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| **Firm Application Checklist**Section 232(i) – Fire Safety Equipment FHA Insured Projects  |  | **U.S. Department of Housing and Urban Development**Office of Residential Care Facilities |

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

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

**SUBMISSION REQUIREMENTS:**

* Upload one electronic copy of all the documents identified in the table below to the Section 232 Portal for receipt of the Firm Application submission.
* Lenders are not required to submit N/A exhibits, but if choosing to do so, please identify that it is “N/A” in the document name. For example, “2-3.B\_NA-Phase II Environmental Report.”
* For “Other” documents that are not standard Checklist exhibits, please add a descriptor to the file name so that files are more easily identified. For example, “2.3E\_Other Specify-Tank Closure.”

| **No.** | **Item** | **N/A** | **Incl.** |
| --- | --- | --- | --- |
| **Section 1: Underwriting** |
|  | 1. Payment receipt – FHA Application Fee (0.4% of Mortgage Loan Amount)

Payment receipt generated by Pay.gov 1. Section 232(i) Firm Application Checklist
2. HUD-90022-ORCF, Certification for Submission of Electronic Firm Application
 |  | [ ] [ ] [ ] [ ]  |
|  | HUD-90010-ORCF, Lender Narrative (including applicable addenda) Submit electronic versions in both Word and PDF document format. Do not alter the narrative format; if a particular section does not apply, it should be noted as Not Applicable. |  | [ ]  |
|  | HUD-92264A-ORCF, Maximum Insurable Loan Calculation |  | [ ]  |
|  | Section 232(i) Firm Commitment Submit electronic draft version in a Word document.Please include the exhibit number and title at the top of the page of the following exhibits to the Firm Commitment.1. Exhibit A, Legal Description
2. Exhibit B, Revised Replacement Reserve Schedule (if applicable),
3. C.1. Exhibit C, List of Required Repairs and Associated Costs (if applicable)
4. Intentionally Omitted
5. Master Lease List of Properties (optional supplement)
6. Accounts Receivable Financing Terms Memo (optional supplement)
 | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ] [ ] [ ]  |
|  | HUD-90012-ORCF, Consolidated Certifications – Lender |  | [ ]  |
|  | HUD-90024-ORCF, Contact List Submit electronic version in a Word document. |  | [ ]  |
|  | Copies of any email guidance provided by HUD on this project before the submittal | [ ]  | [ ]  |
|  | HUD-2-ORCF, Request for Waiver of Housing Directive Submit electronic version in a Word document | [ ]  | [ ]  |
|  | Intentionally Omitted |  |  |
|  | Intentionally Omitted |  |  |
| **Section 2: Third Party Reports – Intentionally Omitted** |
| **Section 3: Borrower** |
| *The supplemental exhibits are applicable when a change the borrower entity . See also the supplemental exhibits to provide for each new principal that has not been previously approved by HUD for participation in this property.* |
|  | Organizational Chart |  |  |
|  | Organizational Documents

|  |  |  |
| --- | --- | --- |
| [ ]  Corporation | [ ]  Partnership |  |
| A. Articles of Incorporation | A. Partnership Agreement |  |
| B. Bylaws | B. Certificate of Partnership |  |
| C. Authorizing Resolutions | C. Authorizing Resolutions |  |
| [ ]  LLC | [ ]  Trust |  |
| A. Articles of Organization | A. Trust Agreement |  |
| B. Operating Agreement | B. Certification or Affidavit of Trust |  |
| C. Authorizing Resolutions | C. N/A |  |

 |  | [ ] [ ] [ ] [ ] [ ] [ ]  |
|  | HUD-90013-ORCF, Consolidated Certifications – BorrowerPart VI Parties to the Transaction, Part XIII Section 223(d) Certifications, Part XV Certification of Multiple Projects for Section 223(a)(7), are NOT required to be completed. Previous Participation Certification: (Supplemental Exhibit)See Housing Notice 2016-15 for additional guidance on the Previous Participation Certification * 1. Complete HUD-90013-ORCF, Part IX Previous Participation, include Attachment 1, and Register Controlling Participants in the Business Partner Registration System (BPRS)

**OR*** 1. Active Partners Performance System (APPS) Submittal: Previous Participation Certification via APPS. Include a copy of the signature pages in the application.
 | [ ] [ ]  | [ ] [ ] [ ]  |
|  | Credit Report (Supplemental Exhibit) | [ ]  | [ ]  |
|  | Intentionally Omitted |  |  |
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| **Section 4: Principal of Borrower** ***<Name of Principal>*** |
| Duplicate this section and include the name of the principal for each Principal of the Borrower. Include individuals and entities providing financial capacity and operating experience. *The supplemental exhibits are applicable when there has been a change, or a change is proposed, in the principal ownership of the borrower entity. These exhibits must be provided for each new or existing principal that has not been previously approved by HUD for participation in this property.* |
|  | Organizational Chart  | [ ]  | [ ]  |
|  | Organizational Documents

|  |  |  |
| --- | --- | --- |
| [ ]  Corporation | [ ]  Partnership |  |
| A. Articles of Incorporation | A. Partnership Agreement |  |
| B. Bylaws | B. Certificate of Partnership |  |
| C. Authorizing Resolutions | C. Authorizing Resolutions |  |
| [ ]  LLC | [ ]  Trust |  |
| A. Articles of Organization | A. Trust Agreement |  |
| B. Operating Agreement | B. Certification or Affidavit of Trust |  |
| C. Authorizing Resolutions | C. N/A |  |

