
CHAPTER 4. STATUS SUMMARY LOG
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964;
SECTION 109 OF THE HOUSING AND COMMUNITY
DEVELOPMENT ACT OF 1974

- 4-1 Applicability. The following applies to the status summary log for Title VI of the Civil Rights Act of 1964 and Section 109 of the Housing and Community Development Act of 1974. The HUD 930.2 Rev. shall be used for recording the status of all complaints and compliance reviews processed under the authority of Title VI and Section 109. This log shall be maintained on a current basis in each Regional Fair Housing and Equal Opportunity Office in order that the exact status of a complaint or compliance review can be determined at all times by the Director, Regional Fair Housing and Equal Opportunity.
- 4-2 General Description. The HUD 930.2 Rev. shall contain identification and status information on Title VI and Section 109 complaints, Section 109 compliance reviews, as well as Title VI compliance reviews of which there are three (3) types - Single Agency Compliance Reviews, Community-wide Compliance Reviews, and Follow-up Reviews. In general, the status summary log contains a unique case identification code (file number), identification of recipient agency, basis of allegation and HUD program involved, and critical milestone activities associated with processing under these statutes. In addition to providing for the dates of milestone actions, the status summary log, in relevant instances, provides for milestone codes which further describe or identify the results of a particular milestone action.
- 4-3 Instructions for Completion of the HUD 930.2
- a. File Number. The file number is used to uniquely identify a complaint or compliance review. It is composed of twelve (12) digits as follows:
- (1) Region Code (Positions 1 - 2)
- Two digit number from 01-10 to identify Region in which case is processed.
- (2) Fiscal Year (Positions 3 - 4)
- Fiscal Year of the date of receipt of a complaint or date determination is made to conduct a compliance review.

(3) Calendar Month (Positions 5 - 6)

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

(4) Serial (Positions 7 - 9)

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

(5) Authority (Positions 10 - 12)

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

Code	Description
300	Title VI Complaint
310	Compliance Review, Title VI (Single Agency)
320	Compliance Review, Title VI (Community-wide)
330	Follow-up Review, Title VI
340	Section 109 Compliance Review
350	Section 109 Complaint
360	Follow-up Review, Section 109

- b. Complaint Received. Date of receipt of a Title VI or Section 109 Complaint. This item applies to complaints only and shall be left blank when recording a compliance review. Note that this and all succeeding dates shall be calendar dates entered in a six digit format indicating year, month and day. For example December 25, 1975 shall be entered as 751225.
- c. Compliance Review Opened. Date of determination to conduct a compliance review. This item applies to compliance reviews only and shall be left blank when recording a complaint.
- d. Recipient. Identification or name of recipient agency under investigation. This and all other name fields shall be limited to 25 characters.

- e. State/County. Five digit code to identify location of the recipient agency under investigation. The valid two digit state codes and three digit county codes are included in the HUD Handbook of Codes 2160.4B and as Appendix 6 of this document.
- f. Basis. Two digit code to indicate the basis of the complaint. The only valid bases for a Title VI complaint are race, color, and national origin; the only valid bases for a Section 109 complaint are race, color, national origin and sex. Below are listed the valid basis codes:

Code	Basis	Major Category	Sub-Category
10	Race	White (Not of Hispanic Origin)	N/A
20	Race	Black (Not of Hispanic Origin)	N/A
30	Race	American Indian or Alaskan Native	
31			Aleut
32			Eskimo
40	Race	Hispanic	
41			Cuban
42			Mexican
43			Puerto Rican
50	Race	Asian or Pacific Islander	
51			Chinese
52			Filipino
53			Hawaiian
54			Japanese
55			Korean
56			Micronesian
57			Polynesian
70 2/	Sex	Sex	
71			Male
72			Female
75	Color	Color	N/A
77	National Origin	National Origin	N/A

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For use with Section 109 complaints only.

- g. Program. Three digit alpha code to identify the HUD program through which the recipient agency is funded. See Appendix 7

of this document for a list of valid HUD program codes.

- h. Milestone Actions. The HUD 930.2 Rev. contains several columns denoting critical milestone actions in the processing of complaint and compliance reviews under Title VI and Section 109. Whenever a milestone action listed is completed, the date of completion and appropriate completion code, if applicable, is to be entered in the six digit format YYMMDD indicating year, month and day of action.

(1) Investigation Commenced on Site

Date of the first investigative on-site visit.

(2) Preliminary Report Completed

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

(3) 30-Day Notice (and/or Referral to City)

Date 30-Day letter is sent to the respondent if a Title VI matter. Date of referral to the unit of local government if a Section 109 matter.

(4) Negotiation Initiated

Date of initiation of negotiations with a recipient to obtain voluntary compliance.

(5) Results of Negotiation

One digit numeric code to indicate outcome of negotiations initiated in (4) above. Below are listed the only valid Results of Negotiation codes:

Code	Description
1	Compliance Achieved
2	Voluntary Plan Secured
3	Recipient failed to voluntarily comply
4	Recipient failed to voluntarily comply. Interim Deferral Imposed.

(6) FIR Completed

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

(7) Consequential Deferral

Effective date of a consequential deferral, i.e., the date of instructions to Area or Service Office to postpone processing applications for assistance in the program under investigation pending initiation of enforcement proceedings. Applicable to Title VI only.

(8) Closed

Date on which the case is considered closed. (See HUD Handbook 8040.1 - Compliance and Enforcement Procedures for Title VI of the Civil Rights Act of 1964, Chapter 8, paragraph 39(i)).

(9) Type of Closure

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

Code	Description
1	Lack of Jurisdiction
2	Substantial Compliance - in compliance (No corrective action needed)
3	Substantial Compliance - voluntary compliance achieved
4	Matter to be handled under Title VIII
5	Matter to be handled under Section 109
6	Matter to be handled under EEO Contract Clause
7	Matter to be handled under other authority
8	Complaint withdrawn
9	Compliance status - undetermined (monitoring in process)
0	Termination of funds after hearing

(10) Referred to Headquarters

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

(11) Reason for Headquarters Referral

One digit numeric code to describe the reason for referral to the Assistant Secretary for Fair Housing and Equal Opportunity.

Below are listed the only valid referral codes:

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

(12) Follow-up

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

(13) Type of Follow-up

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

For digit one, the leftmost digit:

Code	Description
1	Monitoring Activity
2	Activity after case has been sent to and referred from Headquarters for action.

For digit two, the rightmost digit:

Code	Description
1	Referral to Headquarters for recommendation for initiation of administrative process.
2	Referral to Headquarters for recommendation for referral to

Justice.

- 3 Referral to Headquarters for
recommendation for referral to
other Federal agency
- 4 Referral to Headquarters for advice
- 5 In compliance
- 6 Compliance achieved or terms of plan
being met
- 7 Interim deferral

i. Remarks.