDICTION - "1"
- b) SUBSTANTIAL COMPLIANCE-IN COMPLIANCE - "2"

- c) SUBSTANTIAL COMPLIANCE-VOLUNTARY - "3"
- d) TO BE HANDLED UNDER TITLE VIII - "4"
- e) TO BE HANDLED UNDER SECTION 109 - "5"
- f) TO BE HANDLED UNDER EEO CONTRACT CLAUSE - "6"
- g) TO BE HANDLED UNDER OTHER AUTHORITY - "7"

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16. REFERRED TO HEADQUARTERS (TOTAL)

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Referred To Headquarters date within the period specified in the title and which have the following values in Reason for Headquarters Referral:

- a) ADMINISTRATIVE PROCESS - "1"
- b) REFERRAL TO JUSTICE - "2"
- c) REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) FOR ADVICE - "4"

17. REASON FOR FOLLOW-UP

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Follow-up date within the period specified in the title, and which have the following values in the leftmost position of Type of Follow-up:

- a) MONITORING - "1"
- b) AFTER REFERRAL TO HEADQUARTERS - "2"

18. RESULTS OF FOLLOW-UP (TOTAL)

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Follow-up date within the period specified in the title, and which have the following values in the rightmost position of Type of Follow-up:

- a) ADMINISTRATIVE PROCESS - "1"
- b) REFERRAL TO JUSTICE - "2"
- c) REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) FOR ADVICE - "4"
- e) IN COMPLIANCE - "5"
- f) COMPLIANCE ACHIEVED - "6"
- g) INTERIM DEFERRAL - "7"

19. OPEN AT END OF PERIOD

Total number of compliance reviews with an Authority Code of 310, 320, 330, 340, or 360 which have a Compliance Review Opened date which is not later than the end of the period specified in the title and which have no Closed date or a Closed date which is later than the end of the period specified in the title.

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APPENDIX 3

Report Identification: EO2AQC - A (Format 3-1)

Title: Equal Employment Opportunity Contract Clause
Status Summary of Complaints

Purpose: To provide for each region an analysis of complaint activity under the EEO Contract Clause provision.

Source Document: HUD 930.3 - Regional Monthly Status Summary - Equal Employment Opportunity Contract Clause

Definition of Stub Items:

1. RECEIVED

Total number of complaints with an Authority Code of 380, and a Complaint Received date which is within the period specified in the title.

2. ON HAND BEGINNING OF PERIOD

Total number of complaints with an Authority Code of 380, a Complaint Received date which is earlier than the beginning of the period specified in the title, and a Closed date which is blank or on or after the beginning of the period specified in the title.

3. AWAITING INVESTIGATION

Total number of open complaints with an Authority Code of 380, and an Investigation Commenced On Site date which is blank or later than the end of the period specified in the title.

Note: A complaint is open if the Complaint Received date is earlier than the end of the period specified in the title and the Closed date is blank or later than the end of the period specified in the title.

4. AWAITING INVESTIGATION MORE THAN 30 DAYS

Total number of complaints awaiting investigation as defined in 3 above and which have a Complaint Received date which is more than 30 days earlier than the end of the period specified in the title.

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5. UNDER INVESTIGATION

Total number of open complaints with an Authority Code of 380, which have an Investigation Commenced On Site date which is not later than the end of the period specified in the title and no entry in Preliminary Report Completed as of the end of the period specified in the title.

6. UNDER INVESTIGATION MORE THAN 30 DAYS

Total number of complaints under investigation as defined in 5 above which have an Investigation Commenced On Site date which is more than 30 days earlier than the end of the period specified in the title.

7. INVESTIGATED AND FOUND IN COMPLIANCE

Total number of complaints with an Authority Code of 380, which have a Preliminary Report Completed date within the period specified in the title, a Negotiations Initiated date which is blank, a Closed date which is not later than the end of the period specified in the title, and a Type of Closure equal to "1".

or

Total number of complaints with an Authority Code of 380, which have a Preliminary Report Completed date within the period specified in the title, a Negotiations Initiated date within the period specified in the title, and a Results of Negotiations field which contains a "1" or "2".

