



User's Manual
For
HUD Enforcement Management System
Fair Housing Discrimination Modules

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1. Introduction

The HUD Enforcement Management System (HEMS) replaces the Title Eight Automated Paperless Office Tracking System (TEAPOTS) used to record Fair Housing Act investigations for HUD's Office of Fair Housing and Equal Opportunity (FHEO). This upgrade improves security, modernizes the platform and look, and allows documents to be added.

HEMS is designed to encompass multiple enforcement systems, though only TEAPOTS and some DEC reports are involved in the current release.

Users will need an H number for HUD users or an M number for FHAP or other users registered in HUD's Web Access Secure Systems (WASS). The registration process is discussed in 28. HUD users will not need to enter their H number and password if they are working on a HUD computer as the login to the network will give them access to HEMS. FHAP users will need to apply for M numbers which will work similar to H numbers, though they will need passwords since they do not otherwise have access to the HUD network.

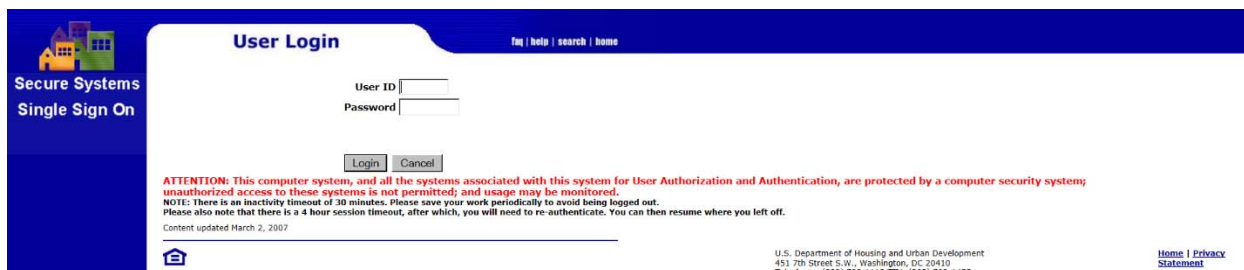
2. Logging in to HEMS

HUD users and FHAP users access HEMS differently so use the URL for your type of access. See section 28 for instructions on registering for the system.

2.1. HUD users should go to <https://hudapps.hud.gov/ssmaster>. This URL will only work for users with user IDs that begin with an H (HUD employees) or C (HUD contractors). If you have already entered credentials for access to the HUD network, you will not need to enter them again.

FHAP users should go to https://hudapps.hud.gov/HUD_Systems. This URL will only work for users with user IDs that begin with M (FHAP users/Multifamily Housing Entity users). Multifamily Housing Entity users will not have access to HEMS, but they may have access to other HUD applications at this URL.

2.2. If a login screen appears like the one below, enter your user ID and password and click the Login button.



The screenshot shows a web browser window with a blue header. On the left, there is a logo for 'Secure Systems Single Sign On' featuring a house icon. The main content area is titled 'User Login' and contains two input fields: 'User ID' and 'Password'. Below these fields are two buttons: 'Login' and 'Cancel'. At the top right of the header, there are links for 'faq | help | search | home'. Below the login fields, there is a red warning message: 'ATTENTION: This computer system, and all the systems associated with this system for User Authorization and Authentication, are protected by a computer security system; unauthorized access to these systems is not permitted; and usage may be monitored.' Below this is a note: 'NOTE: There is an inactivity timeout of 30 minutes. Please save your work periodically to avoid being logged out. Please also note that there is a 4 hour session timeout, after which, you will need to re-authenticate. You can then resume where you left off.' At the bottom left, it says 'Content updated March 2, 2007'. At the bottom right, there is contact information for the U.S. Department of Housing and Urban Development, including the address '451 7th Street S.W., Washington, DC 20410', telephone '(202) 708-1112 TTY: (202) 708-1455', and links for 'Home | Privacy Statement'.

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2.3. A legal warning page will appear.

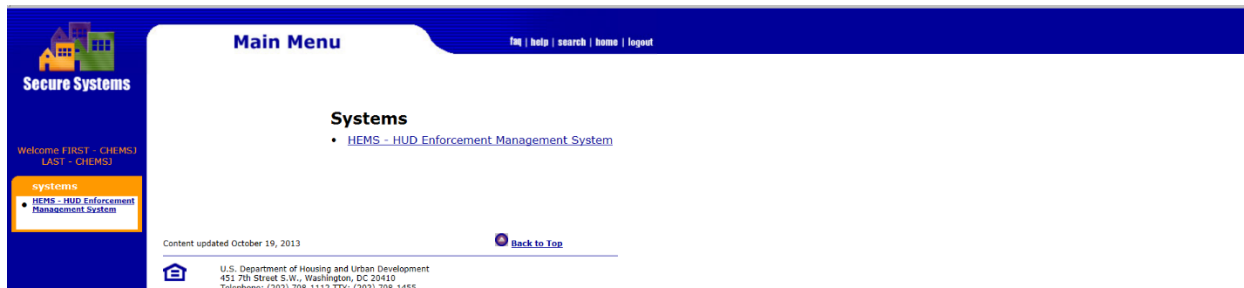
Scroll down if necessary, and click on the Accept button.



The screenshot shows the 'User Login' page. At the top left is the 'Secure Systems' logo. The page title is 'User Login'. A navigation bar at the top right contains links for 'faq', 'help', 'search', 'home', and 'logout'. A warning box at the top states: 'You must login at least once every 90 days to maintain an active ID. If you do not login again before ~~18 Aug 2013~~, your ID will be automatically deactivated. If your User ID is deactivated, please contact the TAC to reactivate your ID.' The main content area features three sections: 'Legal Warning' (misuse of federal information), 'Warning Notice' (browser compatibility), and 'Message of the Day' (a test message for users). The message of the day includes the text: '**** Attention TEST Users ****', 'This is a Test.', and 'We apologize for any inconvenience.' At the bottom, it notes '(Message ID# 85200 - Updated by HWASS0 on Tue Sep 03 08:53:26 EDT 2013)'.

2.4. The next screen will display the systems available to the user. FHAP users will probably only see HEMS, but HUD users may see a number of systems available through Single Sign On, like PIC.

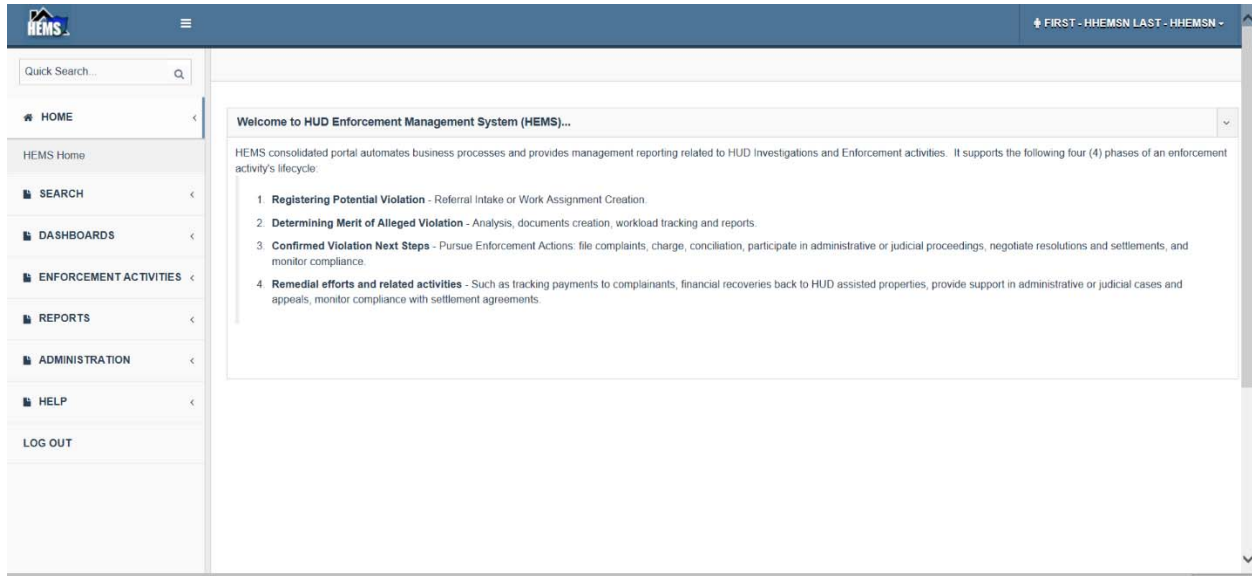
Click on the 'HUD Enforcement Management System (HEMS)' link to go to the HEMS system.



The screenshot shows the 'Main Menu' page. At the top left is the 'Secure Systems' logo. The page title is 'Main Menu'. A navigation bar at the top right contains links for 'faq', 'help', 'search', 'home', and 'logout'. The main content area features a 'Systems' section with a single link: 'HEMS - HUD Enforcement Management System'. The page footer includes the text: 'Content updated October 19, 2013', a 'Back to Top' button, and contact information for the U.S. Department of Housing and Urban Development: '451 7th Street S.W., Washington, DC 20410 Telephone: (202) 708-1112 TTY: (202) 708-1455'.

3. Home Screen Overview

3.1. The Home screen for HEMS is shown below.



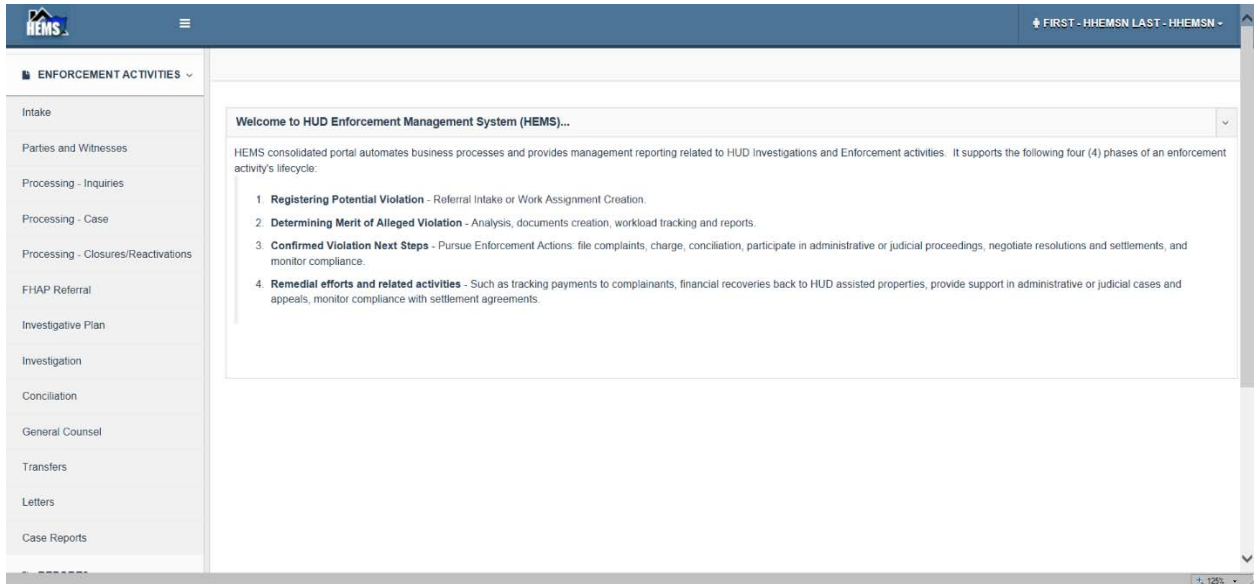
3.2. On the left is the main menu. At the top is the Quick Search field where inquiry numbers, HUD case numbers (with dashes), or FHAP case numbers can be entered to search for them directly.

3.3. Below that is the Home > FHEO Users Home which is this page. Since the FHEO system is the only system currently available, this is not very useful at this point.

3.4. The Search option allows the user to search for inquiries/cases based on various criteria (see section 4).

3.5. The Dashboards option has two screens for Title VIII inquiries/cases and for other authority cases. If you want to create a new entry or you have already bookmarked an inquiry/case, this is what you want (see section 5).

- 3.6. Enforcement Activities can be expanded to show the various screens available (Parties and Witnesses, Processing – Inquiries, Processing – Case, Processing – Closures/Reactivations, FHAP Referral, Investigative Plan, Investigation, Conciliation, General Counsel, Transfers, Letters, Case Reports) if an inquiry/case is active. If there is no active inquiry/case, then these links will still be visible, but they will not connect. Use the Search option or the Dashboard option to identify an active inquiry/case.



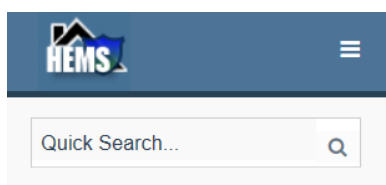
- 3.7. The Reports option can be expanded to see the report sets available. FHEO Reports can be used to run canned FHEO reports (see section 0).
- 3.8. The Administration option allows staff to be assigned to offices, office and signature block information to be edited, jurisdiction to be removed, and inquiries/cases deleted (see section 27).
- 3.9. The Help option will have links to training guides and videos.

4. Searching for an Existing Inquiry/Case

There are two ways to search for a case or inquiry: the quick search and the case search.

4.1. Quick Search

In the top left of all HEMS screens is the Quick Search field if the user knows the inquiry number, HUD case number or FHAP case number they want.

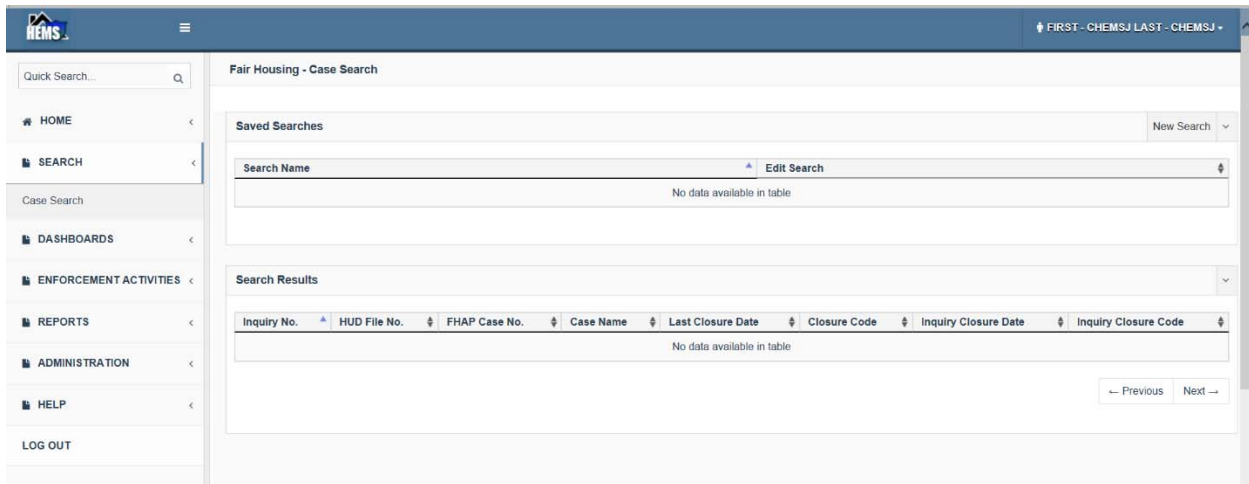


- 4.1.1. Type in an inquiry number, a HUD case number WITH hyphens, or a FHAP case number (case sensitive) and click Enter or the magnifying glass button to execute the search.

Typing in the first few characters will also work to search for all the numbers that begin with those characters so 03-14 will bring up all of the Region 3 cases filed in FY2014.

4.2. Case Search

- 4.2.1. Click on Search in the left menu to expand the list beneath it (which should just have the Case Search option) and click on Case Search to bring up the case search screen.



- 4.2.2. If you want to use a search you have saved, click on the name of the search in the list of saved searches.

Otherwise to do a new search, click on the New Search button to the right of Saved Searches to bring up the Saved Search – Edit pop-up.

A screenshot of the 'Saved Search - Edit' pop-up window. At the top right are buttons for 'Run Search', 'Cancel', and 'Save'. Below these is a light blue instruction box: 'Please fill out the form below.' The form contains several fields: 'Search Name:' with a text input; 'Inquiry No:' with a text input; 'Region:' with a dropdown menu; 'Site:' with a dropdown menu; 'HUD File No:' with a 'Begins with' dropdown and a text input; 'FHAP Case No:' with a 'Begins with' dropdown and a text input; and 'Case Name:' with a text input.

4.2.3. If you want to save the search to use again, enter a search name, but if you just want to do a single search it is not required. You can search for an inquiry number, part of a HUD File (case) number (with hyphens), part of a FHAP Case Number, part of a case name, the initial contact date, an assessor, an investigator, whether the case was jurisdictional (filed), the HUD closure date, a complainant's or respondent's name or organization, or a tag.

Note that FHAP users will not have the option to filter by Region or Site since they only have access to cases at their Region and Site.

Multiple search criteria can be used for the same search, but HEMS does not do well with complex searches so try to minimize the search criteria. It is not a good idea to try to search for a complainant and a respondent in the same search.

4.2.4. After entering the search criteria, click on Save Search to save the search with the entered Search Name, or click on Run Search to run the search.

5. The Title VIII Inquiries/Cases Dashboard

For FHEO or FHAP users, the Title VIII Inquiries/Cases dashboard acts like a home screen. From here you can see bookmarked inquiries/cases, open inquiries/cases, and create new inquiries. Because HEMS includes other areas besides Title VIII, this is not the default home screen when you log in to the system.

5.1. To get to the Title VIII Inquiries/Cases dashboard, expand the Dashboards menu item on the left and select the Title VIII Inquiries/Cases option.

The screenshot shows the 'Fair Housing - Dashboard' interface. It features a left-hand navigation menu with options like HOME, SEARCH, DASHBOARDS, ENFORCEMENT ACTIVITIES, REPORTS, ADMINISTRATION, HELP, and LOG OUT. The main content area is divided into three sections, each with a 'Create New Inquiry' button:

- Cases I've Bookmarked:** A table with columns for Inquiry No., HUD File No., FHAP Case No., Case Name, and HUD File Date. It contains one entry: Inquiry No. 537585, Case Name Gilbert v Hopkins.
- Open Cases I'm Assigned To:** A table with the same columns as above. It contains two entries: Inquiry No. 537585, Case Name Gilbert v Hopkins; and Inquiry No. 537625, Case Name Gilbert v Hill.
- Open Cases At My Site:** A table with the same columns as above. It contains seven entries:

| Inquiry No. | HUD File No. | FHAP Case No. | Case Name | HUD File Date |
|-------------|--------------|---------------|---|---------------|
| 302253 | | | Cramer v. Bank of America | |
| 348093 | 04-13-0327-8 | | AIF1A v. HSBC Bank USA, NA et al. | 01/29/2013 |
| 348095 | 04-13-0042-8 | | Wells v. Bank of America Corporation (Systemic) | 10/16/2012 |
| 348096 | 04-13-0329-8 | | Steiner v. Deutsche Bank National Trust Company | 01/29/2013 |
| 349540 | 04-13-0016-8 | | Dahl v. Lerner | 10/05/2012 |
| 349568 | 10-13-0101-8 | | Liu v Keats | 03/12/2013 |

Any bookmarked inquiries or cases are in the list at the top under Cases I've Bookmarked. Open cases where the user is the assigned assessor, investigator, or conciliator is the second list under Open Cases I'm Assigned To. And all open inquiries/cases at the user's site is the third list under Open Cases At My Site. Finally, at the bottom is a list of cases recently transferred to the user's site. Note that this does not list cases going from HUD to FHAP or vice versa.

6. Creating an Inquiry

- 6.1. From the menu on the left side of the screen, expand **Dashboards** and select **Title VIII Inquiries/Cases** from the list. This will bring up the **Fair Housing – Dashboard**.
- 6.2. To the right of the headers for any of the sections are buttons for **Create New Inquiry**. Click on any of these buttons. (If there are no buttons available you may only have read only rights.)
- 6.3. The **Inquiry – New** pop-up will appear where you can enter the data necessary to create an inquiry. This intended to take minimal time so the only required fields are listed below.

Required fields to create an inquiry (identified with red asterisks):

- Complainant First Name
- Complainant Last Name
- Initial Contact Date (prepopulated with the current date)
- Initial Contact Method

Enter the required information and any additional information you wish to put in the available fields and click on the **Save** button available at the top and the bottom of the pop-up. Any text typed in the Complainant Interview Summary will be saved as an interview. (Note that this text is not saved as the allegations.)

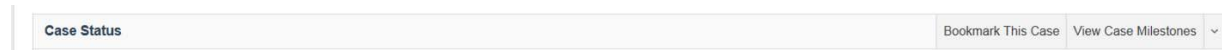
Cancel will exit the screen without creating an inquiry.

- 6.4. When the Save button has been pressed, the Intake screen for the newly created inquiry will appear, the inquiry number will appear at the top of the screen in the Case Status section, and the user who created the inquiry will be the default assessor and identified in the Overview section. Since the user is the assessor, the inquiry will appear in the 'Open Cases I'm Assigned To' section of the Title VIII Inquiries/Cases dashboard.

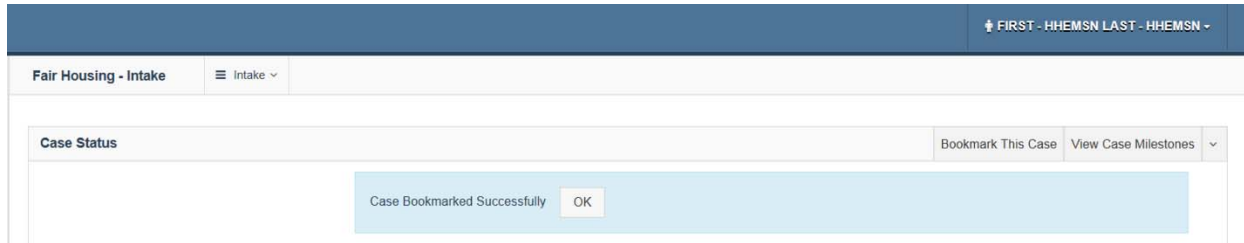
7. Bookmarking an Inquiry/Case

A user may want to reference an inquiry/case repeatedly so they can bookmark the case so it will appear in a list of bookmarked cases.

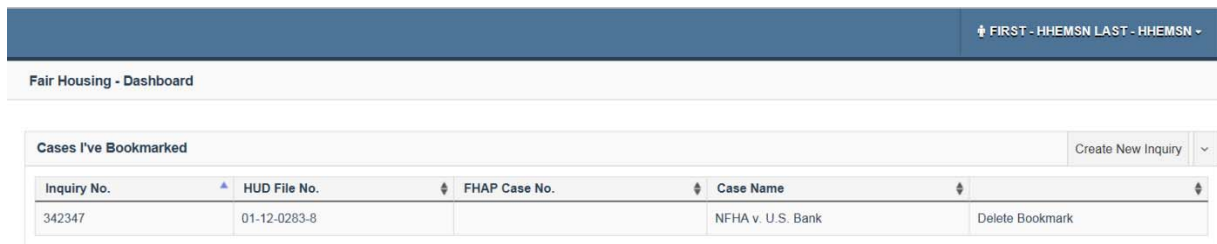
- 7.1. When in an inquiry/case, click on the Bookmark this Case button in the upper right to bookmark the case.



7.2. A screen will appear saying that the case was bookmarked successfully. Click on the OK button.



7.3. The inquiry/case should now appear on the Title VIII Inquiries/Cases dashboard under Cases I've Bookmarked. You can click on the Inquiry No., HUD File No., FHAP Case No., or Case Name to access the inquiry/case.



7.4. To remove any bookmark from your Cases I've Bookmarked list, click on the Delete Bookmark link to the right of that entry.

8. Editing an Inquiry/Case – Intake Screen

The Intake screen is where you can enter and edit the jurisdictional elements for an inquiry or case. If you are in an active inquiry/case either select Intake under Enforcement Activities in the menu on the left or select Intake from the dropdown located beside the header at the top of the screen.

There are six sections on the Intake screen: Case Status (which cannot be edited), Overview, What Happened (Violations/Issues), When did it Happen (Violation Date), Why did it Happen (Basis), and Where did it Happen (Location). If you have edit rights to this case and screen (counsel users do not have edit rights to the Intake screen

Additionally, to the right of the Case Status header, there are buttons to Bookmark the case or to view the case milestones.

If you have edit rights to the inquiry/case, you can edit any of the sections by clicking on the Edit link on the right side of the screen beside the relevant section.

8.1. Overview Section

8.1.1. Clicking on Edit to the right of the Overview header on the Intake screen will take you to the edit pop-up for this section. When an inquiry is created only a few fields are required so the remaining fields will need to be completed before a case can be filed. Those fields

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are identified with red asterisks here and include the case name. The default Assessor is the person who created the inquiry. The origin is fixed as HUD or FHAP depending on which created the inquiry. The Secretary Initiated, FHIP Referral and AFFH Issues checkboxes from TEAPOTS have been changed to dropdowns with Yes, No and Not Selected as the possible choices. Cases should only be identified as Secretary initiated if HUD (the 'Secretary') is a complainant.

