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CHAPTER 7

STATUS SUMMARY LOG  
Section 504 of the  
Rehabilitation Act of 1973  
(INTERIM INSTRUCTIONS)

- 7-1 Purpose. To provide interim instructions for receiving, recording and controlling complaints and compliance reviews and reporting actions taken during processing of complaints and compliance reviews under Section 504 of the Rehabilitation Act of 1973. This is a temporary reporting system only and data will not be entered into the computer.
- 7-2 Submission of Reports. Reports will be forwarded in two (2) copies to Headquarters by the 3rd day after the close of the reporting month to:
- Office of Fair Housing and Equal Opportunity  
Attn.: HUD Program Compliance
- 7-3 Applicability. The following applies to the status summary log for Section 504 of the Rehabilitation Act of 1973. The HUD 930.5 shall be used for recording the status of all complaints and compliance reviews processed under the authority of Section 504. 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.
- 7-4 General Description. The HUD 930.5 shall contain identification and status information on Section 504 complaints and compliance reviews. In general, the status summary log contains a unique case identification code (file number), identification of recipient agency, basis and issue of allegation and HUD program involved, and critical milestone activities associated with processing under the 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.

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 (Position 1-2)

Two digit number from 01 to 10 to identify Region in which case is processed.

(2) Fiscal Year (Position 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 (Position 5-6)

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

(4) Serial (Position 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
370	Section 504 Complaint
375	Section 504 Compliance Review

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b. Complaints Received. Date of receipt of a Section 504 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 basis for a Section 504 complaint is handicap. Below are listed the basis codes assigned to distinguish between physical and mental handicaps.

Code	Description
78	Physical Handicap
79	Mental Handicap

When recording a compliance review, this item shall be left blank.

- g. Issue. Three digit code to identify the major or primary issue involved in a Section 504 allegation.

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Code	Description
700	Discrimination in employment
800	Discrimination in services or facilities

- h. 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.
- i. Milestone Actions. The HUD 930.5 contains several columns denoting critical milestone actions in the

processing of complaints and compliance reviews under Section 504. 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 on-site investigation.

(2) Prelim/draft Report Completed

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

(3) 30-Day Notice

Date 30-day letter is sent to the recipient.

(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:

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Code	Description
1	Compliance achieved
2	Voluntary plan secured
3	Recipient failed to voluntarily comply

(6) FIR Completed

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

(7) Closed

Date on which the case is considered closed at the Regional Office level.

(8) 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
7	Matter to be handled under other authority

(9) Referred to Headquarters

Date on which the Director, Regional Fair Housing and Equal Opportunity refers the matter to Headquarters for administrative action.

(10) Reason for Headquarters Referral

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

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Below are listed the only valid referral codes:

Code	Description
1	Recommendation for initiation of administrative process
3	Recommendation for referral to other Federal agency
4	For advice

(11) Follow-Up

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

(12) 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	Additional work required after case has been sent to and referred from Headquarters.
2	Document review of the operation of a voluntary compliance plan.
3	On-site review of the operation of a voluntary compliance plan.

For digit two, the rightmost digit:

Code	Description
1	Referral to Headquarters for recommendation for initiation of administrative process.
3	Referral to Headquarters for recommendation for referral to other Federal agency.
4	Referral to Headquarters for advice.
5	In compliance, no further action necessary.
6	Terms of voluntary plan being met.

j. Remarks.