8. INVESTIGATED AND FOUND IN NON-COMPLIANCE

Total number of complaints with an Authority Code of 380, which have a Preliminary Report Completed date within the period specified in the title and a Negotiations Initiated date which is not later than the end of the period specified in the title.

9. PRELIMINARY REPORT COMPLETED

Total number of complaints with an Authority Code of 380, which have a Preliminary Report Completed date within the period specified in the title.

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10. UNDER NEGOTIATION

Total number of open complaints with an Authority Code of 380, which have a Negotiations Initiated date which is not later than the end of the period specified in the title and a Results of Negotiations field which is blank.

11. UNDER NEGOTIATION MORE THAN 30 DAYS

Total number of complaints under negotiation as defined in 10 above which have a Negotiations Initiated date which is more than 30 days earlier than the end of the period specified in the title.

12. RESULTS OF NEGOTIATION

Total number of complaints with an Authority Code of 380, which have a Negotiations Initiated date within the period specified in the title and the following values in Results of Negotiations:

- a) VOLUNTARY PLAN SECURED - "1"
- b) COMPLIANCE ACHIEVED - "2"
- c) VOLUNTARY COMPLIANCE FAILED - "3"

13. FIR COMPLETED

Total number of complaints with an Authority Code of 380, which have an FIR Completed date which is within the period specified in the title.

14. CLOSED AT REGION (TOTAL)

Total number of complaints with an Authority Code of 380, which have a Closed date within the period specified in the title and which have the following values in Type of Closure:

- a) SUBSTANTIAL COMPLIANCE - "1"
- b) HEADQUARTERS REFERRAL TO OTHER AGENCY - "2"

15. REFERRED TO HEADQUARTERS (TOTAL)

Total number of complaints with an Authority Code of 380, which have a Referred To Headquarters date which is within the period specified in the title and which have the following values in Reason For Headquarters Referral:

- a) ADMINISTRATIVE PROCEDURES - "1"
- b) REFERRAL TO JUSTICE - "2"
- c) REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) FOR ADVICE - "4"

16. FOLLOW-UP, REASONS FOR (TOTAL)

Total number of complaints with an Authority Code of 380, which have a Follow-up date which is within the period specified in the title and which have the following values in the leftmost position of Type of Follow-up:

- a) REQUESTED TO DEVELOP AAP - "1"
- b) REQUESTED TO IMPLEMENT AAP - "2"
- c) OTHER MONITORING ACTIVITY - "3"

17. FOLLOW-UP, RESULTS OF (TOTAL)

Total number of complaints with an Authority Code of 380, which have a Follow-up date within the period specified in the title, and which have the following values in the rightmost position of Type of Follow-up:

- a) IMPOSITION OF SANCTIONS - "1"
- b) REFERRAL TO JUSTICE - "2"
- c) REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) IN COMPLIANCE - "4"
- e) COMPLIANCE ACHIEVED - "5"

18. OPEN AT END OF PERIOD

Total number of complaints with an Authority Code of 380, which have a Complaint Received date which is not later than the end of the period specified in the title and which have no Closed date or a Closed date which is later than the end of the period specified in the title.

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Report Identification: EO2ARC-A (Format 3-2)

Title: Equal Employment Opportunity Contract Clause
Status Summary of Compliance reviewsPurpose: To provide for each region an analysis of compliance
review activity under the EEO Contract Clause provision.Source Document: HUD 930.3 - Regional Monthly Status Summary - Equal
Employment Opportunity Contract Clause

Definition of Stub Items:

1. OPENED

Total number of compliance reviews with an Authority Code of 385, and a Compliance Review Opened date which is within the period specified in the title.

2. ON HAND BEGINNING OF PERIOD

Total number of compliance reviews with an Authority Code of 385, a Compliance Review Opened date which is earlier than the beginning of the period specified in the title, and a Closed date which is blank or on or after the beginning of the period specified in the title.