Intake - Overview - Edit

Cancel Save

Please fill out the form below.

Case Name: *

Assessor: *

Contractor1, User1 (CHEMS1) - 0000

Origin:

HUD

Initial Contact Method: *

Telephone

Initial Contact Date: *

02/03/2015

Secretary Initiated:

Not Selected

FHIP Referral:

Not Selected

8.1.2. Other checkboxes from TEAPOTS have been consolidated in the Case Processing and Tags lists. These lists may be edited by Headquarters administrators as new tags are needed. It is important that these checkboxes are checked when warranted to flag specific types of cases like REO cases that may be needed for a media request or a speech.

AFFH Issues:

Not Selected

Case Processing:

USDA Referral

Case Flag 1

Case Flag 2

Case Flag 3

Case Flag 4

Tags:

Lead Paint

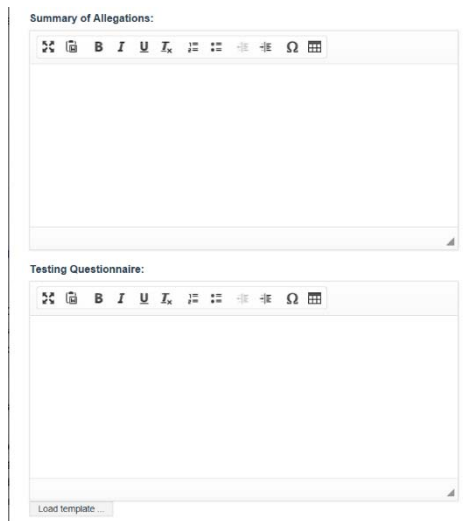
Hurricane

HIV/AIDS

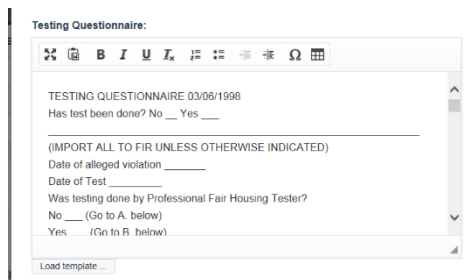
HAMP

REO

8.1.3. Towards the bottom of the edit pop-up are text fields for the Summary of Allegations, Testing Questionnaire, 1st Amendment Narrative, and Other Questions for Claimant. All of these have similar controls above the text box to facilitate editing described below.



8.1.4. All except the Summary of Allegations have Load template buttons below the textbox to load templates into the text boxes as shown below for the Testing Questionnaire which can then be completed or edited.



8.1.5. Click the Save button at the top or the bottom of the Edit pop-up to close the pop-up and save the data. If there were any errors in the data, an error message will appear at the top of the pop-up. (You may have to scroll to the top of the pop-up to see it.)

The Cancel button will close the pop-up without saving any of the edited data.

8.1.6. Note how the information entered for the Overview section of the Intake screen is displayed. Only items that were selected in the Case Processing and Tags sections are displayed. The table in the Summary of Allegations expands to use more of the screen to make reading easier. The 1st Amendment Narrative and Other Questions for Claimant sections had no entries so no text is shown. The Testing Questionnaire template was loaded and contains a lot of text so the default is to only show the first few lines. If you want to see the full questionnaire, click on the More button below the Testing Questionnaire section. If a section has been expanded, a Less button will be available at the bottom of the section to hide all but the first few lines.

Fair Housing - Intake | Intake ▾ | Edit ▾

Overview

Case Name: Miller v ACME Properties
Inquiry Number: 500012
Assessor: Contractor1, User1 (CHEMS1) - 0000
Origin: HUD
Initial Contact Method: Telephone
Initial Contact Date: 02/03/2015
Secretary Initiated: Not Selected
FHIP Referral: Not Selected
AFFH Issues: Not Selected
Case Processing: Systemic
 Testing
Tags: REO

Summary of Allegations: These are the allegations

| Test Table | | | | |
|-------------|--------------|---------------|-------|-------|
| Name | Street | City | State | Zip |
| Mike Miller | 100 Main St. | San Francisco | CA | 96343 |
| | | | | |
| | | | | |

Testing Questionnaire: TESTING QUESTIONNAIRE 03/06/1998
 Has test been done? No __ Yes _X_
 More

1st Amendment Narrative:
Other Questions for Claimant:

8.2. What Happened (Violations/Issues)

8.2.1. This is where issues are selected. It also includes the What Happened section and the Lending Questionnaire. Note that the Summary of Allegations is what appears in the HEMS generated complaint, not what is entered in the What Happened section.

8.2.2. Click on the Edit button to the right of the What Happened header to get to the pop-up where the information can be edited. The two textboxes can be edited as described in the Overview section. Issues can be selected by scrolling through the list and checking the appropriate checkboxes.

Issues Selected:

- 300 Discriminatory refusal to sell
- 301 Discriminatory refusal to negotiate for sale
- 302 Discriminatory refusal to sell and negotiate for sale
- 310 Discriminatory refusal to rent
- 311 Discriminatory refusal to negotiate for rental
- 312 Discriminatory refusal to rent and negotiate for rental
- 320 Discriminatory advertising, statements and notices
- 321 Discriminatory advertisement - sale
- 322 Discriminatory advertisement - rental

Click the Save button at the top or bottom of the pop-up to save the data and close the pop-up.

Only the selected issues will be displayed on the Intake screen.

What Happened (Violations / Issues) Edit

What Happened:

Issues: 310 Discriminatory refusal to rent
311 Discriminatory refusal to negotiate for rental
321 Discriminatory advertisement - sale

Lending Questionnaire:

The issues that end with a 0 in the issue codes are considered the parents of issue codes ending in 1, 2, etc. so '311 Discriminatory refusal to negotiate for rental' is within the '310 Discriminatory refusal to rent' issue group. This is important

8.3. When did it happen (Violation Date)

This is a very straightforward section with areas for the violation date, whether the violation is continuing and comments about the violation date.

When you click on the field to enter a date a date selector will appear which can be used to select a date. Alternatively, a date may be typed in and it does not have to be in exactly the same format as the date shown. This date could be typed as 4/2/14.

Intake - When did it happen - Edit

Cancel Save

Please fill out the form below.

Most recent violation:

04/02/2014

April 2014

| Su | Mo | Tu | We | Th | Fr | Sa |
|----|----|----|----|----|----|----|
| | | 1 | 2 | 3 | 4 | 5 |
| 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| 13 | 14 | 15 | 16 | 17 | 18 | 19 |
| 20 | 21 | 22 | 23 | 24 | 25 | 26 |
| 27 | 28 | 29 | 30 | | | |

Note that when a case is filed the filing date must be within a year of the most recent violation unless it is identified as a continuing violation here.

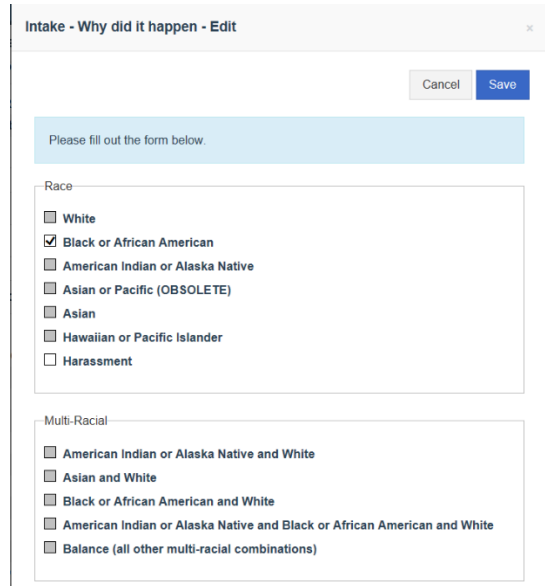
8.4. Why did it happen (Basis)

This is where bases can be selected and the disability questionnaire can be completed. As with the other sections, it can be edited by clicking on the Edit button to the right of the header to bring up the editing pop-up.

Since only one race selection can be made in addition to Harassment, all of the remaining race options are greyed out if one is selected. Harassment cannot be selected in any section until another selection is made in the same group. A specific national origin or religion cannot be selected until Not Hispanic or Latino or Religion is selected respectively.

The disability questionnaire template can be loaded by clicking on the button beneath the text box. See section 30 for a description of the text control features in the text box.

Click Save at the top or bottom of the pop-up to save the data.



8.5. Where did it happen (Location)

This is where the location and exemption information can be entered. Only the selected exemptions will appear on the Intake screen. Click on the Edit button to the right of the header to bring up the editing pop-up.

The fields in this section are fairly straightforward with all of the exemption options at the bottom. It should be noted that the County dropdown will populate based on the State selected and the State selected will determine the Tax Credit agency options available for the respondents.

The City, County and State fields are required fields to file the case.

The Property Type Other field is only editable if Other is selected for the Property Type.

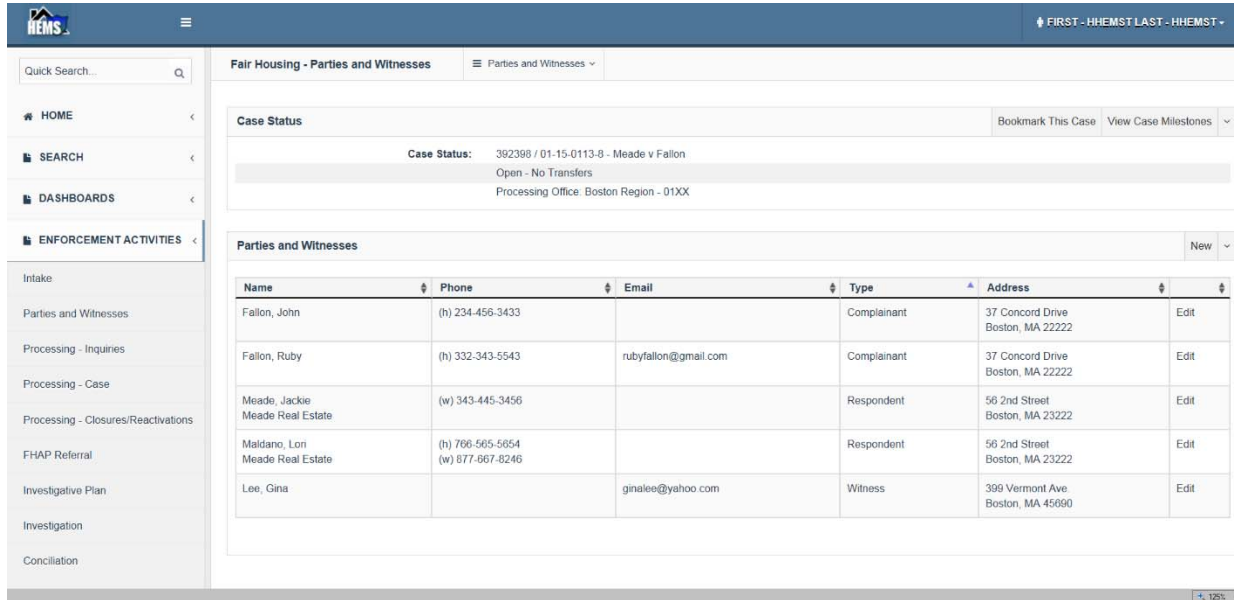
Click Save at the top or bottom of the pop-up to save the data.

9. Editing an Inquiry/Case – Parties and Witnesses Screen

All complainants, respondents, other aggrieved parties, contacts, representatives and witnesses are displayed on this page with their contact information. The three witness groups from TEAPOTS have been consolidated into a single witness type.

The screen below shows the minimal information that might appear on this screen.

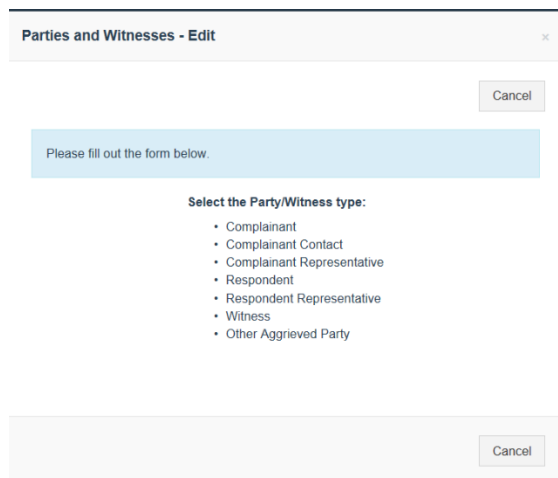
New parties or witness can be added by using the New link to the right of the Parties and Witnesses header. Existing entries can be edited by clicking on the Edit link to the right of the contact information. If you do not see these links, then you do not have rights to edit the case.



9.1. Adding a New Party or Witness

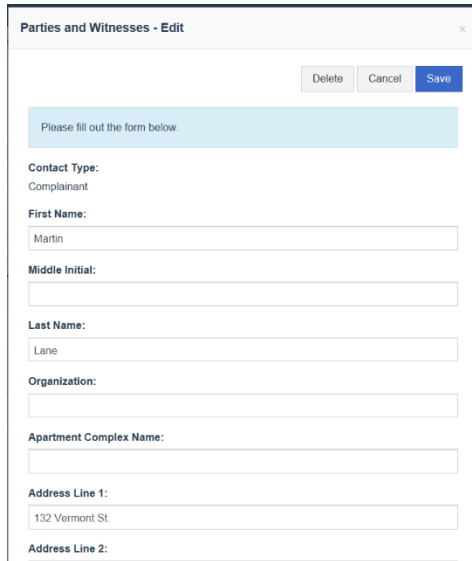
9.1.1. Click on the New link to the right of the Parties and Witnesses header.

9.1.2. The pop-up shown below will appear with links to select what type of party/witness you want to enter. Click on the appropriate type.

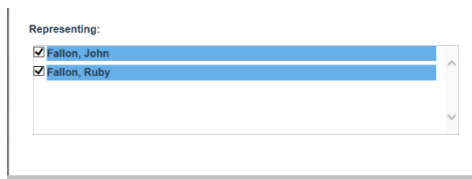


9.1.3. The pop-up below will appear. Enter any information necessary. This screen will vary somewhat depending on the type of party/witness selected.

It is especially important to indicate how complainants learned of the Fair Housing Act, whether they are veterans, and if respondents receive tax credits or are subject to FFIEC oversight. Note that the tax credit agency options associated with a respondent are determined by the state of violation so the state of violation should be entered prior to identifying a respondent as receiving tax credits.



9.1.4. **Representatives and Contacts** are associated with Complainants or Respondents. At the bottom of the edit pop-up for Representatives and Contacts is an area to select the already entered complaints or respondents that they are associated with. If additional Complainants/Respondents are added later, the data for any associated Representatives or Contacts will need to be edited. Unlike TEAPOTS, Representatives and Contacts only need to be entered once and can be associated with multiple Complainants/Respondents.



9.1.5. When all of the information has been entered, click on the Save button at the top or bottom of the pop-up.

9.2. Editing an Existing Party or Witness

9.2.1. On the Parties and Witnesses screen, click on the Edit button to the right of the party or witness you wish to edit.

9.2.2. Edit the fields necessary and click on the Save button.

10. Closing/Reopening Inquiries

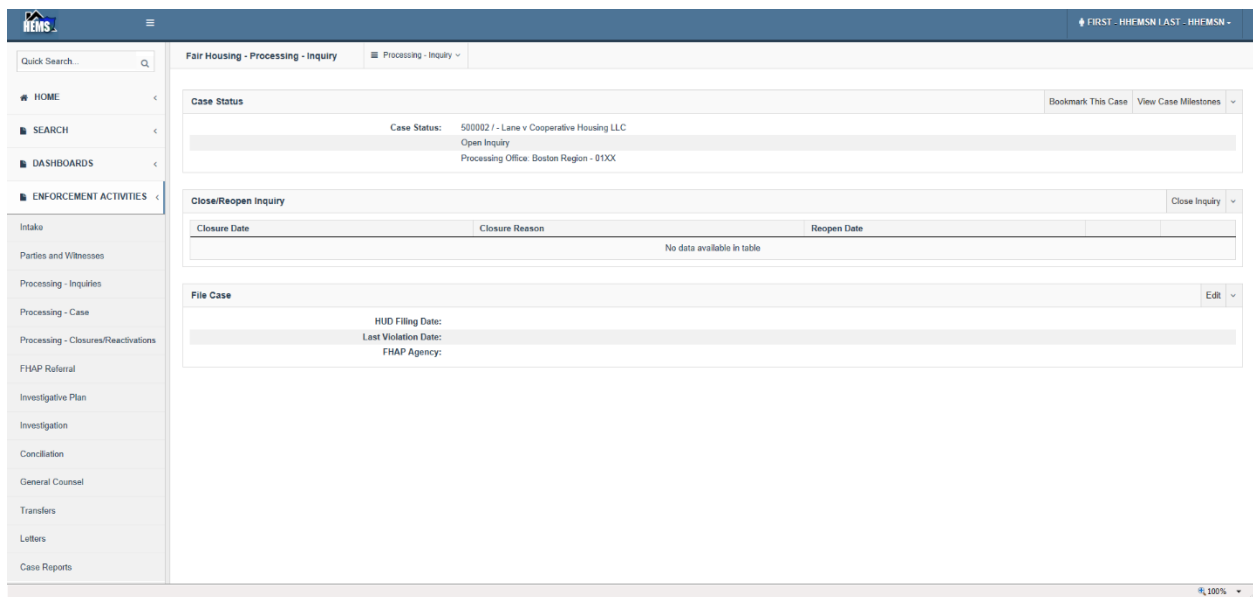
10.1. Closing HUD-Originated Inquiries

HUD-originated inquiries are closed as inquiries using the Processing – Inquiries screen. On the same screen a HUD user can file (convert) an inquiry into a case or reopen an inquiry that has been closed.

FHAP users cannot use the features on this screen and have no reason to. FHAP-originated cases are closed on the Processing – Closures/Reactivations screen (see section 23.1).

10.1.1. To get to the Processing – Inquiries screen, click on Processing – Inquiries in the menu on the left side in an active case.

10.1.2. As shown below, the Processing – Inquiry screen has a top section to close or reopen an inquiry and the second section is to file a case which is discussed in Section 11. Unless an inquiry has been closed, the reopen option is not available and is discussed in Section 10.3.



10.1.3. To close an inquiry, click on the Close Inquiry link on the right side of the screen in the Close/Reopen Inquiry header, to bring up the Inquiry Close/Reopen – Edit pop-up as shown below.

10.1.4. Enter the inquiry closure date using the date picker or by typing the date and select an inquiry closure reason from the dropdown. The inquiry closure date cannot be before the initial contact date and cannot be later than the current date.

10.1.5. Click on the Save button at the top or bottom of the pop-up to save the closure.

10.1.6. The second line of the Case Status should show that the inquiry is closed similar to: Closed Inquiry - No Valid Basis (2015-03-11).

10.1.7. An entry will also appear in the Close/Reopen Inquiry section with the options to edit the entry or reopen the inquiry.

| Close/Reopen Inquiry | | | | |
|----------------------|----------------|-------------|------|----------------|
| Closure Date | Closure Reason | Reopen Date | Edit | Reopen Inquiry |
| 03/11/2015 | No Valid Basis | | | |

10.1.8. Selecting the Edit option allows the user to go back to the Inquiry Close/Reopen – Edit pop-up and change the closure date or reason.

10.2. Closing FHAP-Originated Inquiries

FHAP agencies may put their cases into HEMS as inquiries and some of them may not be dual filed as HUD cases. As these are filed cases with the FHAP agency, they are closed using the case closure reasons instead of inquiry closure reasons (see section 20.1).

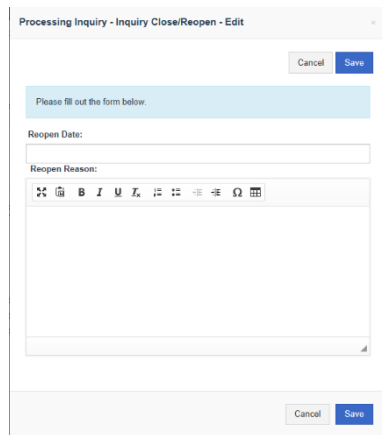
10.3. Reopening an Inquiry

10.3.1. If an inquiry has been closed and there is reason to reopen it, this can be done by clicking on Reopen Inquiry on the Processing – Inquiry screen to the right of the inquiry closure entry in the Close/Reopen Inquiry section.

Important!!!

HEMS does not allow the Reopen information to be edited so it is important that the reopen date be within a year of the date of last violation or you will be unable to file the case if that is the intent of reopening the inquiry.

10.3.2. To reopen an inquiry, click on the Reopen Inquiry link to open the Inquiry Close/Reopen – Edit pop-up. Enter a reopen date that is within a year of the date of last violation (if you intend to eventually file this as a case.) Enter a reopen reason.



10.3.3. Click on the Save button at the top or bottom of the pop-up to save the reopen action.

11. Filing a Case

If an inquiry needs to be filed (or dual filed for a FHAP case), this is also on the Processing – Inquiry screen as the alternative to closing an inquiry. Be sure that all of the necessary jurisdictional fields are completed as well as the contact information for the parties as all this is necessary for creating notification letters.

11.1. Filing Rules

There are a number of rules that may cause errors to occur. All of these have to be true for an inquiry to be filed.

11.1.1. A violation date is required (see section 8.3)

- 11.1.2. How Learned of FhAct must be entered for at least one complainant (see section 9) (This is slightly different from TEAPOTS as this does not need to be entered for every complainant.)
- 11.1.3. At least one basis must be selected.
- 11.1.4. At least one issue must be selected.
- 11.1.5. The HUD filing date must be after the initial contact date.
- 11.1.6. The HUD filing date must be after the violation date.
- 11.1.7. The HUD filing date must be after any inquiry reopen date.
- 11.1.8. The summary of allegations cannot be blank.
- 11.1.9. Contact information is required for all complainants, respondents, and representatives (for addressing notification letters.)
- 11.2. To file a case, go to the Processing – Inquiry screen using the link on the left of an active case or the dropdown towards the top of the screen and click on the Edit link to the right of the File Case header to bring up the File Case pop-up.

The screenshot shows a modal window titled "Processing Information - File Case - Edit". At the top right are "Cancel" and "Save" buttons. Below is a light blue instruction box: "Please fill out the form below." The form contains three main sections: "HUD Filing Date:" with an empty text input field; "Last Violation Date:" with the value "03/01/2015"; and "FHAP Agency:" with a dropdown menu showing "Not Selected". At the bottom right are "Cancel" and "Save" buttons.

There are only three fields on this pop-up and the last violation date is only there to help determine what the filing date should be if timeliness is an issue. The FHAP agency field can be edited here if necessary, but the intent of this field is to remind the user of where the case will be processed. If no FHAP agency is selected, then it will be HUD processed. (Of course this can be changed later.)

- 11.3. Enter a valid filing date using the date picker or by typing in a date and click the save button at the top or bottom of the pop-up. If the case was converted, the case number will appear on the first Case Status line.

12. Case Processing Information

The Processing – Case item on the left menu in an active case consolidates a number of fields from the TEAPOTS jurisdiction and investigation screens. Users are assigned as investigator, conciliator

and HUD Monitor here. Federal funding and any associated other authority cases are identified here.

To get to the Processing – Case screen, either click on the link on the left menu under Enforcement Activities or select it from the dropdown at the top of an active case.

12.1. The Processing Summary

At the top of the Processing – Case screen is the Processing Summary. The data here cannot be edited and appears here for reference only. The 100-Day-Old Date will only be populated for filed cases and the Case/Inquiry Age will show the case age for filed cases and the inquiry age otherwise.

12.2. Assigning Users

The Assign Users section is where users can be assigned to cases. Note that only users with read/write/assign, read/write/assign/transfer, manager or system administrator rights can assign users to a case. Assigned investigators will appear as the default interviewer for interview entries and assigned conciliators will appear as the default conciliator for conciliation entries.

The user who creates an inquiry will be the default assessor.

12.2.1. To assign a user, click on the Edit button to the right of the Assign User header to bring up the Assign Users pop-up as shown below. (If the Edit button is not visible then you do not have rights to assign a user to this case.)

The screenshot shows a pop-up window titled "Processing Information - Assign Users - Edit". At the top right, there are "Cancel" and "Save" buttons. Below this is a light blue box with the text "Please fill out the form below." The form contains four dropdown menus, each with a label and a selection box. The labels are "Assessor:", "Investigator:", "Conciliator:", and "HUD Monitor:". Each dropdown menu currently displays "HUDN, UserN (HHEMSN) - 01XX". At the bottom right of the form, there are "Cancel" and "Save" buttons.

12.2.2. Use the dropdowns to assign users to the different roles as necessary. (The dropdown list is limited to the processing region.)

