
CHAPTER 6. STATUS SUMMARY LOG
SECTION 3 OF THE HOUSING AND URBAN DEVELOPMENT ACT OF 1968

- 6-1 Applicability. The following applies to the status summary log for Section 3 of the Housing and Urban Development Act of 1968. The HUD 930.4 Rev. shall be used for recording the status of all complaints and compliance reviews processed under the authority of Section 3. 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 FHEO.
- 6-2 General Description. The HUD 930.4 Rev. shall contain identification and status information on Section 3 complaints and Section 3 compliance reviews. In general, the status summary log contains a unique case identification code (file number), identification of recipient, HUD program involved, and critical milestone activities associated with processing procedures under this statute. 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.
- 6-3 Instructions for Completion of the HUD 930.4.
- 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 - 8)

Three digit number assigned chronologically 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 regulation under which it is processed. Below are listed the valid authority codes:

Code	Description
700	Section 3 Complaint, Project Area Training Opportunity
710	Section 3 Complaint, Project Area Employment Opportunity
720	Section 3 Complaint, Project Area Business Opportunity
750	Compliance Review, Section 3 (Routine or Pre-award)
755	Compliance Review, Section 3 (Re-review)

- b. Complaint Received. Date of receipt of Section 3 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, 1977 shall be entered as 771225.
- 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. Determination Code. Two digit code to identify the reason the determination was made to conduct a compliance review. Like item C above, this information item applies to compliance reviews only and shall be left blank when recording a complaint. Below are listed the valid determination codes:

Code	Description
01	Regularly scheduled
02	Initiated by complaint

03	On request of Area/Service Office
04	Initiated by Director, Regional FHEO for failure to comply with reporting requirements.
05	Initiated by Director, Regional FHEO for apparent non-compliance
06	Initiated by Director, Regional FHEO - other
07	At request of AS/FHEO
08	At request of other Federal agency.
09	OFCCP Audit

- e. Grievant, Respondent. If a complaint, enter as item A the last name and initials of the grievant and enter as item B the last name and initials of the contractor or other respondent. If a compliance review, leave item A blank and enter as item B the name of the contractor or recipient agency. Note that all name fields are limited to 25 characters.
- f. State/County. Five digit code to identify the locality of Jurisdiction. 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.
- g. Basis. This item was used for EO 11246 complaints, it is not applicable under Section 3 and should, therefore, be left blank.

- h. Issue. This item was used for EO 11246 complaints, it is not applicable under Section 3 and should, therefore, be left blank.
- i. Program. Three digit alpha code to identify the HUD program through which the contractor is being funded. See Appendix 7 of this document for a list of valid HUD program codes.
- j. Milestone Actions. The HUD 930.4 Rev. contains several columns denoting critical milestone actions in the processing of complaints and compliance reviews under the authority of Section 3. Whenever a milestone action listed is completed, the date of completion and appropriate completion code, if applicable, is to be entered in the appropriate columns. Note that all dates shall be calendar dates entered in the six digit format YYYYMMDD indicating year, month and day of action.

(1) Investigation Commenced

Date on which the in-depth investigation of the recipient is begun.

(2) Negotiations Initiated

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

(3) Results of Negotiation

One digit numeric code to indicate outcome of negotiations initiated in (2) above. Below are listed the only valid results of negotiation codes:

Code	Description
1	In Compliance
2	Noncompliance, but remedial commitments obtained
3	Voluntary Compliance Failed

11/80

Page 6-4

HUD-Wash., D. C.

8000.1 REV-1

(4) FIR Completed

If a complaint, date of completion of the final investigation report. If a compliance review, date of completion of the re-review.

(5) Show Cause Notice Issued

This item was used for EO 11246 complaints, it is not applicable under Section 3 and should, therefore, be left blank.

(6) Closed

Date on which the case is considered closed at the regional office level by the Director, Regional FHEO.

(7) Type of Closure

Two digit numeric code to indicate reason for case closure at the Regional Office level. Below are listed the valid closure codes in two parts -- part one is applicable primarily to complaints while part two is applicable to compliance reviews.

For complaints:

Code	Description
01	Allegation not supported
02	Grievant failed to furnish requisite information within statutory timeframe
03	Lack of jurisdiction
04	Transferred to EO 11246 (for Section 3 only)
05	Transferred to other authority (not EO 11246)
06	Conciliated successfully - relief for grievant and Affirmative Action
07	Conciliated successfully - no individual relief for grievant
08	Conciliation efforts unsuccessful

8000.1 REV-1

For compliance reviews:

Code	Description
20	In compliance (after initial review or re-review)
21	Noncompliance after re-review show cause notice issued
22	Compliance achieved during show cause period
23	Not in compliance after show cause, referred to Headquarters for hearing

(8) Referred to Headquarters

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

(9) Reason for Referral to Headquarters

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

Code	Description
------	-------------

- 1 Recommendation for initiation of enforcement proceedings
- 2 Recommendation for referral to Labor
- 3 Recommendation for referral to Justice
- 4 Recommendation for referral to other Federal Agency
- 5 Other recommendation to Headquarters

k. Remark.