3. AWAITING INVESTIGATION

Total number of open compliance reviews with an Authority Code of 385 and an Investigation Commenced On Site date which is blank or later than the end of the period specified in the title.

Note: A compliance review is open if the Compliance Review Opened date is earlier than the end of the period specified in the title and the Closed date is blank or later than the end of the period specified in the title.

4. AWAITING INVESTIGATION MORE THAN 120 DAYS

Total number of compliance reviews awaiting investigation as defined in 3 above and which have a Compliance Review Opened date which is more than 30 days earlier than the aid of the period specified in the title.

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5. PRELIMINARY REPORT COMPLETED

Total number of compliance reviews with an Authority Code of 385, which have a Preliminary Report Completed date within the period specified in the title.

6. UNDER INVESTIGATION

Total number of open compliance reviews with an Authority Code of 385, which have an Investigation Commenced On Site date which is not later than the end of the period specified in the title and no entry in Preliminary Report Completed as of the end of the period specified in the title.

7. UNDER INVESTIGATION MORE THAN 120 DAYS

Total number of compliance reviews under investigation as defined in 5 above which have an Investigation Commenced On Site date which is more than 30 days earlier than the end of the period specified in the title.

8. INVESTIGATED AND FOUND IN COMPLIANCE

Total number of compliance reviews with an Authority Code of 385 which have a Preliminary Report Completed date within the period specified in the title, a Negotiations Initiated date which is blank, a Closed date which is not later than the end of the period specified in the title, and a Type of Closure equal to "1".

or

Total number of compliance reviews with an Authority Code of 385, which have a Preliminary Report Completed date within the period specified in the title, a Negotiations Initiated date within the period specified in the title, and a Results of Negotiations field which contains a "1" or "2".

9. INVESTIGATED AND FOUND IN NON-COMPLIANCE

Total number of compliance reviews with an Authority Code of 385, which have a Preliminary Report Completed date within the period specified in the title and a Negotiations Initiated date which is not later than the end of the period specified in the title.

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10. PRELIMINARY REPORT COMPLETED

Total number of compliance reviews with an Authority Code of 385, which have a Preliminary Report Completed date within the period specified in the title.

11. UNDER NEGOTIATION

Total number of open compliance reviews with an Authority Code of 385, which have a Negotiations Initiated date which is not later than the end of the period specified in the title, and a Results of Negotiations field which is blank.

12. UNDER NEGOTIATION MORE THAN 30 DAYS

Total number of compliance reviews under negotiation as defined in 10 above which have a Negotiations Initiated date which is more than 30 days earlier than the end of the period specified in the title.

13. RESULTS OF NEGOTIATION (TOTAL)

Total number of compliance reviews with an Authority Code of 385, which have a Negotiations Initiated date within the period specified in the title and the following values in Results of Negotiations:

- a) VOLUNTARY PLAN SECURED - "1"
- b) COMPLIANCE ACHIEVED - "2"
- c) FAILED TO COMPLY - "3"

14. FIR COMPLETED

Total number of compliance reviews with an Authority Code of 385, which have an FIR Completed date which is within the period specified in the title.

15. CLOSED AT REGION (TOTAL)

Total number of compliance reviews with an Authority Code of 385, which have a Closed date within the period specified in the title, and which have the following values in Type of Closure:

- a) SUBSTANTIAL COMPLIANCE - "1"
 - b) HEADQUARTERS REFERRAL TO OTHER AGENCY - "2"
-

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16. REFERRED TO HEADQUARTERS (TOTAL)

Total number of compliance reviews with an Authority Code of 385, which have a Referred to Headquarters date which is within the period specified in the title and which have the following values in Reason for Headquarters Referral:

- a) FOR ADMINISTRATIVE PROCEDURES - "1"
- b) FOR REFERRAL TO JUSTICE - "2"
- c) FOR REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) FOR ADVICE - "4"

17. REASONS FOR FOLLOW-UP (TOTAL)

Total number of compliance reviews with an Authority Code of 385, which have a Follow-up date which is within the period specified in the title and which have the following values in the leftmost position of Type of Follow-up:

- a) REQUIREMENT TO DEVELOP AAP - "1"
- b) REQUIREMENT TO IMPLEMENT AAP - "2"
- c) MONITORING - "3"

18. FOLLOW-UP COMPLETED

Total number of compliance reviews with an Authority Code of 385, which have a Follow-up date within the period specified in the title.