12.2.3. Click on the Save button at the top or bottom of the screen to save the edits.

12.3. Identifying Federal Funding and Associated Other Authority Cases

The first three rows of this section concern federal funding and the rest identify any associated other authority cases as shown below. Federal Funding will show 'Yes' if any types of federal funding are identified.

| Federal Funding and Other Authorities | | Edit |
|---|----------------------------------|------|
| Federal Funding: | Yes | |
| Federal Funding Type: | PIH | |
| | Section 8 Assisted, Tenant Based | |
| Federal Funding Comments: | | |
| Title VI of 1964 Civil Rights Act Case Number: | 01-15-0331-6 | |
| Section 504 of 1973 Rehabilitation Act Case Number: | | |
| Section 109 of the Housing and Community Development Act of 1974 Case Number: | | |
| Americans with Disabilities Act of 1990 Case Number: | | |
| Age Discrimination Act of 1975 Case Number: | | |
| Executive Order 11063 Case Number: | | |
| Executive Order 12892 Case Number: | | |
| Executive Order 12898 Case Number: | | |
| Title IX Case Number: | | |

12.3.1. To edit this section, click on the Edit button to the right of the Federal Funding and Other Authorities header to bring up the Federal Funding and Other Authorities pop-up as shown below.

Processing Information - Federal Funding and Other Authorities - Edit

Cancel Save

Please fill out the form below.

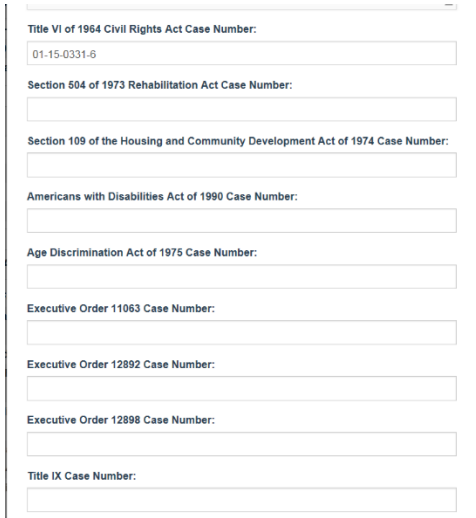
Federal Funding:
Yes

Federal Funding Type:
 PIH
 HUD Insured Program, Below Market Interest Rate
 USDA
 Section 8 Assisted, Tenant Based
 HUD Assisted Housing (202, 811, Project Based Section 8)

Federal Funding Comments:
[Rich Text Editor]

12.3.2. Check the types of federal funding and enter any associated comments.

12.3.3. If there are any other authority cases, enter the case numbers in the appropriate fields as shown below.



A screenshot of a web form with the following fields:

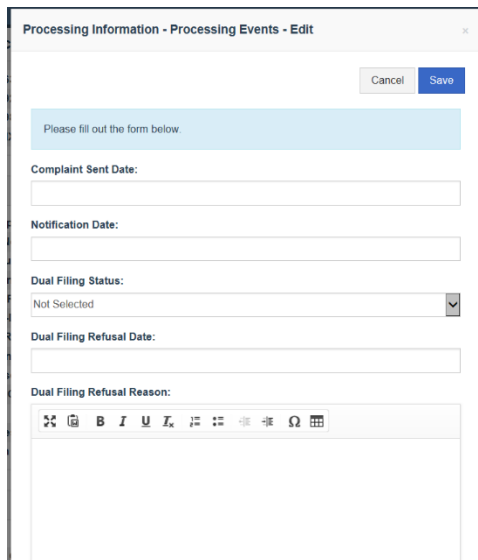
- Title VI of 1964 Civil Rights Act Case Number:
- Section 504 of 1973 Rehabilitation Act Case Number:
- Section 109 of the Housing and Community Development Act of 1974 Case Number:
- Americans with Disabilities Act of 1990 Case Number:
- Age Discrimination Act of 1975 Case Number:
- Executive Order 11063 Case Number:
- Executive Order 12892 Case Number:
- Executive Order 12898 Case Number:
- Title IX Case Number:

12.3.4. Click on the Save button at the top or bottom of the screen to save the edits.

12.4. Entering/Editing Processing Event Information

Most of the information in the Processing Events section of the Processing – Case screen is dates. The charge date appears here for reference only. It can be edited by Counsel users on the General Counsel screen (see section 16).

12.4.1. To edit this section, click on the Edit button to the right of the Processing Events header to bring up the Processing Events pop-up as shown below.



A screenshot of a pop-up window titled "Processing Information - Processing Events - Edit". It contains the following elements:

- Buttons: "Cancel" and "Save"
- Instruction: "Please fill out the form below."
- Fields:
 - Complaint Sent Date:
 - Notification Date:
 - Dual Filing Status: (dropdown menu)
 - Dual Filing Refusal Date:
 - Dual Filing Refusal Reason:
- Rich text editor toolbar with icons for undo, redo, bold, italic, underline, link, unlink, bulleted list, numbered list, indent, outdent, link, unlink, and table.

13. Editing a Case - Investigative Plan

HEMS has a substantially different Investigative Plan that is designed around tables of questions inserted into text fields.

13.1. Accessing the Investigative Plan

13.1.1. In an active case, click on the Investigative Plan link in the menu on the left or select it from the dropdown toward the top of the screen.

13.1.2. The investigative plan has a Case Summary at the top with some basic data about the case, the complainants and the respondents. This data cannot be edited on this screen and only appears here for reference only.

The screenshot displays the HEMS web application interface for an Investigative Plan. The top navigation bar includes the HEMS logo, a search icon, and a user profile dropdown showing 'FIRST - HHEMSN LAST - HHEMSN'. The left sidebar contains a menu with options: HOME, SEARCH, DASHBOARDS, ENFORCEMENT ACTIVITIES, Intake, Parties and Witnesses, Processing - Inquiries, Processing - Case, Processing - Closures/Reactivations, FHAP Referral, Investigative Plan, Investigation, and Conciliation. The main content area is titled 'Fair Housing - Investigative Plan' and shows a dropdown menu for 'Investigative Plan'. Below this, there is a status bar indicating 'Open - No Transfers' and 'Processing Office: Boston Region - 01XX'. The 'Case Summary' section provides the following details:

- Case Name:** Lane v Cooperative Housing LLC
- HUD File Number:** 01-15-0002-8
- Investigator:** HUDN, UserN
- Bases:** Race - Black or African American
- Issues:** 310 Discriminatory refusal to rent
- Allegations:** Allegations go here

The 'Contacts' section contains a table with the following data:

| Contact Name | Position | Address | Telephone | Email |
|---|-------------|--|--|-----------------------------|
| Cooperative Housing LLC | Respondent | P.O. Box 7759 Boston, MA 05475 | | |
| Lane, Martin | Complainant | 132 Vermont St. #2 Boston, MA 05475 | (h) 322 444-5555 (w) 417 345-5777 (c) 527 762-8901 | mlane55@yahoo.com |
| Lane, Rachel | Complainant | 132 Vermont St #2 Boston, MA 05475 | (h) 322 444-5555 (w) 877 801-6000 x23 (c) 346 764-5676 | rachel.lane@yahoo.com |
| Timmons, Kathy Cooperative Housing LLC | Respondent | 1400 Broadway 212 Boston, MA 05475 | (w) 859 932-4533 | Kalhtimmons@coophousing.com |

13.2. Investigative Plan Questions

Below the Case Summary section is the Investigative Plan Questions section. Initially this has a lot of headers with nothing associated with them. To get started, click on the Edit link to the right of the Investigative Plan Questions header to bring up the Investigative Plan Questions Edit pop-up. This pop-up contains a number of blank text boxes for each section.

Investigative Plan - Questions - Edit

Cancel Save

Please fill out the form below

Standing and Jurisdictional Questions:

Allegations:

13.2.1. Click on the Load Template link beneath the section you want to work on. For the example the Standing and Jurisdiction Questions section will be used. It is not necessary to load all of the templates as many of the issues may not apply to the case. Below is what this section looks like with the template loaded.

Investigative Plan - Questions - Edit

Cancel Save


Please fill out the form below

Standing and Jurisdictional Questions:

| Investigative Questions | Who? | What? | Where? |
|--|------|-------|--------|
| Is the complainant(s) a member of a protected class? How Injured? | | | |
| Is the complainant associated with a member of protected class or another entity? How Injured? | | | |
| Is the complainant an organization? How injured? | | | |

Allegations:


HEMS User Manual for Fair Housing Discrimination Complaint Modules

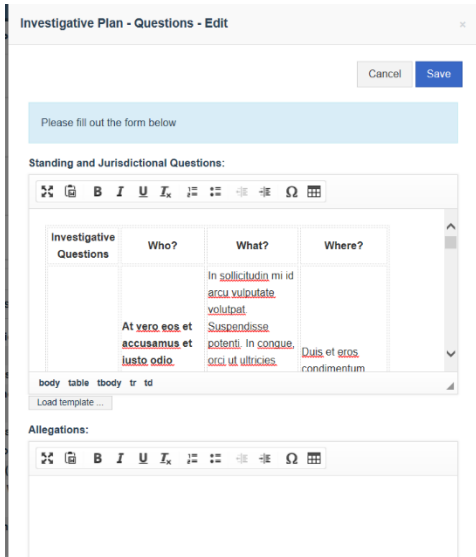
13.2.2. In this table, the area for the user to make entries is probably too small. Click on the  icon to expand the text edit section to full screen as shown below. To return to the pop-up, click on the same icon again.

| Investigative Questions | Who? | What? | Where? |
|--|------|-------|--------|
| Is the complainant(s) a member of a protected class? How Injured? | | | |
| Is the complainant associated with a member of protected class or another entity? How Injured? | | | |
| Is the complainant an organization? How injured? | | | |
| How did the respondent know that the complainant was a member of a protected class? | | | |
| Are all of the injured persons named? | | | |
| Are there any other potential victims | | | |
| Was the complainant injured by a violation of the Act | | | |
| Is each respondent responsible for the acts alleged to be in violation of the Act? If so, how? | | | |
| Is the property or transaction covered under the Act? | | | |
| Was the complaint timely filed? | | | |

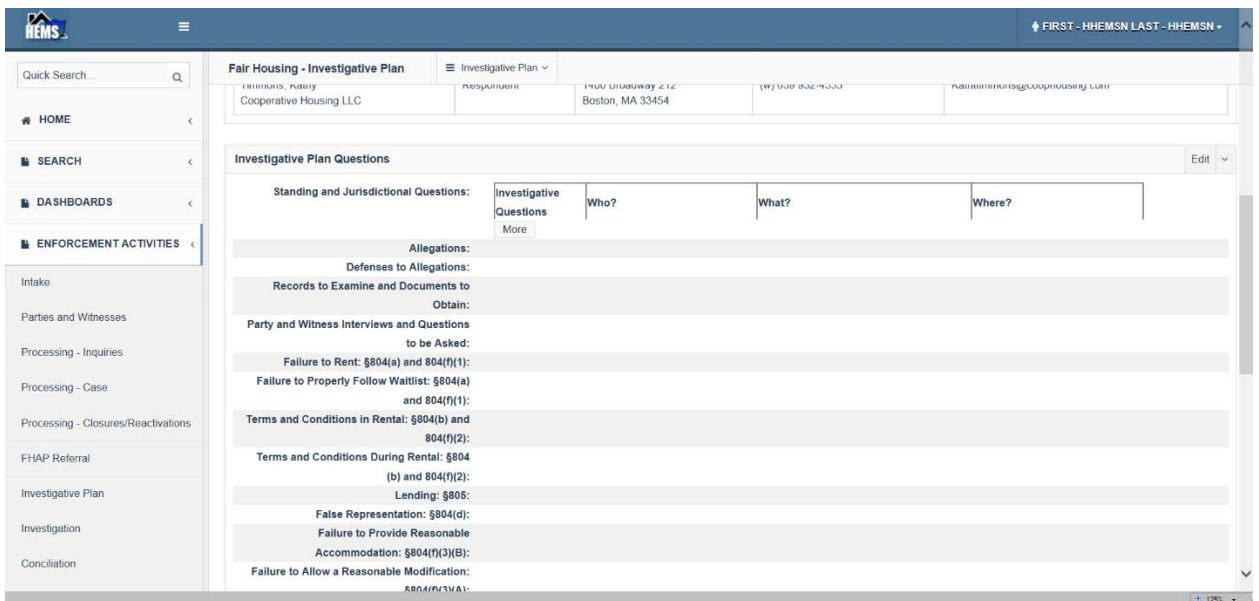
Even with a full screen, the columns for Who, What and Where information look too narrow, but when you start typing the columns and rows will expand to allow the entry. (Note also the spell-check.)

| Investigative Questions | Who? | What? | Where? |
|--|---|---|---|
| Is the complainant(s) a member of a protected class? How Injured? | At vero eos et accusamus et iusto odio dignissimos ducimus qui blanditiis praesentium voluptatum deleniti atque corrupti quos dolores et quas molestias excepturi sint occaecati cupiditate non provident, similique sunt in culpa qui officia deserunt mollitia animi, id est laborum et dolorum fuga. Et harum quidem rerum facilis est et expedita distinctio. | In sollicitudin mi id arcu vulputate volutpat. Suspendisse potenti. In congue, orci, ut ultricies eleifend, turpis sem lacina justo, quis bibendum felis auctor ac auctor. Duis accusan vulputate turpis, ut facilisis nisi laoreet eu. Nulla eget odio in risus aliquet blandit nec interdum metus. Curabitur sed mollis lorem. Mauris elementum magna a tortor hendrerit pellentesque. Phasellus at lobortis nisi, ut elementum libero. Nulla rhoncus aliquam metus, et ultrices. Donec pretium orci ac risus iaculis varius. | Duis et eros condimentum, eleifend velit sed, dictum enim. Aliquam luctus ut lectus in gravida. Aliquam erat volutpat. Proin cubinar diam sed pharetra luctus. Suspendisse sagittis risus, et risus feugiat, at sollicitudin lectus elementum. Vestibulum libero turpis, commodo quis ante id, scelerisque auctor risus. Morbi ac pretium arcu, et tempor ligula. |
| Is the complainant associated with a member of protected class or another entity? How Injured? | | | |
| Is the complainant an organization? How injured? | | | |
| How did the respondent know that the complainant was a member of a protected class? | | | |
| Are all of the injured persons named? | | | |
| Are there any other potential victims | | | |
| Was the complainant injured by a violation of | | | |

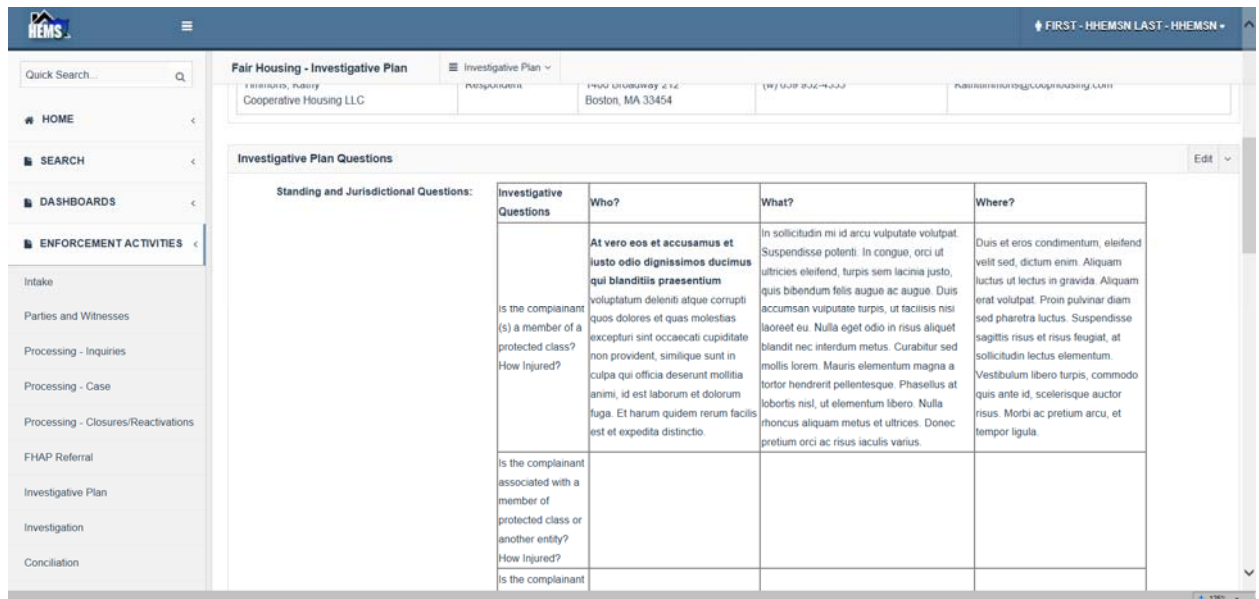
13.2.3. When you have completed your entries, click on the  icon to go back to the pop-up. Long entries will be difficult to read here, but don't worry about that as it is not intended to be read in edit mode.



13.2.4. Click on the Save button at the top or bottom of the pop-up to save the changes. Now the top of the template for that section is visible on the Investigative Plan screen. It is rolled up so the user can see all of the headers easily and see where content has been entered.



13.2.5. To see the content of a section, click on the More button associated with that section. Now the questions and answers are readable. There is a Less button at the bottom of the table to roll it back up.



13.2.6. To print out an Investigative Plan, go to Case Reports from the menu on the left or the dropdown toward the top of the screen, and select Case Print with Plan checked. You may want to uncheck Assess if you do not want that information as well (see section 22).

Once data has been entered into a template, clicking on Load Template will reload the template and delete any entered data.

14. Editing a Case – Investigation

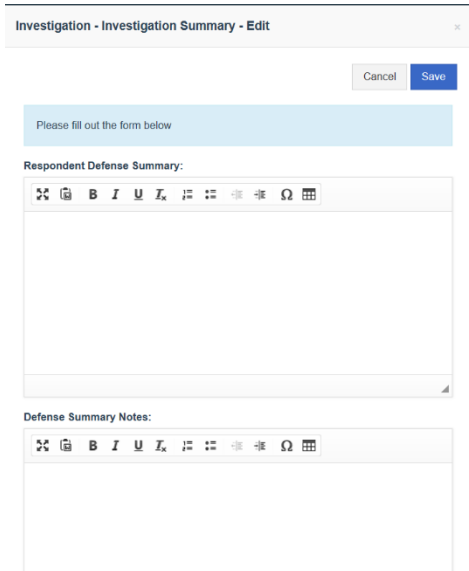
The Investigation screen captures the information that is gathered during the investigation through interviews, documents, interrogatories, and factual observations. The 100-day letter information and the findings and conclusions are also on this screen. In the Documents section, files can be attached to the entries.

Click on the Investigation link in the left side menu of an active case or select Investigation from the dropdown.

14.1. Entering/Editing Investigation Summary Information

The Investigation Summary section of the Investigation screen contains the respondent's defenses, the chronology and the investigation notes.

14.1.1. To edit or enter data in the Investigation Summary section, click on the Edit link to the right of the header to bring up the Investigation Summary – Edit pop-up as shown below.



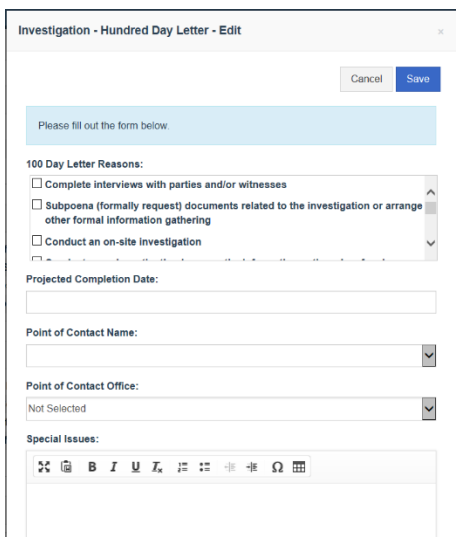
14.1.2. All of these fields are text fields where text can be entered and edited as needed.

14.1.3. Click on the Save button at the top or bottom of the screen to save the edits.

14.2. Entering Hundred Day Letter Information

Cases that are open over 100 days require that a 100-Day Letter be mailed to the complainants, respondents and their representatives. The information necessary to populate those letters can be entered in this section.

14.2.1. To edit or enter data in the Hundred Day Letter section, click on the Edit link to the right of the header to bring up the Hundred Day Letter – Edit pop-up as shown below.



14.2.2. All of the fields here are required for the 100-day letters, though the special issues section is only needed if the special issues checkbox is selected. Select one or more of the 100-day letter reasons. Choose a projected completion date. Select a point of contact person and whether Headquarters or Regional.

If the 'Special issues have come up in this case requiring additional time.' checkbox is checked as a reason, then the special issues should be described in the Special Issues section for inclusion in the letters.

14.2.3. Click on the Save button at the top or bottom of the screen to save the edits.

Note that the 100-Day Letters are created for each case instead of as a batch process like in TEAPOTS so the user should go to the Letters option (see section 18) for the case when the 100-day letters need to be sent out.

14.3. Entering/Editing Interviews

14.3.1. To enter a new interview in the Interviews section, click on the New link to the right of the header to bring up the Interviews – Edit pop-up as shown below. To edit an existing interview entry, click on the Edit link to the right of the interview entry on the Investigation screen.

The screenshot shows a web-based form titled "Investigation - Interviews - Edit". At the top right, there are "Cancel" and "Save" buttons. Below the title bar is a light blue instruction box: "Please fill out the form below." The form contains several fields: "Interview Date:" with a text input; "Interviewer:" with a dropdown menu showing "HUDN, UserN (HHEMSN) - 01XX"; "Interviewee:" with a dropdown menu; and "Interview Method:" with a dropdown menu. Below these are two rich text editors. The first is labeled "Interview Notes:" and the second is labeled "Interview Summary:". Both rich text editors have a toolbar with icons for bold (B), italic (I), underline (U), link (L), unlink (L with slash), bulleted list, numbered list, indent, outdent, undo, redo, and insert table. At the bottom right of the form, there are "Cancel" and "Save" buttons.

- 14.3.2. The fields are basically the same as from TEAPOTS except the position of the interviewee is no longer required since it is associated with the person anyway.
- 14.3.3. Select the interview date using the date picker or type the date in.
- 14.3.4. Select the interviewer from the dropdown of HEMS users.
- 14.3.5. Select the interviewee from the dropdown list of parties and witnesses. Note that like in TEAPOTS, interviewees must have been previously been entered into the Parties and Witnesses screen to enter an interview with them.
- 14.3.6. Select an interview method from the dropdown.
- 14.3.7. Enter any interview notes and the interview summary. The summary will appear in the final investigative report while the notes will not.
- 14.3.8. Click on the Save button at the top or bottom of the screen to save the edits.

14.4. **Entering/Editing Document Information**

HEMS has the ability to attach documents to minimize the need for a paper case file. While this makes it easier to review the documents associated with a case, it does not remove the requirement to enter document summaries because these are what will appear in the final investigative report. There is currently no report or function to print out the contents of all of the attachments to a case. Each must be downloaded separately.

As this is the only section where attachments can be made, there may be documents like notification letters or the final investigative report that did not come from an outside party/witness.

Many types of attachments can be made including pictures, audio files and video files. All of these should be considered 'documents' in this section.

Only one attachment can be made per entry.

14.4.1. To enter a new document in the Documents section, click on the New link to the right of the header to bring up the Documents – Edit pop-up as shown below. To edit an existing document entry, click on the Edit link to the right of the document entry on the Investigation screen.

The screenshot shows a web-based form titled "Investigation - Documents - Edit". At the top right, there are "Cancel" and "Save" buttons. Below the title bar, a light blue box contains the instruction "Please fill out the form below". The form consists of several input fields: "Document Description:" (with a red asterisk), "Document Date:", "Who Provided:", "Method Obtained:", and "Date Obtained:". Below these is a "Document Summary:" section featuring a rich text editor with a toolbar containing icons for bold, italic, underline, link, unlink, bulleted list, numbered list, indent, outdent, undo, redo, and help. Underneath the text editor is a "File:" section with a text input field and a "Browse..." button. Below that is a "User Defined File Name (do NOT include an extension):" section with another text input field. At the bottom right of the form, there are "Cancel" and "Save" buttons.

14.4.2. Enter a document description. The document description is a short descriptive title for the document like 'Complaint's Lease'. Note that fairly long document descriptions are allowed along with special characters, BUT if a document is going to be attached special characters and document descriptions longer than 30 characters may cause the attachment to fail.

14.4.3. Enter the document date if relevant. The document date is the date the document was created or signed.

14.4.4. Enter who provided the document and the method obtained if that is relevant.

14.4.5. Enter the date the document was received.

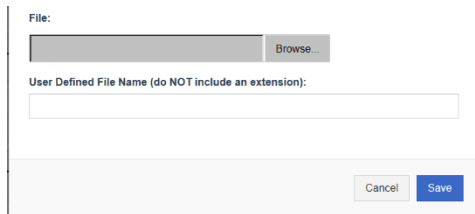
14.4.6. Summarize the relevant points of the document for the final investigative report.