 |  | [ ] [ ] [ ] [ ] [ ] [ ]  |
|  | Résumé/Evidence that individual or entity is qualified (Supplemental Exhibit) |  | [ ]  |
|  | HUD-90014-ORCF, Consolidated Certifications – Principal of the BorrowerPart VIII Parties to the Transaction, and Attachment 1 are NOT required to be completed.Previous Participation Certification (Supplemental Exhibit):See Housing Notice 2016-15 for additional guidance on the Previous Participation Certification 1. Complete HUD-90014-ORCF, Part VII Previous Participation, include Attachment 1 and Register Controlling Participants in the Business Partner Registration System (BPRS)

**OR**1. APPS Submittal: Previous Participation Certification via APPS. Include a copy of the signature pages in the application.
 | [ ] [ ] [ ]  | [ ] [ ] [ ]  |
|  | Credit Report (Supplemental Exhibit)1. Principal of Borrower

If a principal is a business entity (i.e., corporation, partnership) with an operating history, a credit report is required only on the business firm, not the owners of the firm.1. Sampling of Principal’s Other Business Concerns (From list attached to Consolidated Certification)
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| **Section 5: Operator** [ ]  |
| *The supplemental exhibits are applicable when a change the operator entity or in situations where the operator has not been previously approved by HUD for participation in this property.* |
|  | Intentionally Omitted |  |  |
|  | Intentionally Omitted |  |  |
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|  | Credit Report for Operator (Supplemental Exhibit) | [ ]  | [ ]  |
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| **Section 6: Parent of Operator – Intentionally Omitted** |
| **Section 7: Management Agent – Intentionally Omitted** |

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| **Section 8: Real Estate** |
|  | Intentionally Omitted |  |  |
|  | Licenses 1. Current Facility License
2. Intentionally Omitted
3. Intentionally Omitted
4. Intentionally Omitted
 | [ ]  | [ ]  |
|  | Title1. Preliminary Title Report
2. Pro Forma – 2006 ALTA Title Insurance Policy
3. ALTA Form Environmental Endorsement
4. ALTA Form Comprehensive Endorsement
5. ALTA Form Endorsement deleting Arbitration Clause
6. ALTA Location of Improvements Endorsement
7. Intentionally Omitted
8. Intentionally Omitted
9. Intentionally Omitted
10. Intentionally Omitted
11. Intentionally Omitted
12. Other: <Specify>
13. Exception Documents
14. Title Policy from original insured transaction(s), if available

Exception documents, title exceptions and survey noted exceptions should match. Exception documents must include copies of the actual documents. These documents must be legible. |  | [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]  |
|  | ALTA/ACSM Land Title Survey See HUD-91111-ORCF, Survey Instructions and Borrower’s Certification for applicability. Electronic version of the survey must be legible when expanded.  |  | [ ]  |
|  | Evidence of Compliance1. Zoning
2. HUD-91130-ORCF, Building Codes
3. Verification of Zoning and Code Variances
4. CMS Fire Safety Requirements for Long-Term Care Facilities, Automatic Sprinkler Systems (if applicable)
5. Copy of State’s fire safety survey report listing items of non-conformance with the 1999 edition NFPA 13, Standard for Installation of Sprinkler Systems.
6. Applicant’s plan of correction to bring the facility into conformance with the 1999 edition FNPA 13, Standard for Installation of Sprinkler Systems.

Evidence should address requirements for rebuilding if partially destroyed. | [ ] [ ] [ ]  | [ ] [ ] [ ] [ ] [ ] [ ]  |
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|  | Certification from lender that Borrower has been current on mortgage payments and there have been no state health survey citations and low REAC score. If citations and loan REAC scores occurred, provide Plan of Correction or mediation plan. |  | [ ]  |
| **Section 9: Operations** |
|  | Intentionally Omitted |  |  |
|  | Intentionally Omitted |  |  |
|  | Financial Statements for Operation (Trailing 12 months)The latest unaudited statement should be no more than 3 months old. These statements should include the trailing 12 months. Statements audited by a CPA/IPA should be no more than 6 months old.1. Balance Sheet
2. Income and Expense Statement
3. HUD-91126-ORCF, Financial Statement Certification
 | [ ] [ ] [ ]  | [ ] [ ] [ ]  |
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| **Section 10: Professional Liability Insurance (PLI)** |
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|  | Borrower Certification verifying additional Liability Insurance will cover additional amounts of sprinkler system | [ ]  | [ ]  |
| **Section 11: Additional Funding Sources – Intentionally Omitted** |
| **Section 12: Accounts Receivable Financing Documents – Intentionally Omitted** |
| **Section 13: Master Lease Documents – Intentionally Omitted** |
| **Section 14: Contractor** |
|  | Intentionally Omitted |  |  |
|  | Intentionally Omitted |  |  |
|  | Intentionally Omitted |  |  |
|  | Credit Report1. Contractor
2. Intentionally Omitted
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| **Section 15: Construction and Architectural Documents** |
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|  | HUD-92442, Construction Contract  |  | [ ]  |