19. RESULTS OF FOLLOW-UP (TOTAL)

Total number of compliance reviews with an Authority Code of 385 which have a Follow-up date within the period specified in the title, and which have the following values in the rightmost position of Type of Follow-up:

- a) IMPOSITION OF SANCTIONS - "1"
- b) REFERRAL TO JUSTICE - "2"
- c) REFERRAL TO OTHER FEDERAL AGENCY - "3"
- d) IN COMPLIANCE - "4"
- e) COMPLIANCE ACHIEVED - "5"

20. OPEN AT END OF PERIOD

Total number of compliance reviews with an Authority Code of 385, which have a Compliance Review Opened date which is not

later than the end of the period specified in the title, and which have no Closed date or a Closed date which is later than the end of the period specified in the title.

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APPENDIX 3

Report Identification: EO2ATC-A (Format 4-1)

Title: Status Summary of Complaints
Section 3 of the Housing and Urban Development Act of 1968

Purpose: To provide for each region an analysis of complaint activity under Section 3.

Source Document: HUD 903.4 - Regional Monthly status Summary of Complaints Received and Compliance Reviews Conducted - Section 3 of the Housing and Urban Development Act of 1968.

Definition of Stub Items:

1. RECEIVED

Total number of complaints with an Authority Code of 700, 710, or 720, which have a Complaint Received date which is within the period specified in the title.

2. ON HAND BEGINNING OF PERIOD

Total number of complaints with an Authority Code of 700, 710, or 720, which a Complaint Received date which is earlier than the beginning of the period specified in the title and a Closed date which is blank or on or after the beginning of the period specified.

3. AWAITING INVESTIGATION

Total number of open complaints with an Authority Code of 700, 710, or 720, which have an Investigation Commenced date which blank or later than the end of the period specified in the title.

NOTE: A complaint is open if the Complaint Received date is earlier than the end of the period specified in the title and the Closed date is blank or later than the end of the period specified in the title.

4. AWAITING INVESTIGATION MORE THAN 30 DAYS

Total number of complaints awaiting investigation as

defined in 3 above and which have a Complaint Received date which is more than 30 days earlier than the beginning of the period specified in the title.

5. UNDER INVESTIGATION

Total number of open complaints with an Authority Code of 700, 710, or 720, which have an Investigation Commenced date which is not later than the end of the period specified in the title, no entry in Negotiations Initiated as of the end of the period specified, and no entry in FIR Completed as of the end of the period specified in the title.

6. UNDER INVESTIGATION MORE THAN 30 DAYS

Total number of complaints under investigation as defined in 5 above which have an Investigation Commenced date which is more than 30 days earlier than the end of the period specified in the title.

7. INVESTIGATED AND FOUND IN COMPLIANCE

Total number of complaints with an Authority Code of 700, 710, or 720 which have a Negotiations Initiated date within the period specified in the title, Results of Negotiations equal to "1", and a Closing date which is within the period specified in the title.

8. UNDER NEGOTIATION

Total number of open complaints with an Authority Code of 700, 710, or 720 which have a Negotiations Initiated date which is not later than the end of the period specified in the title and a Results of Negotiations which is blank.

9. UNDER NEGOTIATION MORE THAN 30 DAYS

Total number of open complaints under Negotiation as defined in 8 above which have a Negotiations Initiated date which is more than 30 days earlier than the end of the period specified in the title.

10. RESULTS OF NEGOTIATION (TOTAL)

Total number of complaints with an Authority Code of 700, 710, or 720 which have a Negotiations Initiated date within the period specified in the title and the following values in

Results of Negotiations:

- a. IN COMPLIANCE - "1"
- b. NON-COMPLIANCE - "2"
- c. COMPLIANCE FAILED - "3"

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11. FIR COMPLETED

Total number of complaints with an Authority Code of 700, 710, or 720 which have an FIR Completed date which is within the period specified in the title.