14.4.7. Attachments do not have to be done at the same time the document information is entered. To attach a file, see section 14.5. Click on the Save button at the top or bottom of the screen to save the edits.

14.5. Attaching Files to Documents

As mentioned above, many types of files can be attached to a document entry including: PDF, Word, Excel, JPG, AVI, etc. A document entry needs to exist as described in 14.4 to attach a file to a case.

14.5.1. To attach a file, there is a File field at the bottom of the Documents – Edit pop-up. Click on the Browse button to find and select the file that will be attached.



14.5.2. A more descriptive name can be entered in the User Defined File Name field. Although a path extension is shown for the default file name. That is not needed if the name is edited.

14.5.3. Click on the Save button at the top or bottom of the screen to save the edits.

14.6. Attaching Multiple Files to Documents

While HEMS does not have an option to attach multiple items to a single document entry, a work-around is to attach the multiple files to an email, save the email (without sending it), and then attaching the saved email to the document in HEMS. **This process can also be used to attach sound files which HEMS fails to upload successfully.**

14.6.1. To do this, go to Outlook and create a New Email. You do not need to add any recipients because this email will not be sent. If you enter a subject, that will be the name of the saved file unless you change it when saving. You can also add information about the attachments in the body of the message, but this is not necessary.

14.6.2. Attach the files you want to include using the Attach File option on the Message tab in Outlook. If you want to attach emails from your Outlook, you can use the Attach Item > Outlook Item option on the Message tab. This will allow you to select one or more emails from your mailboxes.

Note on selecting multiple files: In Outlook, and most applications where you can select from a list of files, if the files you want to select are grouped together, you can select the first file, and then press the Shift key while clicking on the last file and all of the files in

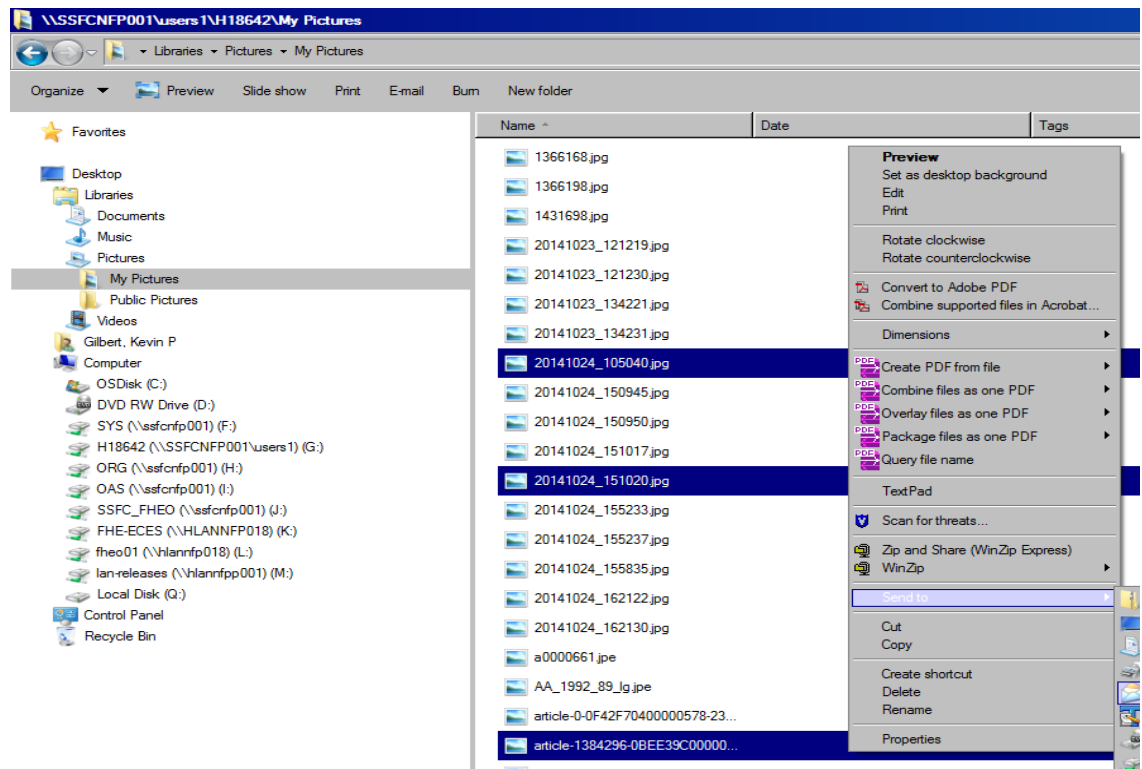
between will also be selected. To select multiple items that are not grouped you can hold down the Ctrl key while clicking on multiple files.

14.6.3. Once all of the files have been attached, save the email using Save As from the File tab in Outlook. It should be saved as an 'Outlook Message Format – Unicode (*.msg)' file type.

14.6.4. Attach this .msg file to the document entry in HEMS. When it is downloaded, it will open in Outlook and the attachments can be opened just like attachments in any Outlook email.

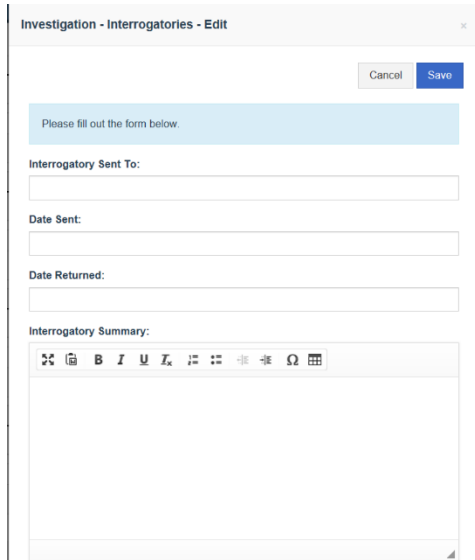
14.6.5. A quicker option if you want to attach multiple emails to one document entry is to select all of the emails in Outlook and then use the Forward option on the Home tab. This will create an email with all of the selected emails as attachments. This email can be saved as described above in 14.6.3 and attached to a document entry.

14.6.6. An alternative procedure for packaging multiple files as a single email, is to go to the Windows Explorer directory containing the files, select all of the files, right-click to bring up the options as shown below, and select 'Send to' and 'Mail recipient'. This will create an email with these files attached, though this process populates the subject line and the body of the message and may need to be edited. This email can be saved and attached to HEMS as described above.



14.7. Entering/Editing Interrogatories

14.7.1. To enter a new interrogatory in the Interrogatories section, click on the New link to the right of the header to bring up the Interrogatories – Edit pop-up as shown below. To edit an existing interrogatory entry, click on the Edit link to the right of the interrogatory entry on the Investigation screen.



14.7.2. These are very straightforward fields. Enter who the interrogatory was sent to, select the date it was sent, select the date it was returned if relevant, and summarize the interrogatory. You may attach the interrogatory in the Documents section (see section 14.5).

14.7.3. Click on the Save button at the top or bottom of the screen to save the edits.

14.8. Entering/Editing Factual Observations

14.8.1. To enter a new factual observation in the Factual Observations section, click on the New link to the right of the header to bring up the Factual Observations – Edit pop-up as shown below. To edit an existing factual observation entry, click on the Edit link to the right of the factual observation entry on the Investigation screen.

Investigation - Factual Observations - Edit

Cancel Save

Please fill out the form below

Investigator:
HUDN, UserN (HHEMSN) - 01XX

Observation Date:

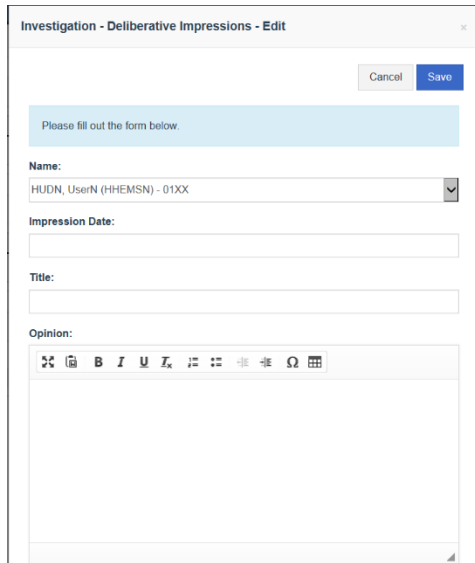
Observation Summary:

14.8.2. These are very straightforward fields. The investigator is the investigator associated with the case, but it can be changed. Select the observation date and summarize the observation. You may attach a file associated with the observation in the Documents section (see section 14.5). If the observation involved photos, it may be easier to put multiple photos into a single Word file instead of making factual observation entries for each one.

14.8.3. Click on the Save button at the top or bottom of the screen to save the edits.

14.9. Entering/Editing Deliberative Impressions

14.9.1. To enter a new deliberative impression in the Deliberative Impressions section, click on the New link to the right of the header to bring up the Deliberative Impressions – Edit pop-up as shown below. To edit an existing deliberative impression entry, click on the Edit link to the right of the deliberative impression entry on the Investigation screen.



The screenshot shows a pop-up window titled "Investigation - Deliberative Impressions - Edit". At the top right, there are "Cancel" and "Save" buttons. Below the title bar is a light blue instruction box that says "Please fill out the form below". The form contains the following fields:

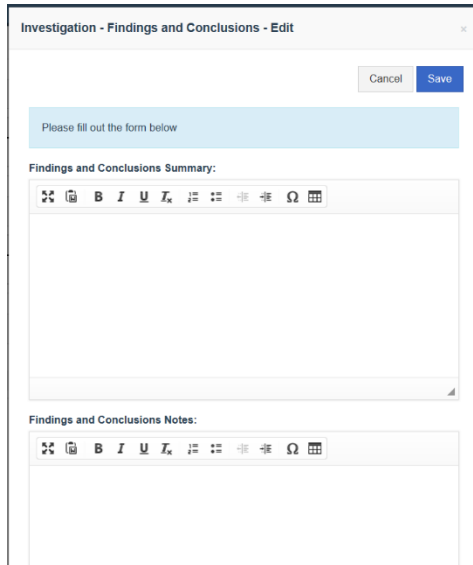
- Name:** A dropdown menu with the selected value "HUDN, UserN (HHEMSN) - 01XX".
- Impression Date:** An empty text input field.
- Title:** An empty text input field.
- Opinion:** A rich text editor with a toolbar containing icons for bold, italic, underline, strikethrough, bulleted list, numbered list, indent, outdent, link, unlink, and insert table. The text area below the toolbar is empty.

14.9.2. These are very straightforward fields. The default name is the investigator associated with the case, but it can be changed. Select the impression date and enter the opinion.

14.9.3. Click on the Save button at the top or bottom of the screen to save the edits.

14.10. Entering/Editing Findings and Conclusions

- 14.10.1. To enter or edit the findings and conclusions, click on the Edit link to the right of the header to bring up the Findings and Conclusions – Edit pop-up as shown below.



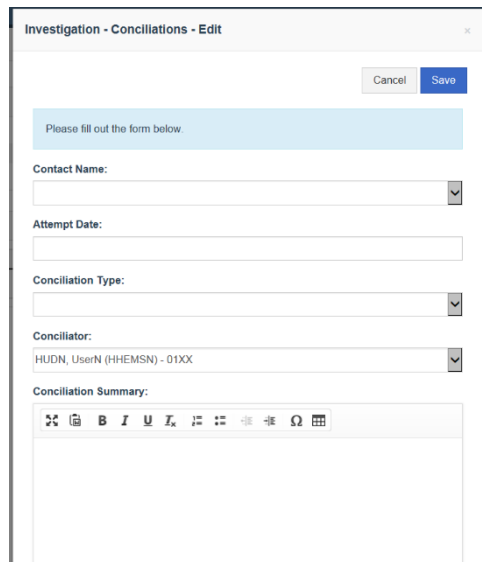
- 14.10.2. Enter the findings and conclusions in the summary field and any notes in the notes field. Only the summary will appear in the determination.
- 14.10.3. Click on the Save button at the top or bottom of the screen to save the edits.

15. Editing a Case – Conciliations

15.1. Entering/Editing Conciliation Entries

15.1.1. Conciliations entries are entered on the Conciliations screen which can be accessed using the Conciliations link in the menu on the left in an active case or by using the dropdown.

15.1.2. To enter a new conciliation entry in the Conciliations section, click on the New link to the right of the header to bring up the Conciliations – Edit pop-up as shown below. To edit an existing interview entry, click on the Edit link to the right of the interview entry on the Investigation screen.



The screenshot shows a web-based form titled "Investigation - Conciliations - Edit". At the top right, there are "Cancel" and "Save" buttons. Below the title bar, a light blue box contains the instruction "Please fill out the form below." The form consists of several fields: "Contact Name:" with a dropdown menu; "Attempt Date:" with a text input field; "Conciliation Type:" with a dropdown menu; "Conciliator:" with a dropdown menu showing "HUDN, UserN (HHEMSN) - 01XX"; and "Conciliation Summary:" with a rich text editor toolbar and a text area.

15.1.3. Select the contact name from the dropdown list of parties and witnesses. Note that like in TEAPOTS, contacts must have been previously entered into the Parties and Witnesses screen to enter a conciliation entry with them. The position of the contact is not required in HEMS.

15.1.4. Select the attempt date using the date picker or type the date in.

15.1.5. Select and conciliation type from the dropdown.

15.1.6. Select the conciliator from the dropdown of HEMS users. If a conciliator has been identified for the case that will be the default entry.

15.1.7. Enter the conciliation summary.

15.1.8. Click on the Save button at the top or bottom of the screen to save the edits.

16. Editing a Case – General Counsel

The General Counsel screen can only be edited by counsel users and some system administrators. Counsel users cannot edit other screens in HEMS except to close a case and enter relief. In TEAPOTS there were separate case closure and relief fields on the General Counsel screen, but in HEMS all users use the same screen to close cases and enter relief.

There is no need for a case to be transferred to counsel in order for a counsel user to enter information in the General Counsel screen or to close the case.

To get to the General Counsel screen, click on the General Counsel link in the left menu of an active case or select General Counsel from the dropdown.

16.1. Entering/Editing the OGC Assignments Section

The top section of the General Counsel screen has a number of fields for entering the attorneys assigned to the case, key dates prior to and including the charge date, and some text fields for notes. Some of these fields are new in HEMS.

Note that the OGC Assignments section is the place where a charge date can be entered or edited.

16.1.1. To edit data in this section, click on the Edit link to the right of the header to bring up the General Counsel – OGC Assignments – Edit pop-up.

The screenshot shows a web form titled "General Counsel - OGC Assignments - Edit". At the top right are "Cancel" and "Save" buttons. Below is a light blue box with the text "Please fill out the form below:". The main section is "Pre Cause Comments:" with a rich text editor toolbar containing icons for bold, italic, underline, link, unlink, bulleted list, numbered list, indent, outdent, link, unlink, and insert table. Below the text area are several input fields: "Date File Sent to General Counsel:", "Date File Received by General Counsel:", "Date Assigned to Field Attorney:", "Field Attorney Assigned to Case:" (a dropdown menu with a downward arrow), "Date Assigned to OGC Attorney:", and "OGC Attorney Assigned to Case:".

16.1.2. Fields can be completed as necessary. Dates can be selected using the date picker or by typing the date.

16.1.3. Click on the Save button at the top or bottom of the screen to save the edits.

16.2. Entering/Editing the DOJ Election Section

16.2.1. To edit data in this section, click on the Edit link to the right of the header to bring up the General Counsel – DOJ Election – Edit pop-up.

General Counsel - DOJ Election - Edit

Cancel Save

Please fill out the form below.

Latest Date of Expiration of Election Period:

Election Made?:
Not selected

Date of Election to go to Court (not ALJ):

Complainant Making Election:
Not selected

Respondent Making Election:
Not selected

Secretary Making Election:
Not selected

Date ALJ Issued Notice of Election:

Cancel Save

16.2.2. Fields can be completed as necessary. Dates can be selected using the date picker or by typing the date.

16.2.3. Click on the Save button at the top or bottom of the screen to save the edits.

16.3. Entering/Editing the ALJ Hearing Section

16.3.1. To edit data in this section, click on the Edit link to the right of the header to bring up the General Counsel – ALJ Hearing – Edit pop-up.

General Counsel - ALJ Hearing - Edit

Cancel Save

Please fill out the form below.

ALJ Name:

Discovery Cutoff Date:

Scheduled Hearing Date:

Hearing City:

Hearing State:
Not selected

Date Hearing Commenced:

Date Hearing Concluded:

Post Hearing Brief Due:

Date OGC Filed:

Date Respondent Filed:

16.3.2. Fields can be completed as necessary. Dates can be selected using the date picker or by typing the date.

16.3.3. Click on the Save button at the top or bottom of the screen to save the edits.

16.4. Entering/Editing the Post Charge Closure and Relief Section

The header may be a bit inaccurate as closures are not done on the General Counsel screen as they are in TEAPOTS. Closures are done on the Processing – Closures/Reactivations screen. The relief can still be entered on this screen, and the civil penalties can only be entered in this section.

16.4.1. To edit data in this section, click on the Edit link to the right of the header to bring up the General Counsel – Post Charge Closure and Relief – Edit pop-up.

General Counsel - Post Charge Closure and Relief - Edit

Cancel Save

Please fill out the form below.

Date of Final Order:

Order Issued By:
Not Selected

If Trial/Hearing, was Discrimination Found?:
Not selected

If No Trial/Hearing, was there a Consent Order or Other Settlement?:
Not selected

Closure Comments:

Post Charge Relief:
 Housing
 Affirmative Action Or Accommodation
 Monetary

16.4.2. Fields can be completed as necessary. Dates can be selected using the date picker or by typing the date.

16.4.3. Click on the Save button at the top or bottom of the screen to save the edits.

17. Transferring an Inquiry/Case

Inquiries and cases can be transferred between offices in the same region, between regions, or to the Department of Justice (DOJ) for investigation. Inquiries and cases can be transferred for investigation which changes the office responsible for the investigation or for review/referral which does not transfer the investigating responsibility. There is a receive action available to record when a transfer is received, but it is not a required step as it was in TEAPOTS. Transfers cannot be deleted, though the last transfer can be edited, so if a transfer is done in error, a subsequent transfer is required to return it. Also, transfer dates can restrict filing dates and closure dates so if a

filing date or closure date will need to be backdated, the be sure to use transfer dates on or prior to that date. If necessary, contact Kevin Gilbert to have a transfer deleted or fixed.

FHAP users cannot transfer cases in HEMS.

Cases should not be transferred to or from a FHAP Agency. To assign a case to a FHAP Agency, just select that agency on the FHAP Referral screen (see 22.1).

If a case is mistakenly assigned to a FHAP and it should be processed by HUD, just remove the FHAP Agency on the FHAP Referral screen to return it to the regional office. (Any FHAP case number may also have to be removed to make this change.)

Cases being processed at a FHAP agency should be reactivated to return them to HUD processing; not transferred. But if a case is mistakenly transferred from a FHAP agency to a HUD office it cannot be transferred back, but it can be returned to FHAP processing just by going to the FHAP Referral screen and resaving it with the FHAP Agency selected. To remove the transfer, Kevin Gilbert at HUD will have to be contacted to have a script run on the database.

Transfer options:

Sent between Regions for investigation – Transfers processing responsibility between regions. This transfer can be from any office in the sending region, but will go to the regional office in the receiving region. This transfer should be used to transfer cases to Headquarters for investigation.

Received between Regions for investigation – An optional receipt action after an inquiry/case has been transferred between regions.

Sent within Region for investigation - Transfers processing responsibility between offices within a region.

Received within Region for investigation - An optional receipt action after an inquiry/case has been transferred between regions.

17.1. To transfer a case, click on the Transfers option on the menu on the left or from the dropdown beside the header when in the case to be transferred. This will bring up the Transfers screen showing all previous transfers. In the example below, the case was transferred from the Boston FHEO office to the Hartford FHEO office for investigation and then transferred back. Transferring a case for investigation changes the processing office while transferring a case for review/referral does not change the processing office.

HEMS User Manual for Fair Housing Discrimination Complaint Modules

↑ FIRST - HHEMSN LAST - HHEMSN ↓

Fair Housing - Transfers ☰ Transfers ▾

Case Status
Bookmark This Case View Case Milestones ▾

Case Status: 500048 / 01-15-4014-8 - Gilbert v Smith
 Closed - Complaint withdrawn by complainant after resolution (2015-09-09)
 Processing Office: Boston Region - 01XX

Transfers
New ▾

| Transfer Date | Description | Entered By Office | Entered By Staff | From Office | To Office | Transferred To | |
|---------------|--------------------------------------|----------------------|------------------|------------------------|------------------------|--------------------|------|
| 09/09/2015 | Sent within Region for investigation | 01XX - Boston Region | HUDN, UserN | 01XX - Boston Region | 01CT - Hartford Office | Bryant, Jr Percile | |
| 09/09/2015 | Sent within Region for investigation | 01XX - Boston Region | HUDN, UserN | 01CT - Hartford Office | 01XX - Boston Region | | Edit |

- 17.2. Transfers cannot be deleted, but the last transfer can be edited. To edit the last transfer, click on the Edit button to the right of the entry. Make any edits necessary and click on the Save button. Generally, only the transfer date and the office transferred to can be edited.

- 17.3. To add a new transfer, click on the New button to the right of the Transfers header to bring up the Transfers – Edit pop-up.

- 17.4. On the pop-up enter a transfer date, select a transfer type, the office the case is being transferred to, and who it is being transferred to along with any comments. The transfer type will determine which offices the case can be transferred to, and the choice of office will determine who the case can be transferred to. It is not required to enter who the case is going to, but this, along with the comments section, is intended to assist in determining the status of the case.

Transfers - Edit

Cancel Save

Please fill out the form below.

Transfer Date:
10/07/2015

Transfer Type:
Not Selected
Sent between Regions for investigation
Sent within Region for investigation
Received within Region for investigation
Sent within Region for review
Sent to HQ for review/referral
Sent for review by Counsel
Sent to Counsel for determination
Sent remand back to Counsel
Sent for DOJ/USDA case investigation

Transfer Comments:
[Rich text editor toolbar]

- 17.5. If the case is going to be transferred to DOJ/USDA an additional field will appear asking for the reason for that transfer i.e. criminal, pattern and practice, zoning/land use, etc.

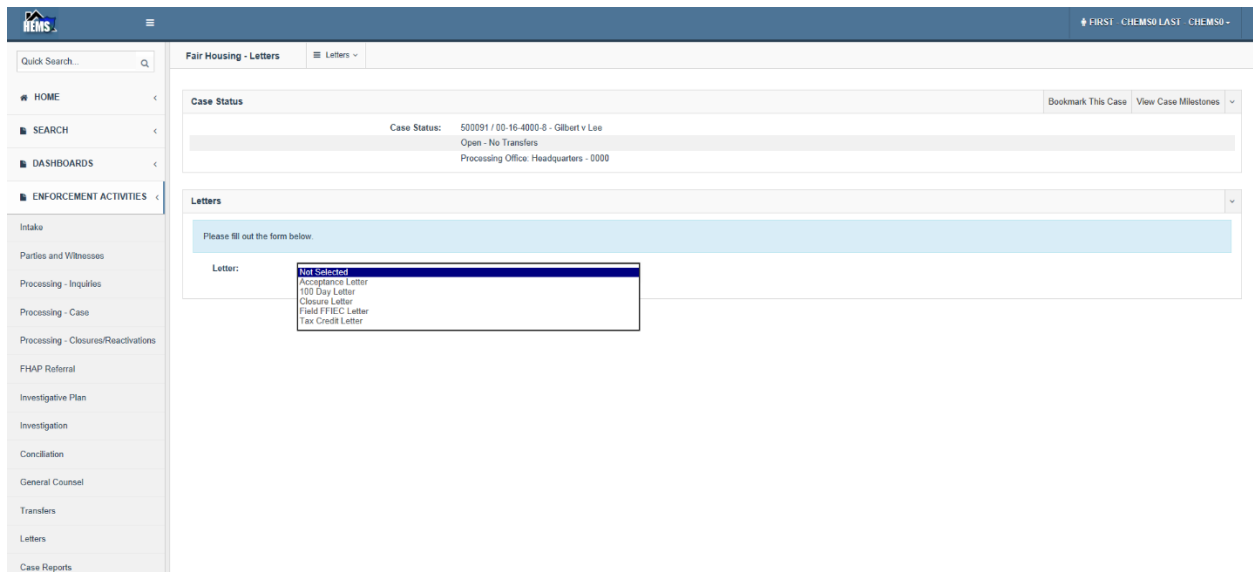
18. Generating Letters

In HEMS all of the Letters are creating by going into the particular case and going to the Letters screen. This includes the 100-Day Letter which is no longer a batch process. Letters are not automatically generated at any point, but can be created at any time from the Letters screen.

