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| **Change of Management Agent Checklist**  Section 232 |  | **U.S. Department of Housing and Urban Development**  Office of Residential Care Facilities |

**Warning:** Anyone who knowingly submits a false claim or makes a false statement is subject to criminal and/or civil penalties, including confinement for up to 5 years, fines, and civil and administrative penalties. (18 U.S.C. §§ 287, 1001, 1010, 1012; 31 U.S.C. §3729, 3802).

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| **Project Name:** |
| **Project Number:** |
| **Applicant Name:** |

**SUBMISSION REQUIREMENTS:**

* This form should be used for a **Change of Management Agent or Management Agent’s Controlling Participant**. For further description of these requirements, please refer to the *Section 232 Handbook 4232.1, Section III Asset Management, Chapter 7 Change in Ownership* and *Chapter 8 Operators and Management Agents*.
* Lender shall transmit the checklist documents via the HUD Healthcare Portal (link [here](https://www.hud232portal.com/)). In the Portal, select *Asset Management > Project Request Form*. Fill out the information and from the *Project Action Request Type*, select the applicable type of transaction being submitted.
* It is **critical** that you name each file according to the naming convention provided in the checklist **highlighted in green.** These highlighted numbers are important codes that “guide” the Portal system to recognize the type of transaction submitted, section number of the checklist, and the identity of the document. Therefore, appropriate file names for this submission package would include **99901-a\_Lender’s Narrative [OR] 99901-a\_LendersNarrative [OR] 99901-a\_LNarrative.** In all three examples, the critically important portion of the file name is the five-digit number, dash, letter, and underscore that have been highlighted in green on the checklist. Do not use the following characters in your file names: Less than: (<), Greater than: (>), Colon: (:), Double quote: ("), Forward slash: (/), Backslash: (\), Vertical bar or pipe: (|), Question mark: (?), Asterisk: (\*).

| **No.** | **Item** | **Incl.** | **N/A** |
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|  | **90501-a\_**Copy of completed **Change of Management Agent Checklist** |  |  |
|  | **90502-a\_**Lender Narrative for Change in Management Agent (HUD-92266B-ORCF) |  |  |
|  | **90503-a\_**Qualifications-Resumes *(New Management Agent)*  *Provide evidence for the business entity and each of its principals* |  |  |
|  | Management Agent Documents  ***If controlling participants change, but entity remains the same, this exhibit is not required.***   1. **90504-a\_**Draft Management Agreement 2. **90504-b\_**Management Certification (HUD-9839-ORCF) 3. **90504-c\_**Management Agent Agreement Addendum (HUD-92071-ORCF) |  |  |
|  | Previous Participation Certification for Management Agent entity and Management Agent’s Controlling Participants *(as applicable)*  *See Housing Notice 2016-15 for additional guidance on the Previous Participation Certification.* ***If controlling participants change, but entity remains the same, please submit 5b or 5c (5d is not applicable).***   1. **THIS LINE INTENTIONALLY LEFT BLANK** 2. **90505-b\_**Active Partners Performance System (APPS) Submittal- Previous Participation Certification via the Active Partners Performance System (APPS). Include a copy of the signature pages in the application.   **{OR}**   1. **90505-c**\_Previous Participation Certification (HUD-90021-ORCF)   **{OR}**   1. **90505-d**\_Completed Management Agent Consolidated Certifications are being submitted under tab 7 |  |  |
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| **6a.** | **90506-a.1\_**Attorney’s Certification on Execution and Recordation (*See ORCF Loan Serving Guidance home page*) |  |  |
|  | **90507-a.1\_**Management Agent’s Consolidated Certification (HUD-90017-ORCF)  *Include overall star ratings for every facility listed and any star rating category two (2) or below.* ***If controlling participants change, but entity remains the same, this exhibit is not required.*** |  |  |
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| **FINAL SUBMISSION DOCUMENTS** | | |  |
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|  | **90510-a\_Executed** Management Agreement |  |  |
|  | **90511-a\_Executed** Management Agent Agreement Addendum (HUD-92071-ORCF) |  |  |
|  | **90512-a\_Executed** Attorney’s Certification on Execution and Recordation |  |  |