12. SHOW CAUSE NOTICES ISSUED

Total number of complaints with an Authority Code of 700, 710, or 720 which have a Show Cause Notice Issued date which is within the period specified in the title.

13. CLOSED AT REGION (TOTAL)

Total number of complaints with an Authority Code of 700, 710, or 720 which have a Closed date which is within the period specified in the title and the following values in Type of Closure:

- a. ALLEGATION NOT SUPPORTED - "01"
- b. REQUISITE INFORMATION FROM GRIEVANT LACKING - "02"
- c. LACK OF JURISDICTION - "03"
- d. TRANSFERRED TO SECTION 3 - "04"
- e. TRANSFERRED TO OTHER AUTHORITY - "05"
- f. CONCILIATED SUCCESSFULLY--RELIEF AND AFFIRMATIVE ACTION - "06"
- g. CONCILIATED SUCCESSFULLY--NO RELIEF - "07"
- h. CONCILIATION EFFORTS UNSUCCESSFUL - "08"

14. REFERRED TO HEADQUARTERS (TOTAL)

Total number of complaints with an Authority Code Of 700, 710, or 720 which have a Referred to Headquarters date which is within the period specified in the title and which have the following values in Reason for Headquarters Referral:

- a. ENFORCEMENT PROCEEDINGS - "1"
- b. REFERRAL TO LABOR - "2"
- c. REFERRAL TO JUSTICE - "3"
- d. REFERRAL TO OTHER AGENCY - "4"

e. OTHER RECOMMENDATION - "5"

15. OPEN AT END OF PERIOD

Total number of complaints with an Authority Code of 700, 710, or 720 which have a Complaint Received date which is not later than the end of the period specified in the title and which have no Closed date or a Closed date which is later than the end of the period specified in the title.

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APPENDIX 3

Report Identification: EO2AUC-A (Format 4-2)

Title: Status Summary of Compliance Reviews
Section 3 of the Housing and Urban Development Act of 1968

Purpose: To provide for each region an analysis of compliance activity under Section 3.

Source Document: HUD 903.4 - Regional Monthly Status Summary of Complaints Received and Compliance Reviews Conducted - Section 3 of the Housing and Urban Development Act of 1968.

Definition of Stub Items:

1. OPENED

Total number of complaints with an Authority Code of 750 or 755, which have a Complaint Received date which is within the period specified in the title.

2. ON HAND BEGINNING OF PERIOD

Total number of complaints with an Authority Code of 750 or 755, which have a Compliance Review Opened date which is earlier than the beginning of the period specified in the title and a Closed date which is blank or on or after the beginning of the period specified in the title.

3. AWAITING INVESTIGATION

Total number of open compliance reviews with an Authority Code of 750 or 755, which have an Investigation Commenced date which is blank or later than the end of the period specified in the title.

NOTE: A compliance review is open if the compliance Review

Opened date is earlier than the end of the period specified in the title and the Closed date is blank or later than the end of the period specified in the title.

4. AWAITING INVESTIGATION MORE THAN 30 DAYS

Total number of compliance reviews awaiting investigation as defined in 3 above and which have a Compliance Review Opened date which is more than 30 days earlier than the end of the period specified in the title.

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5. UNDER INVESTIGATION

Total number of open compliance reviews with an Authority Code of 750, or 755, which have an Investigation Commenced date which is not later than the end of the period specified in the title, no entry in Negotiations Initiated as of the end of the period specified, and no entry in FIR Completed as of the end of the period specified in the title.

6. UNDER INVESTIGATION MORE THAN 30 DAYS

Total number of compliance reviews under investigation as defined in 5 above which have an Investigation Commenced date which is more than 30 days earlier than the end of the period specified in the title.