The letters that can be generated are:

- The acceptance (notification) letters,
- The 100-day letter,
- The closure letter,
- The field FFIEC letter (sent out when a respondent is overseen by an FFIEC agency), and
- The tax credit letter (sent out when a respondent receiving tax credits has a caused (FHAP)/charged case.)

- 18.1. To generate letters for a case, click on the Letters option on the menu on the left or from the dropdown beside the screen header. On the Letters screen, select the type of letter you want to generate from the Letters dropdown.



- 18.2. Once a letter type has been selected, a dropdown for the parties it will go to will appear. The default is to send the letter to all parties, but you can just create particular letters for specific parties as well.

Click on the Create Letters button.

- 18.3. Depending on your browser, there may be an option to open or save the letters. In Internet Explorer, if you select the Open option they will open in Word. The letters can be saved and/or printed.

- 18.4. At any time, the letters can be regenerated. Note that if any changes have been made in HEMS that would affect the content of the letters then that new content would be captured in the new letters.

19. Generating Case Reports

The case reports in HEMS are similar to TEAPOTS even though some of these are not strictly reports (and were not in TEAPOTS either.) The documents available are the case print, the complaint, the damages worksheet, the determination and the final investigative report.

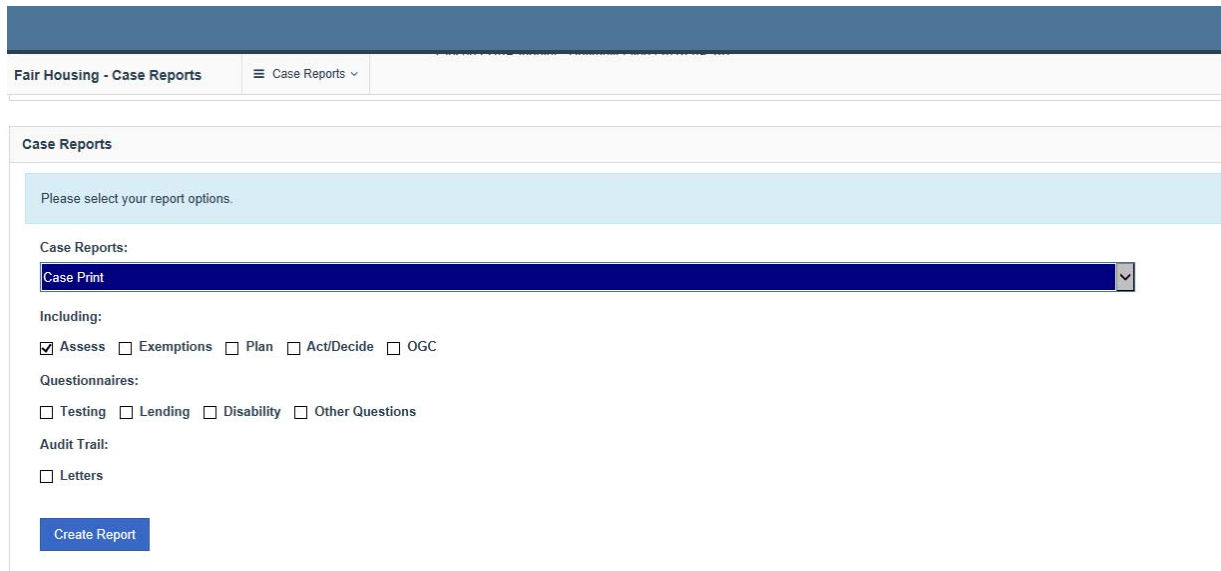
The Case Reports are specific to the case selected by the user.

- 19.1. To run a case report, click on the Case Reports option on the menu on the left or select it from the dropdown beside the header at the top of the screen.

19.2. Select the report to be run from the Case Reports dropdown. For all of the reports except the Case Print, the user just needs to click on the Create Report button after selecting the report to create it.



19.3. For the Case Print report after that report is selected there is an option to select different sections to appear in the report. The user should select any they want and click on the Create Report button. Note that the Act/Decide option should generally be checked by the user.



19.4. After the Create Report button has been clicked the report will be generated and depending on the user's browser they will be given the option to open or save the report.

20. Closing a Filed Case or a FHAP Created Inquiry

There are a couple of aspects to closing a case: a FHAP user can close a FHAP processed case or an inquiry that was not dual filed, a HUD FHEO user can close a FHAP processed case already closed by the FHAP agency, a HUD FHEO user can close a HUD processed case, and a Counsel user can close a HUD processed case.

20.1. A FHAP User Closing a FHAP Processed Case or Inquiry

FHAP users do not use the Processing – Inquiries option in the left menu for anything. If a FHAP inquiry that has not been dual filed with HUD or a filed FHAP processed case needs to be closed they should use the Processing – Closures/Reactivations option and those closure reasons.

20.1.1. In the inquiry/case to be closed, click on Processing – Closures/Reactivations in the left-hand menu to bring up the Closures/Reactivations screen.

20.1.2. If the inquiry/case has not been previously closed, there will be nothing in the Close/Reopen Closure section. Click on the Close Case link to the right of the Close/Reopen Closure header to bring up the Closure pop-up form.

| Close/Reopen Closure | | | | Close Case |
|----------------------------|-------------------|----------------|-------------|------------|
| HUD Closure Date | FHAP Closure Date | Closure Reason | Reopen Date | |
| No data available in table | | | | |

20.1.3. Enter a FHAP closure date and select a closure reason from the drop down. A FHAP user will not see the HUD closure date in the edit pop-up.

Processing Closure - Closure Close/Reopen - Edit
✕

Cancel Save

Please fill out the form below.

FHAP Closure Date:

Closure Reason:
Dismissed for lack of jurisdiction ▼

Non-Disclosure Agreement Date:

Relief:

Housing
 Affirmative Action Or Accommodation
 Monetary
 Employment
 Structural Modifications

Monetary Compensation Amount:

Victim's Fund Amount:

20.1.4. If there was any relief as a result of a conciliation, settlement, etc. check the checkboxes associated with the type of relief in the Relief section, enter any monetary relief/compensation in the Monetary Compensation Amount field, any victims' funds in the Victim's Funds Amount field, the number of additional victims not named as parties in the Number of Additional Victims field and the number of additional victims receiving relief and not named as parties in the Number of Additional Victims Receiving Relief field.

Enter a summary of the conciliation or the text of the conciliation without the boilerplate text, in the Conciliation Summary field if that is warranted.

Relief:

- Housing
- Affirmative Action Or Accommodation
- Monetary
- Employment
- Structural Modifications

Monetary Compensation Amount:

Victim's Fund Amount:

Number of Additional Victims:

Number of Additional Victims Receiving Relief:

20.1.5. If a conciliation contained a non-disclosure agreement, but the date of the agreement in the Non-Disclosure Agreement Date field.

20.1.6. Click the Save button at the top or bottom of the pop-up to save the closure. The entry will be visible in the Close/Reopen Closure section. Note that once a closure has been saved, it can be edited or re-opened, but the closure cannot be removed.

| Close/Reopen Closure | | | | |
|----------------------|-------------------|------------------------|-------------|------|
| HUD Closure Date | FHAP Closure Date | Closure Reason | Reopen Date | |
| | 05/01/2015 | No cause determination | | Edit |

20.2. A HUD FHEO User Closing and Making FHAP Payments on a FHAP Processed Case

Before a HUD user can enter a HUD closure date on a FHAP processed case the FHAP payment amount and type of case (closure) must be entered in the FHAP Payments section at the bottom of the FHAP Referrals screen.

20.2.1. Entering FHAP Payment Information

- 20.2.1.1. Click on FHAP Referral on the left-hand menu and scroll down to the FHAP Payments section of the FHAP Referral screen.
- 20.2.1.2. Click on the Edit button to the right of the FHAP Payments header to bring up the FHAP Payments pop-up form.
- 20.2.1.3. On the form, enter the FHAP Payment Determination and the FHAP Payment Determination Date. If the payment determination is other than Accepted, only the FHAP Payment Determination Date is also needed, though FHAP Payment Notes may be warranted.

20.2.1.4. Further down on the form, select the Type of Case resolution from the dropdown. Note that some resolution types are specific to different periods. Based on the FHAP Payment Determination Date and the type of case selected, Payment Guidelines will be displayed.

20.2.1.5. Enter a FHAP Payment Amount if the case was accepted for payment. Note that the case age was put on the FHAP Referral screen to assist with this determination (though, yes, putting it on the pop-up would have been a better location).

20.2.1.6. Click the Save button at the top or bottom of the pop-up to save the information and return to the FHAP Referral screen.

20.2.2. Entering a HUD Closure Date after a FHAP Payment Decision has been Entered

20.2.2.1. Once the FHAP payment has been entered, as either accepted, with the appropriate payment information, or rejected a HUD closure can be entered. Click on Processing – Closures/Reactivations in the left-hand menu to bring up the Closures/Reactivations screen.

20.2.2.2. There should already be an entry made by the FHAP agency in the Close/Reopen Closure section of this screen with a FHAP closure date and closure reason. Click on the Close FHAP Case link on the right to bring up the Close/Reopen form.

| Close/Reopen Closure | | | | | |
|----------------------|-------------------|------------------------|-------------|-----------------|--|
| HUD Closure Date | FHAP Closure Date | Closure Reason | Reopen Date | | |
| | 05/01/2015 | No cause determination | | Close Fhap Case | |

20.2.2.3. Enter a HUD closure date. The closure reason should already have been entered.

Cancel Save

Please fill out the form below.

HUD Closure Date:

FHAP Closure Date:

Closure Reason:

Non-Disclosure Agreement Date:

20.2.2.4. Click the Save button at the top or bottom of the pop-up to save the closure. There is not a way to remove the closure, but the closure dates and the closure reason can be edited by clicking on the Close Fhap Case link to go to the edit pop-up again.

| Close/Reopen Closure | | | | | |
|----------------------|-------------------|------------------------|-------------|-----------------|--|
| HUD Closure Date | FHAP Closure Date | Closure Reason | Reopen Date | | |
| 05/04/2015 | 05/01/2015 | No cause determination | | Close Fhap Case | |

20.3. A HUD FHEO User Closing a HUD Processed Case

20.3.1. In the case to be closed, click on Processing – Closures/Reactivations in the left-hand menu to bring up the Closures/Reactivations screen.

20.3.2. If the case has not been previously closed, there will be nothing in the Close/Reopen Closure section. Click on the Close Case link to the right of the Close/Reopen Closure header to bring up the Closure pop-up form.

| Close/Reopen Closure | | | | | Close Case |
|----------------------------|-------------------|----------------|-------------|--|------------|
| HUD Closure Date | FHAP Closure Date | Closure Reason | Reopen Date | | |
| No data available in table | | | | | |

20.3.3. Enter a HUD closure date and select a closure reason from the drop down. Some closure reasons require additional information to be entered in this pop-up for the closure to process without an error.

20.3.3.1. If the closure reason is 'Dismissed for lack of jurisdiction', a Non-Jurisdiction Closure Reason needs to be entered at the bottom of the form explaining why the case non-jurisdictional.

20.3.3.2. If the closure is 'Closed because trial has begun' then a Trial Commencement Date is required further down in the form.

20.3.3.3. If the closure is 'Complaint withdrawn by complainant without resolution' or 'Complaint withdrawn by complainant after resolution' then a Withdrawal Request Date is required further down in the form.

20.3.4. If there was any relief as a result of a conciliation, settlement, etc. check the checkboxes associated with the type of relief in the Relief section, enter any monetary relief/compensation in the Monetary Compensation Amount field, any victims' funds in the Victim's Funds Amount field, the number of additional victims not named as parties in the Number of Additional Victims field and the number of additional victims receiving relief and not named as parties in the Number of Additional Victims Receiving Relief field. Enter a summary of the conciliation or the text of the conciliation without the boilerplate text, in the Conciliation Summary field if that is warranted.

20.3.5. If a conciliation contained a non-disclosure agreement, but the date of the agreement in the Non-Disclosure Agreement Date field

20.3.6. Click the Save button at the top or bottom of the pop-up to save the closure. Go to the letters screen from the menu on the left to print the closure letters. Note that once a closure has been saved, it can be edited or re-opened, but the closure cannot be removed.

20.4. A HUD Counsel User Closing a HUD processed case

This is basically the same as for a HUD enforcement user to close a HUD processed case, but it is different from TEAPOTS and counsel users will have different closure options.

A HUD Counsel user would use the process described in section 23.3. (This is different from TEAPOTS where Counsel closed cases on the General Counsel screen.) Counsel users will have some additional closure options not available to FHEO users. Counsel users can edit the relief, but not close the case from the General Counsel screen. They can only enter Civil Penalties on the General Counsel screen.

21. Reopening a Closed Case

Unlike TEAPOTS, closure dates cannot be removed in HEMS and a case must be reopened if that is necessary.

21.1. Reopening a HUD Processed Case

Click on Processing – Closures/Reactivations from the menu on the left or select it from the dropdown beside the screen header to go to that screen. There should be a closure listed here in order to reopen the case.

The screenshot shows the HEMS interface for a case. At the top, there is a navigation bar with 'Fair Housing - Processing - Closures/Reactivations' and a dropdown menu. Below this, the 'Case Status' section displays 'Case Status: 500048 / 01-15-4014-8 - Gilbert v Smith' and 'Closed - Complaint withdrawn by complainant after resolution (2015-09-09)'. The 'Close/Reopen Closure' table is visible below, with columns for HUD Closure Date, FHAP Closure Date, Closure Reason, Reopen Date, Edit, and Reopen Case. The table contains one row with the date 09/09/2015 and the reason 'Complaint withdrawn by complainant after resolution'. A 'Non-Disclosure Agreement Date:' field is also present.

| HUD Closure Date | FHAP Closure Date | Closure Reason | Reopen Date | Edit | Reopen Case |
|------------------|-------------------|---|-------------|------|-------------|
| 09/09/2015 | | Complaint withdrawn by complainant after resolution | | Edit | Reopen Case |

Non-Disclosure Agreement Date:

Click on the Reopen Case button to the right of the closure information to bring up the Edit pop-up. Enter the reopen date and a reason. The reopen date is the only required field to reopen a case. Click Save to reopen the case.

Processing Closure - Closure Close/Reopen - Edit

Cancel Save

Please fill out the form below.

Case Reopen Date:

Case Reopen Reason:

Cancel Save

21.2. Reopening a FHAP Processed Case Prior to HUD Closure

If a FHAP processed case has been closed prior to HUD closure and needs to be reopened, a FHAP user with the necessary rights can go to Processing - Closures/Reactivations and click on the Edit button to the right of the closure entry.

Delete the FHAP Closure Date, change the Closure Reason to Not Selected and click the Save button.

21.3. Reopening a FHAP Processed Case After HUD Closure

This cannot be done in the HEMS application. Contact the HUD system administrator to have the closure removed using a script.

21.4. Reopening a FHAP Processed Inquiry

To reopen a FHAP inquiry that was not dual-filed and had been closed, a FHAP user with the necessary rights can go to Processing - Closures/Reactivations and click on the Reopen Fhap Inquiry button to the right of the closure entry.

Enter a Case Reopen Date and Case Reopen Reason and click the Save button.

22. Entering FHAP Referral Data

The FHAP Referral screen holds most of the fields unique to a FHAP investigation as well as the FHAP payment information. Entering FHAP payments is discussed in section 23.2.1 as part of closing a FHAP processed case though the FHAP payments may be entered without closing the case.

22.1. Entering a FHAP Agency

The FHAP agency is the most important entry on the FHAP Referral screen and is set in a few ways.

22.1.1. When a FHAP user creates an inquiry, their agency is automatically selected as the processing FHAP agency and a FHAP user cannot change it.

22.1.2. When a HUD user creates an inquiry, they can clicking on the FHAP Referral option on the left-hand menu to go to the FHAP Referral screen, click on the Edit button to the right of the Referral header to bring up the Referral pop-up, select a FHAP Agency from the top dropdown, and clicking the Save button at the top or bottom of the Referral pop-up.

FHAP Referral - Referral - Edit

Cancel Save

Please fill out the form below.

FHAP Agency:
Boston Fair Housing Commission - 2501

FHAP Case Number:

FHAP Receipt Date:

22.1.3. When a HUD user files a case (section 14), there is a field for the FHAP agency which is either populated with whatever FHAP agency has already been designated on the FHAP Referral screen due to a FHAP agency creating the inquiry or a HUD user selecting the agency on the FHAP Referral screen, or, if no agency is selected, the user filing the case can select an agency to give them processing responsibility.

Processing Information - File Case - Edit

Cancel Save

Please fill out the form below.

HUD Filing Date:
05/01/2015

Last Violation Date:
02/12/2015

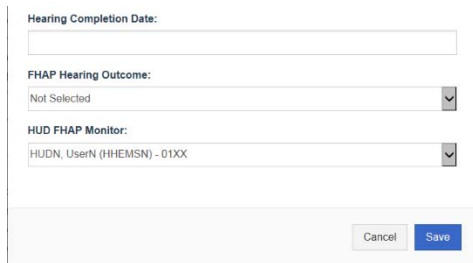
FHAP Agency:
Boston Fair Housing Commission - 2501

Cancel Save

22.2. Entering the HUD FHAP Monitor

The HUD FHAP Monitor can only be selected by a HUD user with the rights to assign users to a case. There are two places where this can be done, one is the FHAP Referral screen and the other is the Processing – Case screen in the Assign User section (section 15.2).

To select a HUD FHAP Monitor on the FHAP Referral screen, a HUD user with the rights to assign users can click on the FHAP Referral option on the left-hand menu to go to the FHAP Referral screen, click on the Edit button to the right of the Referral header to bring up the Referral pop-up, select a HUD FHAP Monitor from the dropdown at the bottom of the pop-up, and click the Save button at the top or bottom of the Referral pop-up.



The screenshot shows a form with three main sections: 'Hearing Completion Date:' with an empty text input field; 'FHAP Hearing Outcome:' with a dropdown menu currently showing 'Not Selected'; and 'HUD FHAP Monitor:' with a dropdown menu currently showing 'HUDN, UserN (HHEMSN) - 01XX'. At the bottom right of the form are two buttons: 'Cancel' and 'Save'.

22.3. Entering FHAP Referral Data other than the FHAP Agency and HUD FHAP Monitor

The FHAP agency and HUD FHAP monitor are either entered automatically or by a HUD user, but the remaining fields in the Referral section of the FHAP Referral screen are generally entered by a FHAP user.

22.3.1. To enter FHAP referral data in an inquiry/case, click on the FHAP Referral option on the left-hand menu.

22.3.2. Click on the Edit button to the right of the Referral header on the FHAP Referral screen to go to the Referral pop-up.

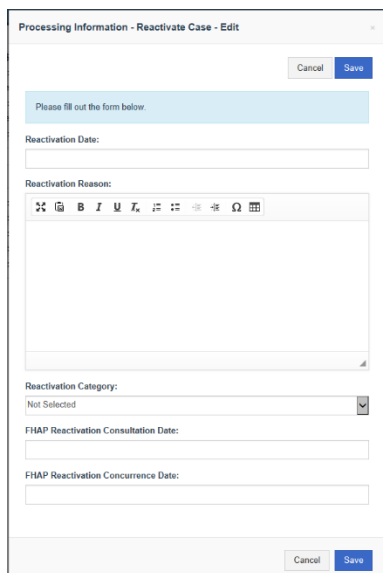
22.3.3. Make any entries or changes to the FHAP Case Number, FHAP Receipt Date, FHAP Filing Date, FHAP Investigator, FHAP 100 Day Letter Date, To Legal for Review Date, To Legal for Adjudication Date, FHAP Cause Date, FHAP Cause Vacated Date, FHAP Cause Vacated Notes, FHAP Resolution Process (post-cause administrative or judicial processing), Hearing Start Date, Hearing Completion Date, and FHAP Hearing Outcome.

22.3.4. Click the Save button at the top or bottom of the pop-up to save and close the pop-up.

23. Reactivating a FHAP Case

The reactivation process switches the processing responsibility from a FHAP agency back to HUD. The fields used to reactivate a case are at the bottom of the Processing – Closures/Reactivations screen.

- 23.1. To get to the Processing – Closures/Reactivations screen, click on the Processing – Closures/Reactivations link in the left menu under Enforcement Activities in an active case or select Processing – Closures/Reactivations from the dropdown.
- 23.2. On the Processing – Closures/Reactivations screen, scroll down to the Reactivate Case section and click on the Edit link to the right of the header.



The screenshot shows a web form titled "Processing Information - Reactivate Case - Edit". At the top right, there are "Cancel" and "Save" buttons. Below the title is a light blue box with the text "Please fill out the form below." The form contains several fields: "Reactivation Date:" followed by a text input field; "Reactivation Reason:" followed by a rich text editor with a toolbar containing icons for bold, italic, underline, strikethrough, bulleted list, numbered list, link, unlink, and insert table; "Reactivation Category:" followed by a dropdown menu with "Not Selected" selected; "FHAP Reactivation Consultation Date:" followed by a text input field; and "FHAP Reactivation Concurrence Date:" followed by a text input field. At the bottom right, there are "Cancel" and "Save" buttons.

- 23.3. The Reactivation Date and Reactivation Reason are required fields. Complete the fields and click the Save button. The processing office will revert from the FHAP agency to the HUD regional office.

24. Handling Parent/Child Case Relationships

Often multiple cases are related, though the complainants or respondents might be different. Because of this, many of the interviews, documents, etc. are relevant to all of the cases. Using the standard procedure, all of these interviews, documents, etc. would need to be entered into each HEMS case separately which is time consuming. As an alternative when the office believes it is acceptable, one case can be treated as a 'parent' containing all of the interviews, documents, etc. and the related cases are 'child' cases which would not contain entries already made in the parent case. This process is described below.

- 24.1. Early in the investigation, determine which case among multiple similar cases will be the parent case. All HEMS entries should be entered into this case normally. As the first line of the

Summary of Allegations of this parent case put a line that identifies it as a parent case and lists the child HUD case numbers.

Example: **This is a “parent” case of 00-00-0002-8, 00-00-0003-8 and 00-00-0004-8.**

- 24.2. For the child cases, enter all parties, bases, issues, initial contact date, violation date, and location of violation into HEMS. As the first line of the Summary of Allegations of the child cases put a line that identifies them as child cases, identifies the parent HUD case number and, after the parent case has been completed, notes that the parent’s FIR and Determination are entered as documents in the child cases.

Example: **This is a “child” case. The “parent” case file with all documentation is 00-00-0001-8. The Determination and FIR are attached to this file.**

- 24.3. In the parent case, enter ALL of the interviews and ALL of the documents for both the parent and child cases. When entering interviews in the parent case for complainants in child cases, add them as witnesses in the parent case and make a note like **Interview of Tom Jones, complainant in case 00-00-0002-8** at the start of the Interview Summary.

- 24.4. When the parent case is completed, make entries for the parent FIR and parent determination in the Documents section of the child cases using **FIR of parent 00-00-0001-8** and **Determination of 00-00-0001-8** (using the parent’s case number) as the Document Descriptions and the summaries. Attach the parent’s FIR and Determination in Word format.

- 24.5. If, for some reason, management feels the Findings and Conclusions of the final Determination needs to be copied into a child case, they can instruct the EOS to do so. Otherwise, it can simply be noted in this section of a child case to see the attached Determination in the Documents section or to see the parent case (with the parent case number referenced).

25. Milestones

There are ten milestones, or case processing measures set up in HEMS for filed cases:

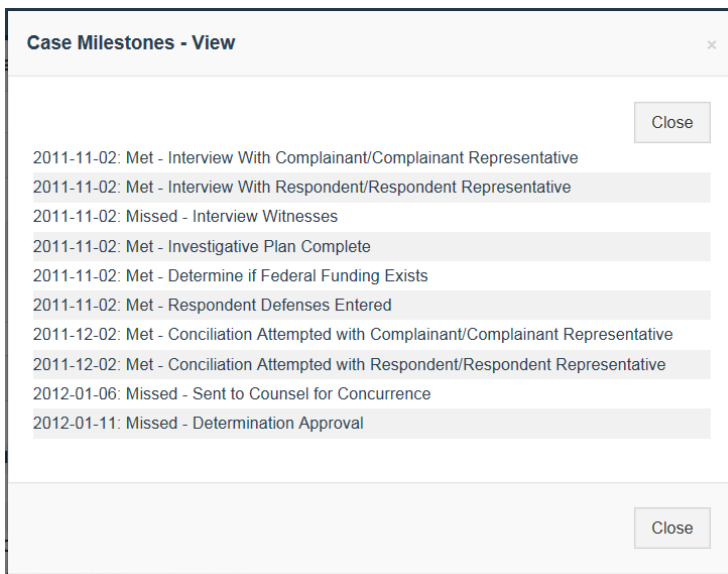
1. Interview the complainant or the complainant's representative within 30 days of filing;
2. Interview the respondent or the respondent 's representative within 30 days of filing;
3. Interview a witness within 30 days of filing;
4. Complete an investigative plan within 30 days of filing;
5. Determine if federal funding exists for the respondent within 30 days of filing;
6. Enter the respondent's defenses within 30 days of filing;
7. Attempt conciliation with the complainant or the complainant's representative within 60 days of filing;
8. Attempt conciliation with the respondent or the respondent 's representative within 60 days of filing;
9. Send the determination to counsel for concurrence within 95 days of filing; and
10. Get an approved determination within 100 days of filing.