7. INVESTIGATED AND FOUND IN COMPLIANCE

Total number of compliance reviews with an Authority Code of 750, or 755, which have a Negotiations Initiated date within the period specified in the title, Results of Negotiations equal to "1", and a Closing date which is within the period specified in the title.

8. UNDER NEGOTIATION

Total number of open compliance reviews with an Authority Code of 750, or 755, which have a Negotiations Initiated date which is not later than the end of the period specified in the title and a Results of Negotiations which is blank.

9. UNDER NEGOTIATION MORE THAN 30 DAYS

Total number of open compliance reviews under negotiation as defined in 8 above which have a Negotiations Initiated date

which is more than 30 days earlier than the end of the period specified in the title.

10. NEGOTIATION RESULTS

Total number of compliance reviews with an Authority Code of 750, or 755, which have a Negotiations Initiated date within the period specified in the title and the following values in Results of Negotiations:

- a. IN COMPLIANCE - "1"
- b. NON-COMPLIANCE - "2"
- c. COMPLIANCE FAILED - "3"

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11. FIR COMPLETED

Total number of compliance reviews with an Authority Code of 750, or 755, which have an FIR Completed date which is within the period specified in the title.

12. SHOW CAUSE NOTICES ISSUED

Total number of compliance reviews with an Authority Code of 750, or 755, which have a Closed date which is Issued date which is within the period specified in the title.

13. CLOSED AT REGION (TOTAL)

Total number of compliance reviews with an Authority Code of 750, or 755, which have a Closed date which is within the period specified in the title and the following values in Type of Closure:

- a. IN COMPLIANCE - "20"
- b. NON-COMPLIANCE AFTER RE-REVIEW - "21"
- c. COMPLIANCE ACHIEVED DURING SHOW CAUSE - "22"
- d. NOT IN COMPLIANCE AFTER SHOW CAUSE - "23"

14. REFERRED TO HEADQUARTERS (TOTAL)

Total number of compliance reviews with an Authority Code of 750, or 755, which have a Referred to Headquarters date which is within the period specified in the title and which have the following values in Reason for Headquarters Referral:

- a. ENFORCEMENT PROCEEDINGS - "1"

- b. REFERRAL TO LABOR - "2"
- c. REFERRAL TO JUSTICE - "3"
- d. REFERRAL TO OTHER FEDERAL AGENCY - "4"
- e. OTHER RECOMMENDATION - "5"

15. OPEN AT END OF PERIOD

Total number of compliance reviews with an Authority Code of 750, or 755, which have a Compliance Review Opened date which is not later than the end of the period specified in the title and which have no Closed date or a Closed date which is later than the end of the period specified in the title.

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Report Identification: EO2AWC-A (Format 5-1)

Title: Title VIII of the Civil Rights Act of 1968
Analysis of Referral Activity by State and
Local Agencies

Purpose: To provide an analysis for evaluation of State and local
agency processing of Title VIII complaints under the
Department's Substantial Equivalency Regulation.

Source Document: HUD 948 - State/Local Referral Agency Report.

General Format:

In addition to displaying data for each State or local agency, summaries are accumulated for each region, i.e., all State or local agencies within the region, and for all regions. The report provides for two time periods--the first is variable and is selected by the user, the second is a fiscal year cumulative summary.

Definition of Stub Items:

1. TOTAL NUMBER OF REFERRALS THIS PERIOD

Total number of complaints with a Date Referred which is within the period specified in the title.

2. TOTAL RECEIVED AT AGENCY, BEGINNING OF PERIOD

Total number of complaints which have a Date Complaint Received which is within the period specified in the title.

3. TOTAL CLOSED BY STATE/LOCAL AGENCY

Total number of complaints which have a Date Case Closed which is within the period specified in the title.

4. TOTAL AT AGENCY, END OF PERIOD

Total number of complaints which have a Date Complaint Received which is not later than the end of the period specified in the title and a Date Case Closed which is later than the end of the period specified in the title.

NOTE: All succeeding items pertain only to complaints which have a Date Case Closed which is within the period specified in the title.