- 25.1. To see the case milestones, access a case and click on View Case Milestones in the upper right corner.

A newly filed case will probably have all pending items with the target dates. Inquiries that have not been filed will not have the target dates as they are determined based on the filing date.



As milestones are either met or missed, their status will change as shown below.



- 25.2. Click on the Close button to close this pop-up.

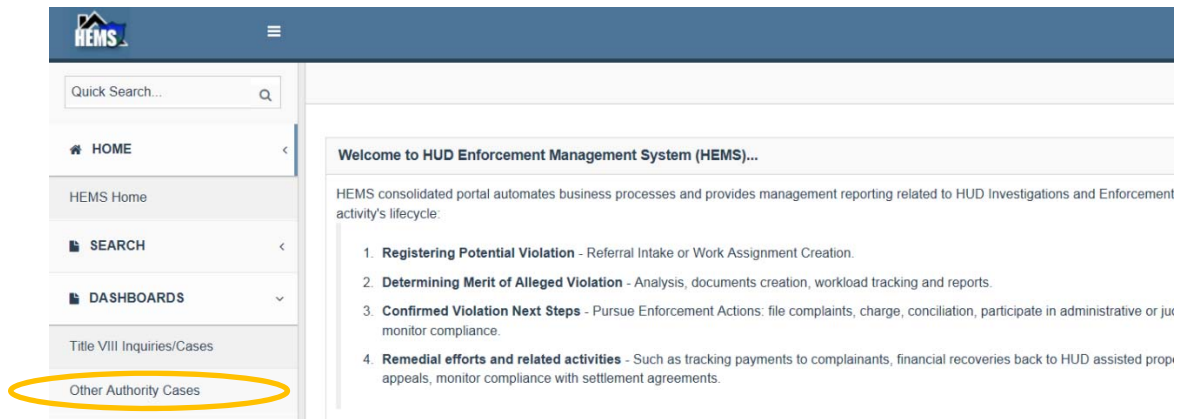
26. Other Authority Cases and Reviews

While HEMS was designed to edit and track Title VIII cases, there is a separate section described here to log other authority cases and reviews. The other authorities available are Title VI, ADA, Age

Discrimination Act, Section 109, Section 3, AFFH, and Section 504. All other authority cases/reviews should be logged here, but there is limited functionality for including other information beyond some key dates. Other authority cases associated with Title VIII cases should also be identified in the Processing – Case screen of the Title VIII case. In section 26.4 a process for treating other authority cases like Title VIII inquiries to utilize HEMS better for their processing is described.

26.1. Searching for and Editing an Other Authority Case or Review

26.1.1. Under the Dashboard option in the left-hand menu select Other Authority Cases (which also covers reviews.)



- 26.1.2. Click on the Search option to the right on the Other Authority Cases screen to bring up the Search pop-up. The example below would return the cases and reviews in Region I started in FY2015 because those case numbers begin with 0115. (Note that when other authority case numbers are entered in this section dashes should not be included.)

Other Authority Cases - Search

Search Cancel

Please fill out the form below.

Case Status:
Not Selected

Region:

File Number:
Begins With
0115

Case Name:
Begins With

Date Received:
Between

Date Closed:
Between

Case Type:

Authority:

Search Cancel

- 26.1.3. Most of the options on the Search pop-up are straightforward though some points to remember are that case numbers **do not** include dashes, the Case Type is really whether it is a case or a review, and the Authority Type is Title VI, Section 504, etc. Make the selections you want and click the Search button at the top or bottom of the screen.

- 26.1.4. Click the HUD File Number in the resulting list to view the data for that case or review. Click on the Edit button to the right of the case/review information to bring up the edit pop-up.

- 26.1.5. Any new information can be entered in the edit pop-up. Be care editing cases/reviews because it is possible to change the case number, region and authority type. There are not a lot of fields available here for other authority cases, but the receipt date, VCA date, closure date and closure type are most important for determining the age and outcome of an other authority case.

- 26.1.6. Click the Save button at the top or bottom of the pop-up to save the changes.

26.2. Creating a New Other Authority Case or Review

26.2.1. To create a new other authority record, click on the New button on the right beside the Search button on the Other Authority Cases screen. The edit pop-up will appear.

26.2.2. The HUD File Number must be entered correctly to align with the region, fiscal year, and authority. **Dashes should not be used when entering the case number.** There are some notes to assist with this if you click on 'Show HUD File Number Format'.

The first two characters should be the region number with 00 for Headquarters and 01 for Region I, etc. The second two characters are the last two digits of the fiscal year the case or review was initiated (received). The fifth character should be an R for review numbers otherwise characters 5-8 are identifiers for the case which are often the same as characters 5-8 in any associated Title VIII case.

- 021603246 First two characters are the region, in this case Region 2
- 021603246 Third and fourth characters are the fiscal year, in this case FY2016
- 021603246 The next four characters are a counter though reviews will have an R for the fifth character.
- 021603246 The last character indicates the other authority based on the list below. This is a Title VI case.

The last character indicates the authority associated with the case:

- 3 – Section 3
- 4 – Section 504
- 6 – Title VI
- 9 – Section 109
- A – Age Discrimination Act
- D – ADA
- F – AFFH
- S – Title IX

Example 1: 08150232D would be an ADA case in Region VIII received in FY2015

Example 2: 0314R0016 would be a Title VI review in Region III received in FY2014

If there is no associated Title VIII case to use as a template for the case number, an unused other authority case number can be used. HEMS will not allow a duplicate case number to be created. Review numbers are generally created sequentially.

26.2.3. The Region, Case Type and Authority should be selected to match the HUD File Number and are required fields even though HEMS will allow them not to be completed. If they are not completed, the case may not be associated with the correct region, etc.

26.2.4. The Receipt Date is a required field to create a new other authority case or review record.

26.2.5. Click the Save button at the top or bottom of the pop-up to save the new record.

26.3. Other Authority Cases Associated with Title VIII Cases

Generally, other authority cases have concurrent Title VIII cases so a filed Title VIII record exists in HEMS.

Always create each other authority case entry in HEMS on the Other Authority Cases dashboard as described in 26.2 in addition to the Title VIII entry because this is how other authority cases are counted. Most regions use the first eight characters of the Title VIII case number as the first eight characters of any other authority case number.

Enter the other authority case numbers on the Processing - Case screen of the associated Title VIII case in the appropriate fields of the Federal Funding and Other Authorities section. Dashes can be included in the case numbers here.

Record any information relevant to the other authority cases in the associated Title VIII case record since there is minimal functionality in the other authority cases section of HEMS.

Be sure to enter voluntary compliance agreement dates and closure date for other authority cases in HEMS because these are used to determine the age of other authority cases and when they are completed.

26.4. Other Authority Cases Not Associated with any Title VIII Cases

For other authority cases where there is no associated Title VIII case, a Title VIII inquiry can be used to hold documents and data related to the other authority cases. This section describes how this can be done. The steps in this section do not need to be done in this sequence and can be applied to reviews as well though the term 'case' will be used.

26.4.1. Create an inquiry in the Title VIII Inquiries/Cases dashboard and give it an appropriate case name which should identify the authorities and case numbers like Peterson v San Francisco Housing Authority (Section 504 and ADA only 09-16-2222-4, 09-16-2222-D). See the next section about determining what these case numbers should be.

This inquiry will be used to hold data related to other authority cases and remain non-jurisdictional as a Title VIII case.

A single inquiry can be used to hold the information for multiple other authority cases where a single complaint involves multiple other authority statutes.

26.4.2. Numbering the other authority cases

Other authority cases associated with Title VIII cases generally are numbered the same as the Title VIII case except for the last character. Since there is no Title VIII case, the office should keep a log of these cases and number them in a sequential pattern using the

format described in section 26.2.2 so the next available number can be pulled from this log. HEMS will not allow you to create an other authority case or review using a number that has already been used.

Example: The office has some discretion in how numbers are chosen, but in general if the last Title VI number was 051700236 then the next one would be 051700246 unless that number had already been used by a Title VI case associated with Title VIII case 05-17-0024-8. HEMS will not allow the duplicate to be created. If the receipt date is in a different fiscal year then the second two characters should be changed to match the last two digits of the fiscal year.

- 26.4.3. Create the other authority case entries in the Other Authority Cases dashboard. Note the Title VIII inquiry number in the Notes section. While there can be a single inquiry for multiple other authority cases, there should be separate entries on the Other Authority Cases dashboard for each other authority case.
- 26.4.4. In the inquiry on the Processing – Cases screen, enter the other authority case numbers in the appropriate fields of the Federal Funding and Other Authorities section as described in section 12.3.
- 26.4.5. Enter any information, documents, interviews, etc. for the other authority cases in the inquiry.
- 26.4.6. When the case is closed, attach the voluntary compliance agreement (VCA) in the documents section of the associated inquiry, enter any relief on the Processing – Closures/Reactivations screen, and close both the inquiry and the case in the Other Authority Cases dashboard.

Running Reports

There are a number of HEMS reports that can be run at the agency or regional level. Generally, there are open inquiry/case reports which are as of the time run and there are closed inquiry/case reports that require a start and end date.

26.5. To run a report, expand the Reports option in the menu on the left and click on FHEO Reports.

26.6. On the Reports screen, click on the Report Type dropdown and select the report you want. If you select a closed inquiry or case report, enter the From and To dates. HUD users will be able to select a region. Select whether the report should be PDF or Word format.

Click the Generate Report button.

Reports available to HUD users:

The screenshot shows the 'Fair Housing - Standard Reports' interface. At the top right, there is a navigation bar with 'FIRST - IHHEMSN LAST - IHHEMSN -'. Below this, the page title is 'Fair Housing - Standard Reports'. A 'Reports' dropdown menu is open, displaying a list of report types. The first item, '01-Open HUD Complaints - Over 100 Days', is highlighted in blue. Below the dropdown is a 'Generate Report' button.

| Report Type |
|---|
| 01-Open HUD Complaints - Over 100 Days |
| 02-Open HUD Complaints |
| 03-Open FHAP Complaints |
| 04-Open FHAP Complaints - Due 100-Day Letters |
| 05-Open FHAP Complaints - Over 100 Days Old |
| 06-Open HUD Complaints - Overdue Milestones |
| 07-Open Inquiries |
| 08-Closed or Filed Inquiries |
| 09-Closed HUD Complaints |
| 10-Closed FHAP Complaints |
| 11-Closed HUD Complaints - Administrative |
| 12-System Codes and Descriptions |
| 13-Closed HUD Complaints - Cancellations |
| 14-Closed FHAP Complaints - HUD Case Still Open |
| 15-Open HUD Complaints - Due 100-Day Letters |

Reports available to FHAP users

Fair Housing - Standard Reports

Reports

Report Type:

- 03-Open FHAP Complaints
- 04-Open FHAP Complaints - Due 100-Day Letters
- 05-Open FHAP Complaints - Over 100 Days Old
- 10-Closed FHAP Complaints
- 12-System Codes and Descriptions
- 14-Closed FHAP Complaints - HUD Case Still Open

Format:

PDF

Generate Report

26.7. The report should appear in the list beneath Report Status with the status NOT READY while the report runs. Click on the Refresh Report List to update the status until the status is READY: Download. It may take a bit of time to run some reports.

26.8. Click on READY: Download to open the report.

IMPORTANT: PDF reports may open in in the same window as HEMS so closing the report will close HEMS. Use the back arrow to get back to HEMS from a report.

26.9. Click on the Delete All Reports button to clear the report list.

27. Administration Modules

HEMS has some functions only available to select users with system administration rights. Removing Jurisdiction and Deleting Cases can be done by users with Manager rights.

27.1. Staff Administration

Only HUD HEMS System Administrators can access this section to create or edit user accounts. This is because the office/agency of the user is determined here.

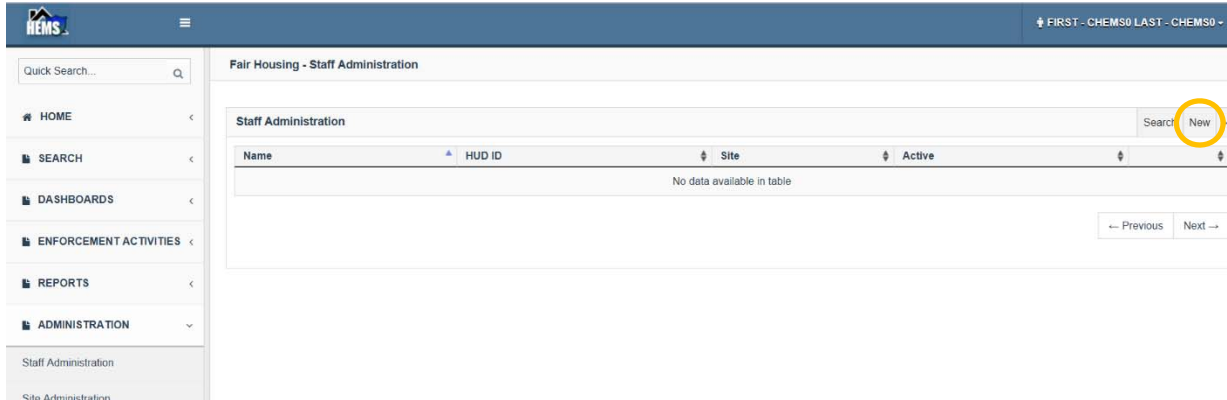
Users cannot be deleted.

27.1.1. Creating a New User Account

Users must create accounts in WASS per section 28. In HEMS a user account also needs to be created, the account must be associated with a WASS user account, and the user must be associated with an office or agency. Only HUD HEMS System Administrators can do this.

27.1.1.1. Click on Staff Administration under the Administration header in the menu on the left side of the screen. If this does not take you to the Staff Administration screen, then you are not a HUD user with the HEMS System Administrator role and you cannot perform this task.

27.1.1.2. Click on the New button to the right of the Staff Administration header.



27.1.1.3. On the Staff – Edit pop-up complete the fields for the new user. The first and last name, the HUD ID (H or M number from WASS), and the Site are required fields. It is important that FHAP users are associated with the correct agency since they are restricted to seeing only cases within their agency. HUD users should be assigned to the office where they work. Click on the Save button to create the user.

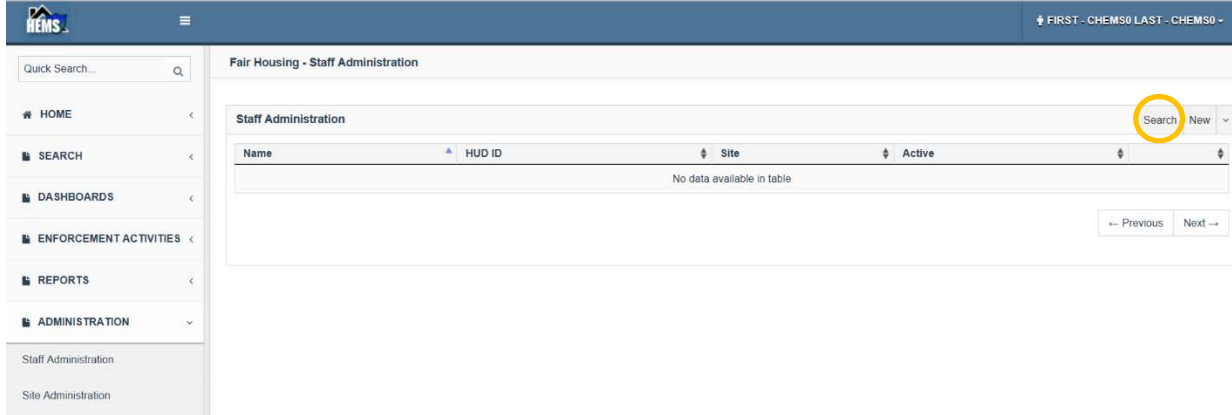
A screenshot of a 'Staff - Edit' pop-up form. The form has a title bar with a close button. At the top right are 'Cancel' and 'Save' buttons. Below the title bar is a light blue instruction box that says 'Please fill out the form below.' The form contains several input fields: 'Last Name:' (required), 'First Name:' (required), 'HUD ID:' (required), 'Site:' (required, dropdown menu), 'Active:' (dropdown menu with 'Yes' selected), 'Work Phone:' (text field with a placeholder 'XXX-XXX-XXXX'), and 'Email Address:' (text field). At the bottom right of the form are 'Cancel' and 'Save' buttons.

27.1.2. Edit an Existing User Account

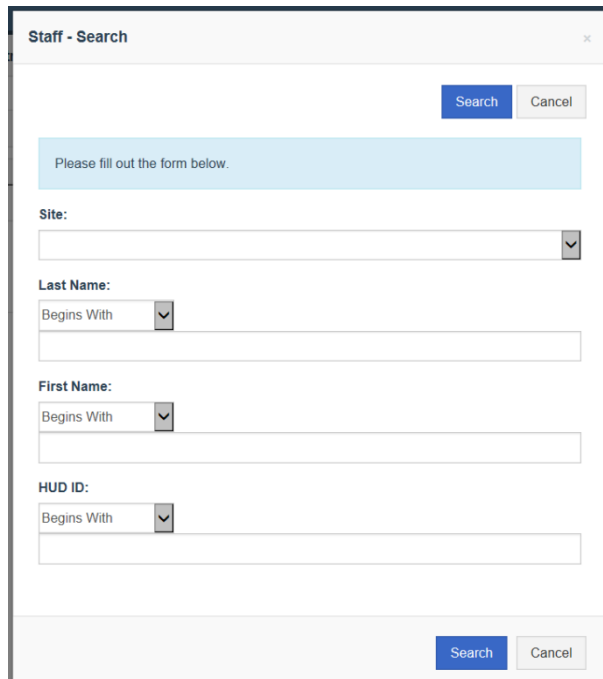
You may need to edit an existing account if someone switches offices or changes their name. **Any user who has left FHEO, Counsel or FHAP should have their account deactivated. This is important to insure data security.**

27.1.2.1. Click on Staff Administration under the Administration header in the menu on the left side of the screen.

27.1.2.2. Click on the Search button to the right of the Staff Administration header.



27.1.2.3. On the Staff – Search pop-up enter the criteria to find the user that needs to be edited. This includes their site, name and/or user ID. Click on the Search button.



- 27.1.2.4. In the resulting search results, click on the Edit button on the right for the user you wish to edit. Note that the HUD ID for WASS will begin with an H or M so it will be very easy to determine whether users are set up to use HEMS. There will still be a large number of users who are no longer active who will still be listed in the system.
- 27.1.2.5. On the pop-up, edit any field necessary and click on the Save button. The Active toggle will determine if the user can edit cases and if they will appear in the dropdowns of users for that office/agency. **Set the Active toggle to No for users that have left FHEO, Counsel or FHAP and should not have continued access to HEMS.**

27.2. Site Administration

This is where information on FHEO and FHAP office sites can be edited and new sites can be created. This information is used by HEMS to determine the type and region of offices which affects which offices are available in dropdowns. This data should generally only be edited after consultation with HQ system administrators.

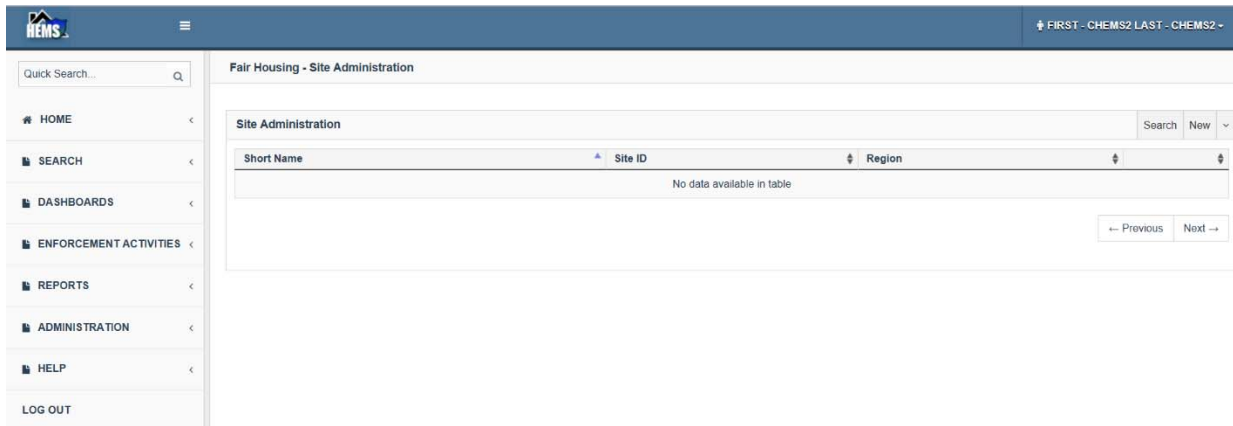
27.2.1. **To edit an existing site**, expand the Administration section on the left and select Site Administration to get the screen below.



27.2.2. Click on the Search option on the right and in the resulting pop-up, select a site or use the search criteria to get a list of sites and click the Search button on the pop-up. Select the site you want from the list by clicking the Edit button. The Site – Edit pop-up is shown below.

27.2.3. Edit the fields necessary and click on the Save button at the top or bottom of the pop-up. The site types are: H – Headquarters, 1 – OGC, J – DOJ, R – Regional HUD Office, C – HUD Office, 2 – Regional Counsel, F – FHAP.

27.2.4. To create a new Site, expand the Administration section on the left and select Site Administration to get the screen below. **This should only be done by a Headquarters System Administrator.**



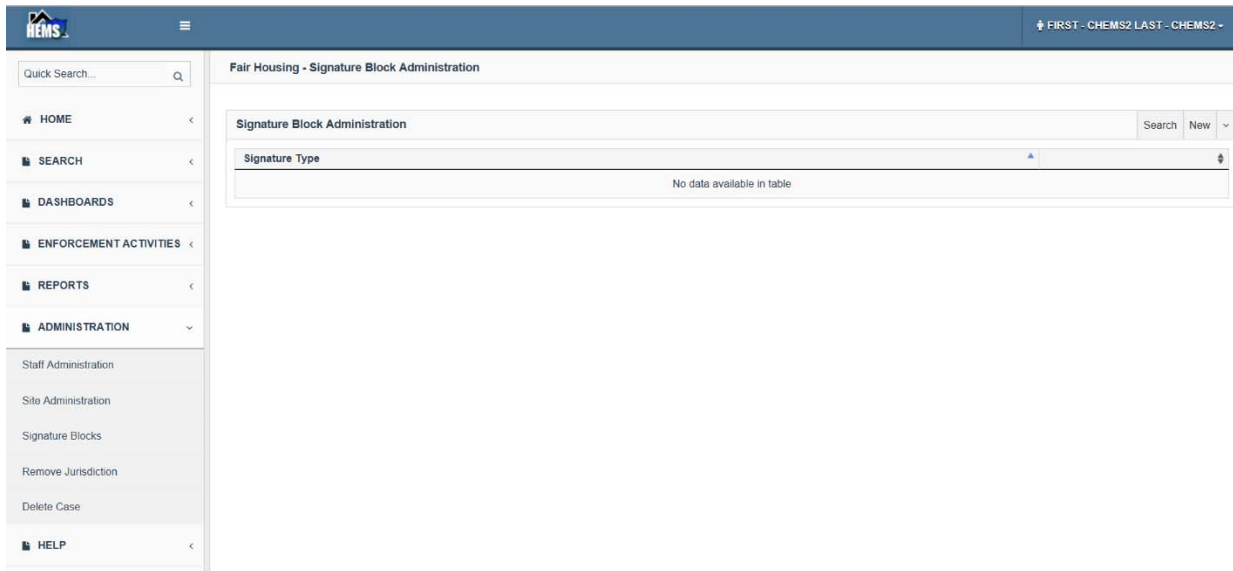
27.2.5. Click on the New button on the right to get the pop-up shown below. In this pop-up you can enter all of the information for a new site, but it is important to enter a site short name that will appear in HEMS dropdowns, a unique site ID, not used by another site in the system, the correct super site that is over this new site, and the correct region.