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5. AWAITED INVESTIGATION MORE THAN 30 DAYS

Total number of complaints with a Date Referred which is more than 30 days earlier than the Date Investigation Commenced.

6. UNDER INVESTIGATION MORE THAN 30 DAYS

Total number of complaints with a Date Investigation Commenced which is more than 30 days earlier than Date Investigation Completed.

7. NOT INVESTIGATED

Total number of complaints with no date in Date Investigation Completed.

8. INVESTIGATED

Total number of complaints with a date in Date Investigation Completed.

9. INVESTIGATION RESULTS - PROBABLE CAUSE

Total number of complaints investigated as defined in 8 above which have a "1" (check mark) in Probable Cause.

10. INVESTIGATION RESULTS - NO PROBABLE CAUSE

Total number of complaints investigated as defined in 8 above

which have a "2" (check mark) in No Probable Cause.

11. INVESTIGATION RESULTS - COMPLAINT WITHDRAWN

Total number of complaints investigated as defined in 8 above which have a "3" (check mark) in Complaint Withdrawn.

12. CLOSED IN LESS THAN 60 DAYS

Total number of complaints with a Date Case Closed which is less than 60 days after Date Referred.

13. CLOSED IN 60-90 DAYS

Total number of complaints with a Date Case Closed which is from 60 to 90 days later than Date Referred.

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14. CLOSED IN MORE THAN 90 DAYS

Total number of complaints with a Date Case Closed which is more than 90 days later than Date Referred.

15. NOT CONCILIATED

Total number of complaints which have a "2" (no) in Conciliated.

16. CONCILIATED IN 30 DAYS OR LESS

Total number of complaints which have a "1" (yes) in Conciliated and a Date Conciliation Completed which is less than 31 days later than Date Investigation Completed.

17. CONCILIATED FOR MORE THAN 30 DAYS

Total number of complaints which have a "1" (yes) in Conciliated and a Date Conciliation Completed which is more than 30 days later than Date Investigation Completed.

18. CONCILIATION RESULTS - SUCCESSFULLY (INCLUDES PARTIALLY SUCCESSFUL)

Total number of complaints with a "1" (yes) in Conciliated, an entry in Date Conciliation Completed, and a "1" (check mark) in Successful or a "3" (check mark) in Partial.

19. CONCILIATION RESULTS - UNSUCCESSFUL

Total number of complaints with a "1" (yes) in Conciliated, an entry in Date Conciliation Completed, and a "2" (check mark) in Unsuccessful.

20. CONCILIATION RESULTS - OTHER

Total number of complaints with a "1" (yes) in Conciliated, an entry in Date Conciliation Completed, and a "4" (check mark) in Other.

21. TYPES OF RELIEF OBTAINED - CASES IN WHICH HOUSING WAS SECURED

Total number of complaints with a "1" (check mark) in Dwelling.

22. TYPES OF RELIEF OBTAINED - AMOUNT OF COMPENSATION AWARDED

Sum of the dollar values contained in Monetary Compensation.

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23. TYPES OF RELIEF OBTAINED - INSTANCES OF AFFIRMATIVE ACTION

Total number of complaints with a "1" (check mark) in Affirmative Action.

24. TYPES OF RELIEF OBTAINED - INSTANCES OF OTHER TYPES OF RELIEF

Total number of complaints with a "1" (check mark) in Other.

25. CONCILIATION AGREEMENTS WITH MONITORING

Total number of complaints with a "1" (yes) in "Does Conciliation Agreement Provide For Future Monitoring Of Respondent's Operations?"

26. CONCILIATION AGREEMENTS WITH NO MONITORING

Total number of complaints with a "2" (no) in "Does Conciliation Agreement Provide For Future Monitoring Of Respondent's Operations?"

27. FINAL DISPOSITION - LEGAL ACTION BY COMPLAINANT

Total number of complaints with a "1" (check mark) in Legal Action By Complainant.

28. FINAL DISPOSITION - FURTHER ACTION BY COMMISSION

Total number of complaints with a "1" (check mark) in Further
Action By Commission.

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