27.2.6. Click on the Save button at the top or bottom of the pop-up to save the new site.

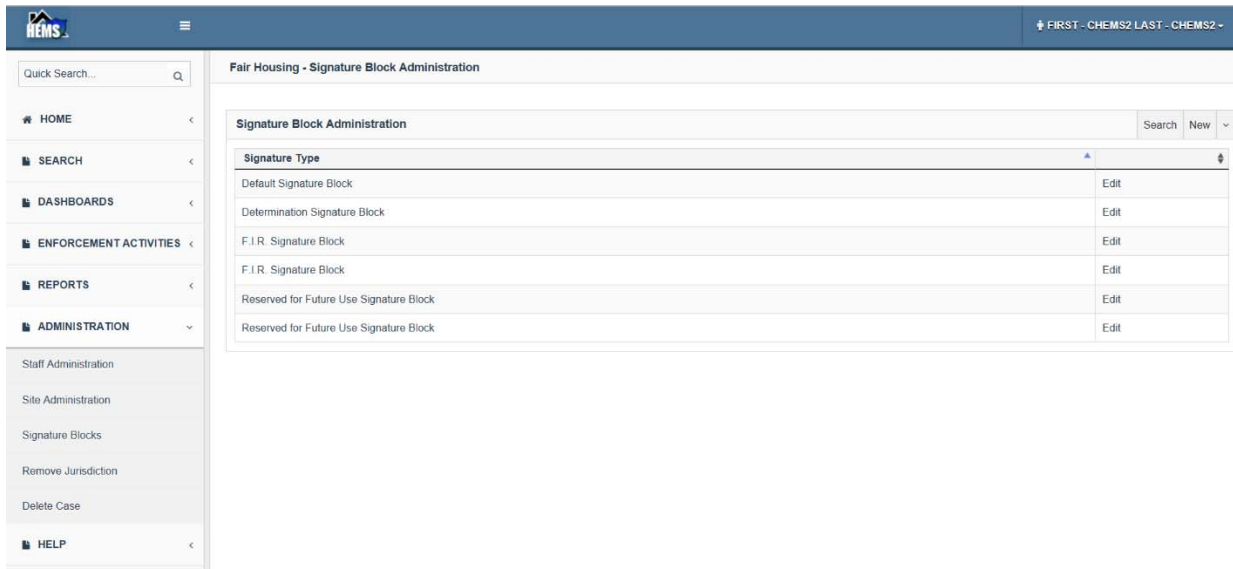
27.3. Signature Blocks

This is where signature blocks for HEMS-created letters can be added or edited. These are created by office and can only be done by system administrators with rights to that office.

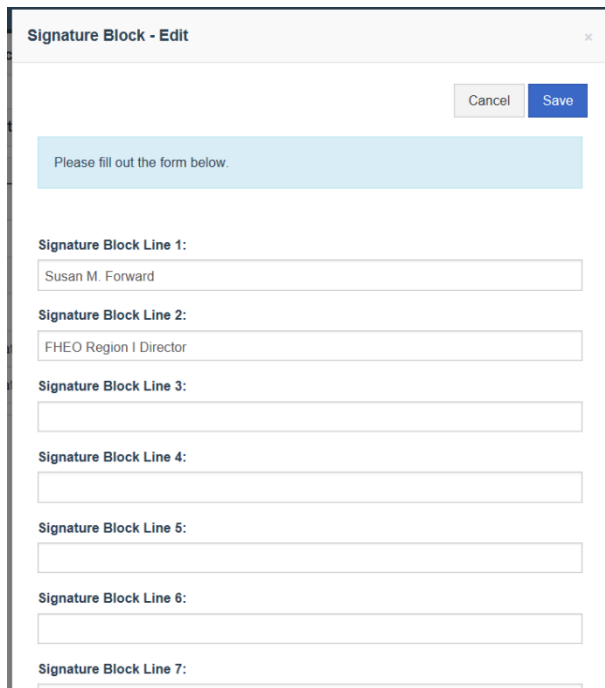
27.3.1. **To edit an existing signature block** to change a name or address, expand the Administration section on the left and select Signature Blocks to get the screen below.



27.3.2. Click on the Search option on the right, select a site from the dropdown field in the resulting pop-up and click the Search button on the pop-up to see the existing signature blocks. As shown below, there are two FIR Signature Blocks. HEMS will use the most recent so don't create multiple signature blocks of the same type.

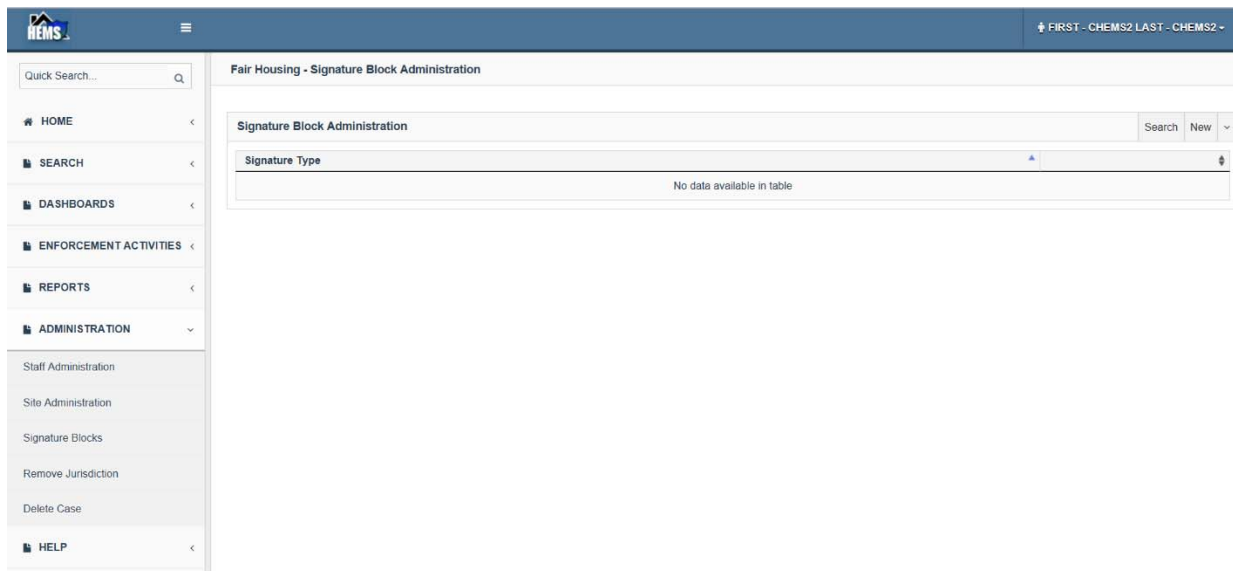


27.3.3. Click on the Edit button to the right of the signature block you want to edit to get a pop-up like the one shown below. Edit the fields necessary and click on the Save button at the top or bottom of the pop-up.



The screenshot shows a pop-up window titled "Signature Block - Edit". At the top right, there are "Cancel" and "Save" buttons. Below the buttons is a light blue instruction box that says "Please fill out the form below." The form contains seven text input fields, each labeled "Signature Block Line 1:" through "Signature Block Line 7:". The first two fields contain the text "Susan M. Forward" and "FHEO Region I Director" respectively. The remaining five fields are empty.

27.3.4. **To create a new signature block**, expand the Administration section on the left and select Signature Blocks to get the screen below. Note that all of the signature blocks from TEAPOTS were moved to HEMS so most signature blocks should already exist. Be sure to do a search for the signature blocks already entered for the office to make sure there is not already an entry. Duplicate signature blocks are difficult to remove.



The screenshot shows the HEMS application interface. The top navigation bar includes the HEMS logo, a search bar, and a user profile indicator. The left sidebar contains a navigation menu with categories: HOME, SEARCH, DASHBOARDS, ENFORCEMENT ACTIVITIES, REPORTS, and ADMINISTRATION. The ADMINISTRATION section is expanded, showing sub-items: Staff Administration, Site Administration, Signature Blocks, Remove Jurisdiction, Delete Case, and HELP. The main content area is titled "Fair Housing - Signature Block Administration" and contains a "Signature Block Administration" section with a "Search" button and a "New" dropdown. Below this is a table with the header "Signature Type" and a message "No data available in table".

27.3.5. Click on the New button on the right to get the pop-up shown below. In this pop-up you can select the site and the signature block type and enter the content for the signature block. The two Reserved for Future Use Signature Block options are just placeholders and shouldn't be used at this time.

The screenshot shows a pop-up window titled "Signature Block - Edit" with a close button (X) in the top right corner. At the top right of the form area are "Cancel" and "Save" buttons. Below these is a light blue instruction box that says "Please fill out the form below." The form contains the following fields:

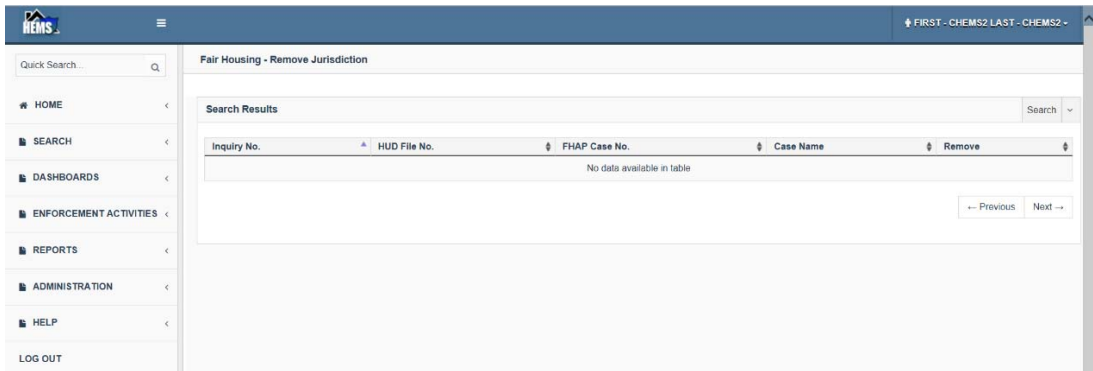
- Signature Block Site:** A dropdown menu.
- Signature Block Type:** A list box containing the following options:
 - Default Signature Block
 - Determination Signature Block
 - F.I.R. Signature Block
 - Reserved for Future Use Signature Block
 - Reserved for Future Use Signature Block
- Signature Block Line 2:** A text input field.
- Signature Block Line 3:** A text input field.
- Signature Block Line 4:** A text input field.
- Signature Block Line 5:** A text input field.

27.3.6. Click on the Save button at the top or bottom of the pop-up to save the new signature block.

27.4. Remove Jurisdiction

Removing jurisdiction removes the HUD case number and returns it to being an inquiry. Jurisdiction must be removed before a case can be deleted.

27.4.1. To remove jurisdiction (un-file) a case, expand the Administration section on the left and select Remove Jurisdiction to get the screen below.



27.4.2. Click on the Search option on the right, enter the search criteria on the resulting pop-up and click the Search button at the top or bottom of the pop-up to get the search results.

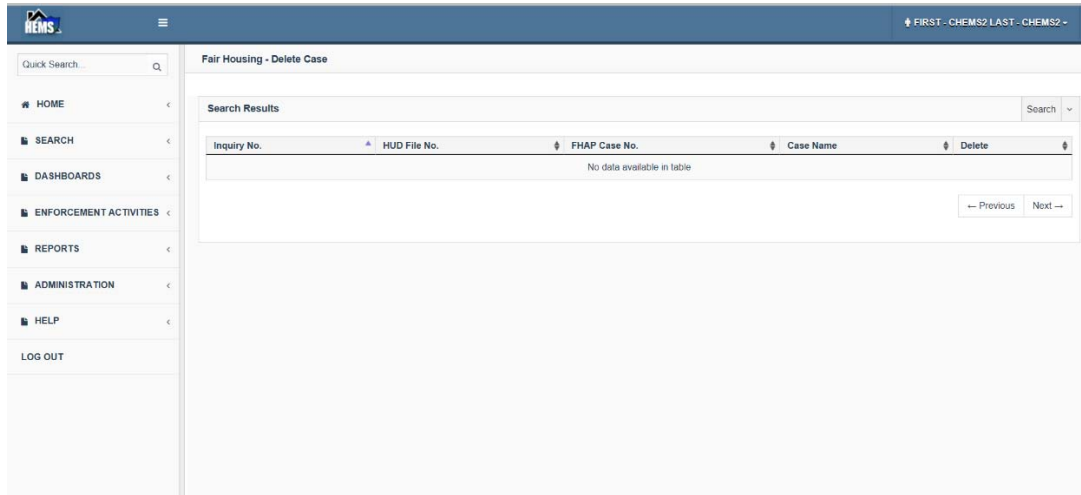


27.4.3. Click on the Remove Jurisdiction button to the right of the case you want to un-file. Note that this will remove the case number immediately and it cannot be undone without re-filing the case and creating a new case number so be very careful when clicking on the Remove Jurisdiction buttons.

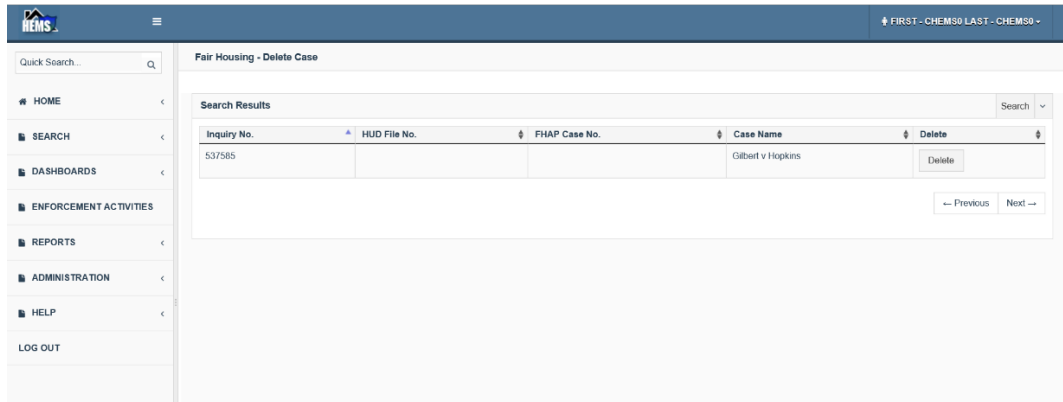
27.5. Delete Case

Inquiries can be deleted. Jurisdiction must be removed before filed cases can be deleted. Although the search feature has an option to search by case number, this will not produce any results because filed cases cannot be deleted.

27.5.1. To delete an inquiry, expand the Administration section on the left and select Delete Case to get the screen below.



27.5.2. Click on the Search option on the right, enter the search criteria on the resulting pop-up and click the Search button at the top or bottom of the pop-up to get the search results.



27.5.3. Click on the Delete button to the right of the inquiry you want to delete. Note that this will delete the inquiry immediately and it cannot be undone without re-creating the inquiry with a new inquiry number so be very careful when clicking on the D buttons.

28. Appendix I – Adding Users to HEMS (and WASS)

To gain access to HEMS, users have to be registered in Web Access Secure Systems (WASS), HUD's secure login portal. WASS is separate from HEMS and is the portal for a number of HUD systems including eLOCCS, iREMS and PIC. HUD users use their h-numbers and their network passwords but they still have to be registered. FHAP users have to register for user IDs that are associated with their agency. After they are registered in WASS they have to be given roles in HEMS by a HUD WASS administrator or a coordinator for their FHAP agency. Finally, a HUD HEMS system administrator must assign the user to an office.

28.1. HUD User Registration Process

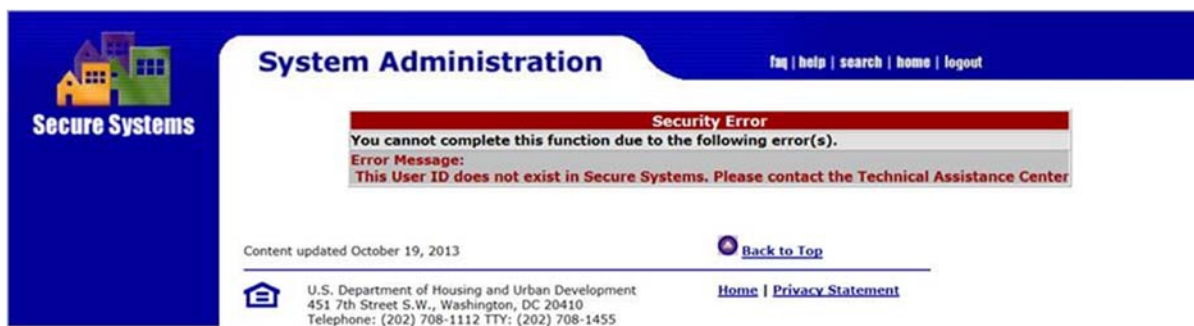
HUD users and FHAP users have different registration processes. FHAP users should use the instructions at section 0.

For a HUD user the steps are:

- Add the user to WASS with a DIAMS request (section 28.1.1)
- Give the user a HEMS role in WASS (section 29.1.2)
- Create a user account in HEMS (section 27.1.1)

28.1.1. HUD Registration in WASS with a DIAMS request

While WASS uses HUD h-numbers, HUD staff is not automatically registered in WASS. If you click on the URL <https://hudapps.hud.gov/ssmaster> and you get the error below, then you need to have your supervisor submit a DIAMS request to give you access to WASS. Note that if the account exists and only needs to be reactivated a DIAMS request is not required. See the next section: Reactivate a HUD WASS Account.



DIAMS is a system at <http://diams.hud.gov> to request HUD system account access which must be submitted by the user's supervisor.

28.1.2. Assigning a WASS user a HEMS Role

Only users with WASS administration rights (or FHAP coordinators for their own agency's users) can do this action and there should be a few in each region. (See section 28.1.5 to give a user WASS administration rights through the HEMS – ADM action.)

Note that after a user has been assigned a HEMS role they still need to have a HEMS account created as described in section 27.1.1

28.1.2.1. To assign a HEMS role to a user, a HUD user with the HEMS – ADM action would go into WASS at <https://hudapps.hud.gov/ssmaster> and select the User Maintenance option under System Administration in the center of the home screen or on the left. If this is not available, then the user does not have the HEMS – ADM action rights.

28.1.2.2. Under User Maintenance enter the user's User ID (h-number) in that field, or search for them by name using the criteria fields at the bottom and click the Search Users button at the bottom. This may return a lot of results if the name is common.

Click on the User ID for the user you want to give a HEMS role.

System Administration faq | help | search | home | logout

User Maintenance

On this form, you can either add a new User, search for a User by User ID, or search for Users by entering your search criteria.

Add New User
To add a new User to Secure Systems, click the 'Add New User' button.

Search by User ID
To search for a User by User ID, enter a User ID and then click the "Search for User" button.

User ID [What's This?](#)

Search Users
To search for a User, enter at least one search criteria and then click the "Search Users" button.
To limit your search and response time, select a User Type or leave blank for all User Types.
If you do not select a User Type, then you must enter at least one other search criteria.

User Type

You may enter only one of the following search criteria.
Enter the participant's TIN, SSN, or PHA ID to list Business Partners OR
enter the Inspection Organization to list Inspectors OR
enter the AQA Contractor Employer Identification No. to list AQA Contractors OR
enter the Mortgage ID to list Lenders.

Business Partner - TIN/SSN/PHA ID/IPA ID [What's This?](#)

Inspector - Organization ID

AQA Contractor - EIN

Lender - Mortgage ID

Additional search criteria.

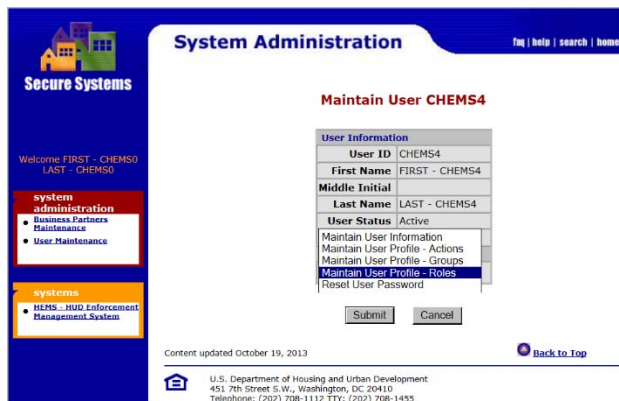
First Name

Last Name

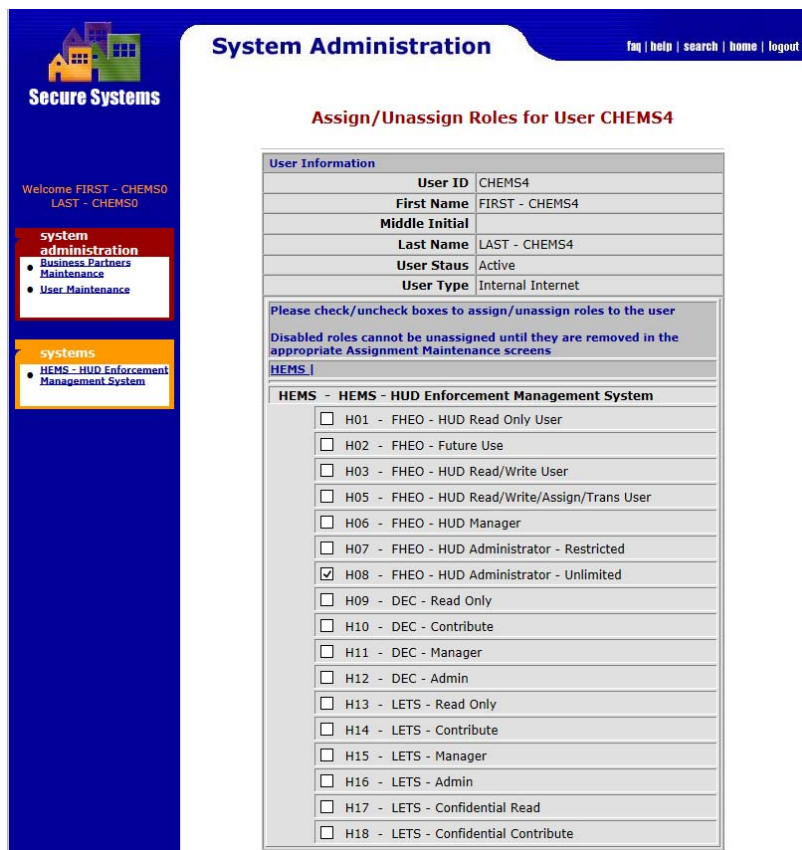
User Status [What's This?](#)

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28.1.2.3. On the Maintain User screen click on the dropdown and select Maintain User Profile – Roles and click the Submit button.



28.1.2.4. Select the role(s) for the user. Users can have multiple roles but most will only have one. Do not use the H08 – FHEO – HUD Administrator – Unlimited role.



28.1.2.5. To change or remove a user's access to HEMS, the checkboxes would be unchecked.

28.1.3. Reactivate HUD WASS Accounts

WASS accounts are terminated (deactivated) if they are not used in over 90 days and you will see an error like the one below. Contact the HITS helpdesk at 888-297-8689.



28.1.4. Reset WASS Passwords

For HUD users, WASS uses your network ID (h-number) and password so if you need a new password you will need to contact the HITS helpdesk at 888-297-8689

28.1.5. Give a HUD WASS user the HEMS – ADM action to assign roles in HEMS

Within WASS there is a HEMS – ADM action that should be assigned to a few users in each region so they can assign HEMS roles to users. They would probably also be HEMS System Administrators so they can create HEMS user accounts and assign users to offices and agencies.

28.1.5.1. To give a HUD WASS user the HEMS – ADM action, another HUD WASS user with the HEMS – ADM action would go into WASS at <https://hudapps.hud.gov/ssmaster> and select the User Maintenance option under System Administration in the center of the home screen or on the left. If this is not available, then the user does not have these rights.

28.1.5.2. Under User Maintenance enter the user's User ID (h-number) in that field, or search for them by name using the criteria fields at the bottom and click the Search Users button at the bottom. This may return a lot of results if the name is common.

System Administration [faq](#) | [help](#) | [search](#) | [home](#) | [logout](#)

Secure Systems

Welcome FIRST - CHEMSO
LAST - CHEMSO

system administration

- Business Partners Maintenance
- User Maintenance

systems

- HEMS - HUD Enforcement Management System

User Maintenance

On this form, you can either add a new User, search for a User by User ID, or search for Users by entering your search criteria.

Add New User
To add a new User to Secure Systems, click the 'Add New User' button.

Add (N)ew User

Search by User ID
To search for a User by User ID, enter a User ID and then click the "Search for User" button.

User ID [What's This?](#)

(S)earch for User

Search Users
To search for a User, enter at least one search criteria and then click the "Search Users" button.
To limit your search and response time, select a User Type or leave blank for all User Types.
If you do not select a User Type, then you must enter at least one other search criteria.

User Type

You may enter only one of the following search criteria.
Enter the participant's TIN, SSN, or PHA ID to list Business Partners OR
enter the Inspection Organization to list Inspectors OR
enter the AQA Contractor Employer Identification No. to list AQA Contractors OR
enter the Mortgage ID to list Lenders.

Business Partner - TIN/SSN/PHA ID/IPA ID [What's This?](#)

Inspector - Organization ID

AQA Contractor - EIN

Lender - Mortgage ID

Additional search criteria.

First Name

Last Name

User Status [What's This?](#)

Search (U)users Cancel

Content updated October 19, 2013 [Back to Top](#)

28.1.5.3. On the Maintain User screen click on the dropdown and select Maintain User Profile – Actions and click the Submit button.

System Administration [faq](#) | [help](#) | [search](#) | [home](#)

Secure Systems

Welcome FIRST - CHEMSO
LAST - CHEMSO

system administration

- Business Partners Maintenance
- User Maintenance

systems

- HEMS - HUD Enforcement Management System

Maintain User CHEMS4

User Information

| | |
|----------------|-------------------|
| User ID | CHEMS4 |
| First Name | FIRST - CHEMS4 |
| Middle Initial | |
| Last Name | LAST - CHEMS4 |
| User Status | Active |
| User Type | Internal Internet |

Maintain User Information
Maintain User Profile - Actions
 Maintain User Profile - Groups
 Maintain User Profile - Roles
 Reset User Password

Submit Cancel

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28.1.5.4. Check the ADM – Administration checkbox under HEMS – HEMS – HUD Enforcement Management System and click the Assign/Unassign Actions button.

Secure Systems

Welcome FIRST - CHEMS0
LAST - CHEMS0

system administration

- Business Partners Maintenance
- User Maintenance

systems

- HEMS - HUD Enforcement Management System

System Administration [faq](#) | [help](#) | [search](#) | [home](#) | [logout](#)

Assign/Unassign Actions for User CHEMS4

| User Information | |
|------------------|-------------------|
| User ID | CHEMS4 |
| First Name | FIRST - CHEMS4 |
| Middle Initial | |
| Last Name | LAST - CHEMS4 |
| User Status | Active |
| User Type | Internal Internet |

Please check/uncheck boxes to assign/unassign actions to the user

[HEMS](#) |

| HEMS - HEMS - HUD Enforcement Management System | |
|---|----------------------|
| <input checked="" type="checkbox"/> | ADM - Administration |

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Telephone: (202) 708-1112 TTY: (202) 708-1455

28.1.5.5. To remove this ability, uncheck the box.

28.2. FHAP User Registration Process

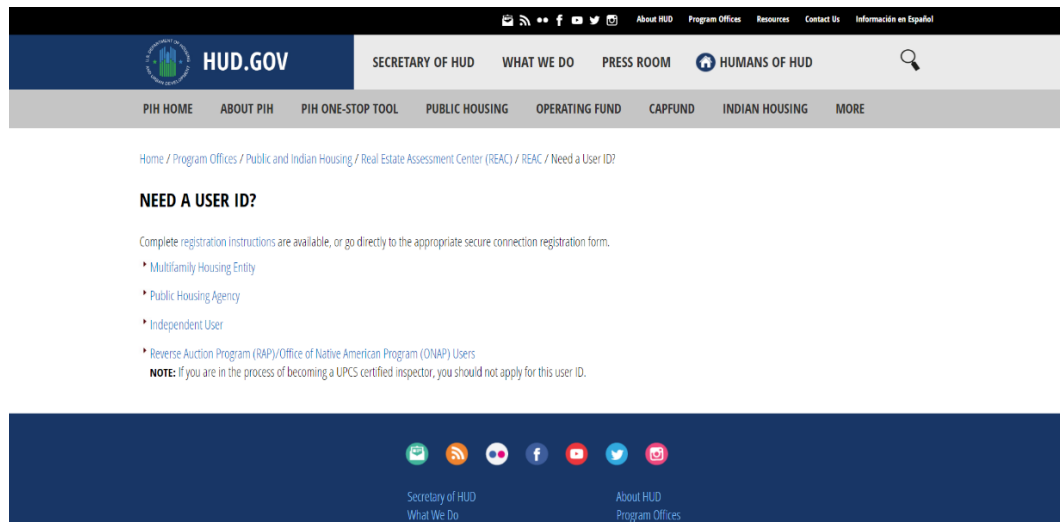
FHAP users need to register for a WASS user ID associated with their agency. Once they have a user ID, a HUD WASS administrator or a FHAP WASS coordinator can assign them a HEMS role in WASS. Then a HUD HEMS administrator needs to set up a HEMS user account for them. Since the HUD HEMS administrator and the HUD WASS administrator are often the same person, it may be easier not to involve the FHAP WASS coordinator at all, though it is perfectly fine for the FHAP WASS coordinator to be more involved in this process.

For a FHAP user the steps are:

- Register to get a user id in WASS (section 28.2.1)
- Give the user a HEMS role in WASS (section 28.2.2)
- Have a HUD HEMS System Administrator create a user account in HEMS (section 27.1.1)

28.2.1. FHAP User Registration in WASS


- 28.2.1.1. FHAP users must first register in WASS through online registration at the URL http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online/online_registration . Select the Multifamily Housing Entity option. The direct link is https://hudapps.hud.gov/public/wass/public/participant/partreg_page.jsp



28.2.1.2. On the registration form below, some FHAP users should register as Coordinators, but most should register as Users. Coordinators will have the ability to assign HEMS roles to other users in the same agency.

You should enter their name and social security number without hyphens.

In the Organization Information section, you should enter the name and tax identification number (without the hyphen) for your agency and select the 'Organization' option. Note that if the tax identification number is copied and pasted into this field with a hyphen and the hyphen is then removed, the last digit may have been cut off since that field has a fixed width.


Secure Systems Registration

MULTIFAMILY Coordinator and User Registration

To apply for a **System Coordinator ID**, check the "Coordinator" radio button, fill out the form below, and click Send Application when you are through. Upon verification of the information below, an ID will be assigned and mailed to the CEO of the HUD-registered entity specified below. The password will not be disclosed, so make sure you remember it!!!

To apply for a regular **User ID**, check the "User" radio button, fill out the form below and click Send Application when you are through. Upon verification of the information below, a user ID will be assigned, and the System Coordinator of the HUD-registered entity specified below will retrieve the user ID. The password will not be disclosed, so make sure you remember it!!!

Warning! Misuse of Federal Information at this Web site falls under the provisions of Title 18, United States Code, section 1030. This law specifies penalties for exceeding authorized access, alteration, damage or destruction of information residing on Federal Computers.

And remember:

Application Type

 Coordinator
 User

First Name:
Middle Initial:
Last Name:
Social Security Number:

Organization Information:

- Provide the name of the HUD-registered Organization or Individual you represent
- Provide the Tax Identification Number or Social Security Number of the HUD-registered Organization or Individual you represent. Do not enter dashes.
- Specify whether the HUD-registered entity you represent is an Organization or an Individual

Organization/Individual Name::
TIN/SSN:
Organization Individual

Provide your e-mail address.

- Include your e-mail user name, the @ sign and [servicename.com/edu/org/net/etc.]. For example: jsmith@aol.com, johndoe@adv.org, hfdb84a@prodigy.com.

E-mail Address:

Choose a Password.

- You will enter your password each time you use this service. Your password should be 6 characters in length and should be comprised of letters and numbers (for example, Brad83). Do not use punctuation or special characters. **Important: Your password will be recorded EXACTLY as you type it, so make a note if you enter in upper and lower case.**

Password:
Re-enter Password for Verification:

Mother's Maiden Name.

- Please provide this information for future verification when processing password reset requests.

Mother's Maiden Name:

Content updated January 6, 2018

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Enter your email, an initial password and your mother's maiden name. Note that the mother's maiden name is not validated, but it may be asked for if the user's password needs to be reset.

Click the Send Application button. If you get an error that an account exists for that social security number, have your coordinator do a search using your name to get your user ID.

You will get a message that your registration was successful and to wait 24 hours and ask your coordinator for your user ID. Coordinators need to get their user IDs from the 'owner' of the agency who probably set up the agency in WASS. Contact a HUD HEMS Administrator if you need further assistance.

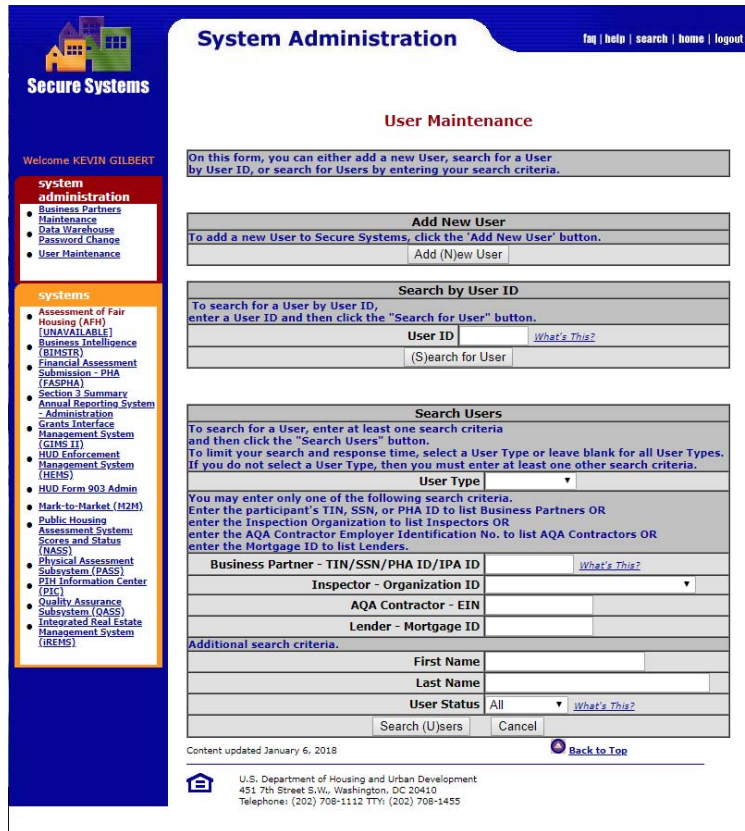
28.2.2. Assigning a FHAP WASS User a HEMS Role

Only a HUD user with a FHEO – HUD Admin role in WASS or a FHAP WASS Coordinator can assign users roles in HEMS. See section 28.1.5 for directions to give a HUD user a FHEO – HUD Admin role. Coordinators for a FHAP agency must register in WASS as a coordinator or they can request to be promoted to coordinator at REAC_TAC@hud.gov. HUD WASS administrators can assign roles to FHAP users the same way they do for HUD users though the roles are different for FHAP users. FHAP WASS coordinators can do the same thing for their agency's users.

Note that after a user has been assigned a HEMS role they still need to have a HEMS account created as described in section 27.1.1, and which must be done by a HUD HEMS administrator.

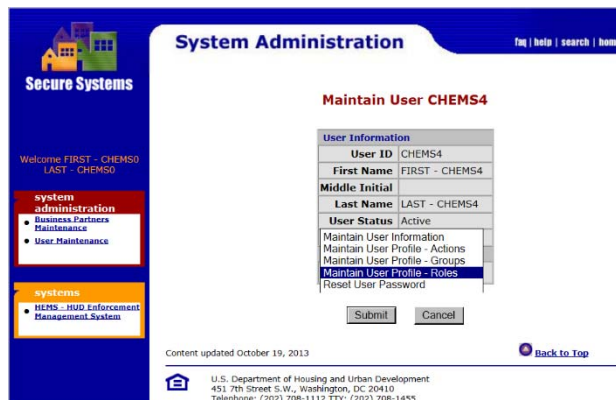
28.2.2.1. To assign a HEMS role to a user, a HUD WASS user with a FHEO – HUD Admin role in WASS or a Coordinator for the user's FHAP agency would go into WASS and select the User Maintenance option under System Administration in the center of the home screen or on the left. If this is not available, then the user does not have these rights.

28.2.2.2. Under User Maintenance a FHAP coordinator can get a list of users associated with their tax identification number by just clicking on the Search (U)sers button at the bottom of the screen. A search can also be done by entering the user's User ID (M-number with a capital M) in that field or searching for them by name using the criteria fields at the bottom of the screen. This may return a lot of results for HUD administrators if the name is common. FHAP users are also grouped by tax identification number so you can enter that number in the field labeled Business Partner – TIN/SSN/PHA ID/IPA ID and do a search based on that. Coordinators will not have this option as they are only allowed to see users from their agency.

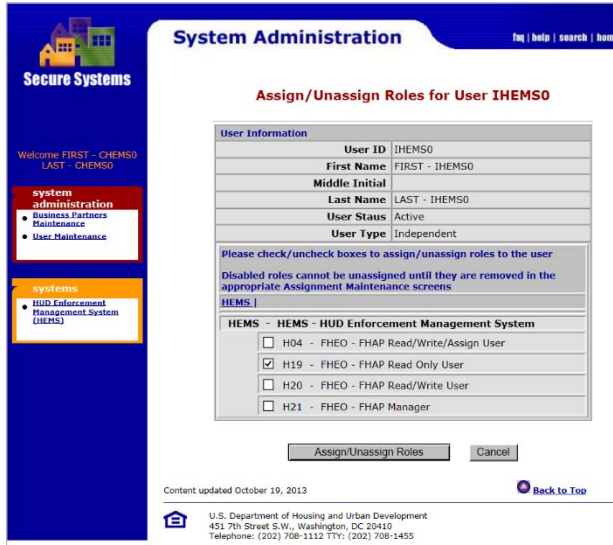


28.2.2.3. Click on the User ID in the resulting list for the user you want to give a HEMS role.

28.2.2.4. On the Maintain User screen click on the dropdown and select Maintain User Profile – Roles and click the Submit button.



28.2.2.5. Select the role(s) for the user. Users can have multiple roles but the broader roles encompass all of the actions available to narrower roles so only one selection is necessary.



To change or remove a user's access to HEMS, the checkboxes would be unchecked.

28.2.3. Reactivate FHAP WASS Accounts

WASS accounts are terminated (deactivated) if they are not used in over 90 days and you will see an error like the one below. Contact REAC_TAC@hud.gov (Real Estate Assessment Center – Technical Assistance Center) or 1-888-245-4860 with your user ID and include a phone number if you email.



28.2.4. Reset WASS Passwords

For FHAP users, use the <https://hudapps.hud.gov/react/wass/resetPwd.html> URL to request a password reset. If this does not result in an email being sent to the user, contact the REAC Technical Assistance Center as described in section 28.2.5. WASS requires that users change their passwords every 60 days. If your password needs to be changed, there will be a prompt to change it after 60 days.

28.2.5. User Registration Assistance

The **REAC Technical Assistance Center** (REAC_TAC@hud.gov) at **(888) 245-4860** can provide assistance for the following questions or issues:

- I have registered for Secure Systems Coordinator credentials and have not received them.
- I mistakenly registered for User credentials instead of Secure Systems Coordinator credentials.
- I may have registered for Secure Systems credentials in the past, but I'm not sure.
- I don't know who the Secure Systems Coordinator(s) are for my organization.
- I am a Secure Systems Coordinator and need assistance in assigning roles to Users.

Please contact your Secure Systems Coordinator for the following issues:

- I have registered for a User ID and have not received it.

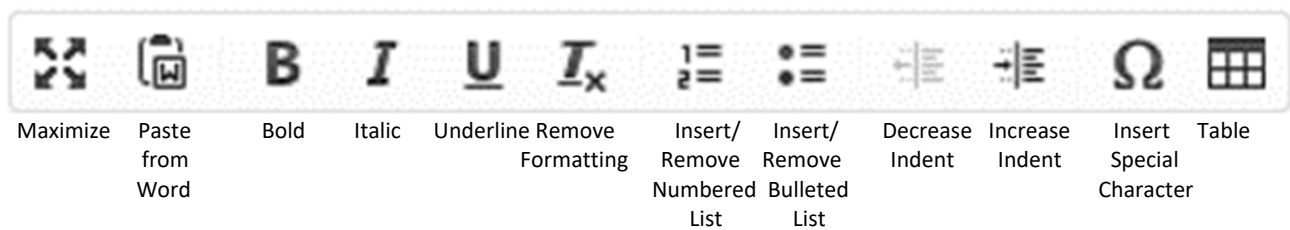
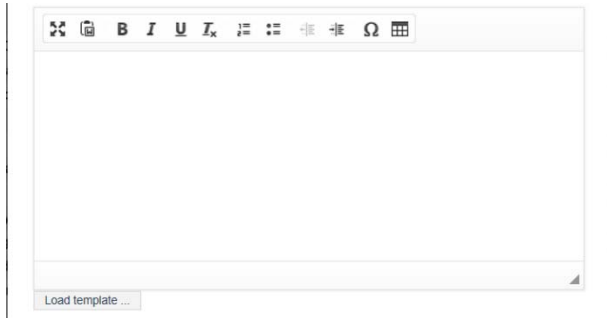
29. Appendix II – HEMS User Roles

HEMS roles are assigned in WASS and summarized below.

- 29.1. **Read Only:** FHAP users have read access to all cases assigned to their agency. HUD users have read access to all cases in the system.
- 29.2. **Read/Write:** FHAP Users have read and write access to cases at their own agency. HUD users can see all cases in the system and edit all cases in their region. Users assigned to counsel offices have write access to the Counsel and case closure screens and no other screens while users assigned to other HUD offices do not have edit rights to the counsel screen. Users with this role cannot assign users to cases, transfer cases, remove jurisdiction from cases, delete cases or do administrative actions.
- 29.3. **FHAP Read/Write/Assign:** A role for FHAP users which expands on the read/write rights to allow the user to assign users to cases. They still only have read/write access to cases at their agency.
- 29.4. **FHAP Manager:** FHAP users with this role can delete inquiries at their agency and includes the FHAP Read/Write/Assign rights.
- 29.5. **HUD Read/Write/Transfer/Assign:** A role for HUD users which expands on the read/write rights to allow the user to assign users to cases and to transfer cases.
- 29.6. **HUD Manager:** A role for HUD users which expands on the read/write/transfer/assign rights to allow the user to remove jurisdiction from cases and to delete cases.
- 29.7. **HUD System Administrator:** A role for HUD users which expands on the HUD manager role to include administrative actions. This includes assigning users to offices and editing the signature blocks. There is also a role that allows these actions in all regions, but this will only be for a very limited number of users.

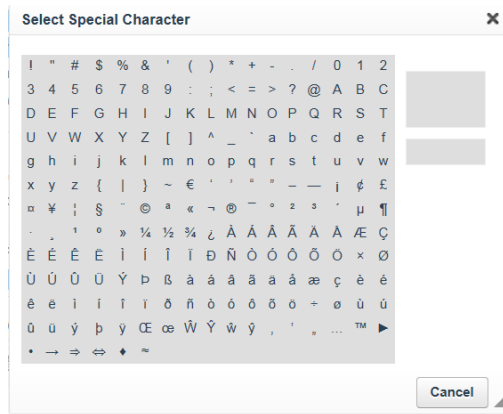
30. Appendix III – Editing Text Fields

Text fields in HEMS have a number of editing features that appear as icons above the text box. They are described below. Some text fields have templates with questions to be answered or tables to be completed. The templates can be loaded by clicking on the Load Template button below the text box. If there is no Load Template button, then there is no template associated with that text entry.

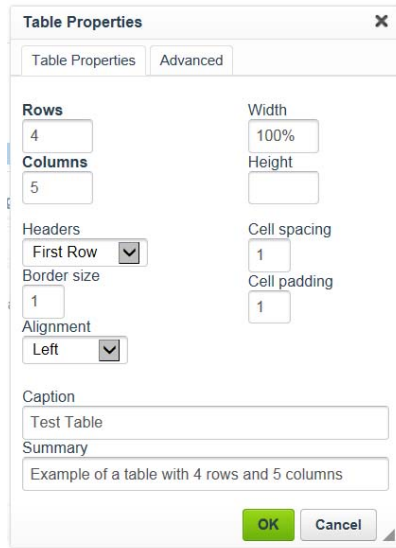


- 30.1. **Maximize** – This is very handy to maximize the size of the textbox to fit the window for editing. If the textbox is maximized, this will reduce it to the smaller size of the form.
- 30.2. **Paste from Word** – Use this to paste formatted text copied from Word.
- 30.3. **Bold** – Bolds selected text or begins/ends bolding of new text like Word.
- 30.4. **Italic** – Italicizes selected text or begins/ends italicizing of new text like Word.
- 30.5. **Underline** – Underlines selected text or begins/ends underlining of new text like Word.
- 30.6. **Remove Formatting** – Removes bold, underline, etc. on selected text.
- 30.7. **Insert/Remove Numbered List** – Create or end a numbered list. This does not have all of the functionality of a Word list.
- 30.8. **Insert/Remove Bulleted List** – Create or end a bulleted list. This does not have all of the functionality of a Word list.
- 30.9. **Decrease Indent** – Removes an indent like Word.
- 30.10. **Increase Indent** – Indents like Word.

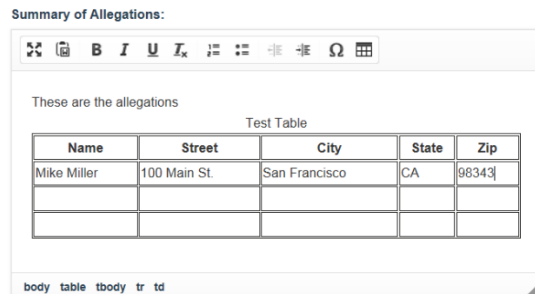
- 30.11. Insert Special Characters – Inserts a special character from the table below not available on the keyboard.



- 30.12. **Table** – Inserts a table into a textbox based on parameters defined on the Table Parameters pop-up that appears. The number of rows and columns can be set and header row/columns can be identified with bolded and centered text as shown in the example below.



Here is the table defined above in the Summary of Allegations textbox inserted below some other text.



31. Appendix IV - Required Fields in HEMS

31.1. Required Fields for Creating an Inquiry

User must have read/write rights; either HUD or FHAP

Required fields:

- Initial contact method
- Initial contact date (populated with current date by default)
- Complainant's first and last name OR Complainant's organization

Note that the case name, FHAP case number and respondent name are not required at this point.

31.2. Required Fields for Filing/Dual-Filing a Case

User must have read/write rights; HUD users only, but FHAP cases should have these fields completed prior to requesting dual-filing.

Required fields:

- Case name
- Initial contact method
- Initial contact date
- HUD filing date (on or after the initial contact date)
- Most recent violation date (must be within a year of the HUD filing date if Violation Continuing is not set to Yes)
- First and last name OR organization for all complainants AND respondents AND representatives
- Addresses for all complainants AND respondents AND representatives
- At least one basis selected
- At least one issue selected
- Violation location city AND county AND state
- How learned of the Fair Housing Act must be selected for at least one complainant
- Summary of allegations

31.3. Required Fields for Doing a FHAP Dual-Filed Case Closure

User must have read/write rights; either HUD or FHAP

Required fields:

- FHAP receipt date
- FHAP closure date
- Closure reason
 - If closed for lack of jurisdiction (LOJ), a reason for the LOJ is required
 - If closed for trial has begun, a trial commencement date is required
 - If closed for a withdrawal, a withdrawal request date is required
 - If closed for no cause, a cause date cannot be entered
- Case name
- Initial contact method
- Initial contact date
- HUD filing date (on or after the initial contact date)
- Most recent violation date (must be within a year of the HUD filing date if Violation Continuing is not set to Yes)
- First and last name OR organization for all complainants AND respondents AND representatives
- Addresses for all complainants AND respondents AND representatives
- At least one basis selected
- At least one issue selected
- Violation location city AND county AND state
- How learned of the Fair Housing Act must be selected for at least one complainant
- Summary of allegations

31.4. Required Fields for Doing a HUD Case Closure

User must have read/write rights; HUD users only

Required fields:

- HUD closure date
- Closure reason
 - If closed for lack of jurisdiction (LOJ), a reason for the LOJ is required
 - If closed for trial has begun, a trial commencement date is required
 - If closed for a withdrawal, a withdrawal request date is required
- If closed for no cause, a cause date cannot be entered
- Secretary Initiated must be completed (HUD processed only)
- AFFH Issues must be completed (HUD processed only)
- FHIP Referral must be completed (HUD processed only)
- Case name
- Initial contact method
- Initial contact date
- HUD filing date (on or after the initial contact date)
- Most recent violation date (must be within a year of the HUD filing date if Violation Continuing is not set to Yes)

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- First and last name OR organization for all complainants AND respondents AND representatives
 - Addresses for all complainants AND respondents AND representatives
 - At least one basis selected
 - At least one issue selected
 - Violation location city AND county AND state
 - How learned of the Fair Housing Act must be selected for at least one complainant
 - Summary of allegations
- For FHAP processed cases these additional fields are required:
- FHAP receipt date
 - FHAP closure date
 - Payment determination
 - Payment determination date (if accepted for payment)
 - FHAP type of case (for payment) must be selected (unless payment is rejected)
 - FHAP payment amount (will default to \$0 if the section is edited at all)