

**U.S. DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT**

PRIVACY THRESHOLD ANALYSIS (PTA)

**Comprehensive Listing of Transactional
Documents for Mortgagors, Mortgagees and
Contractors**

**Office of Healthcare Programs Office of
Residential Care Facilities
2502 0605**

Instruction & Template

March 7, 2018

PRIVACY THRESHOLD ANALYSIS (PTA)

The PTA is a compliance form developed by the Privacy Branch to identify the use of Personally Identifiable Information (PII) across the Department. The PTA is the first step in the PII verification process, which focuses on these areas of inquiry:

- Purpose for the information,
- Type of information,
- Sensitivity of the information,
- Use of the information,
- And the risk to the information.

Please use the attached form to determine whether a Privacy and Civil Liberties Impact Assessment (PCLIA) is required under the E-Government Act of 2002 or a System of Record Notice (SORN) is required under the Privacy Act of 1974, as amended.

Please complete this form and send it to your program Privacy Liaison Officer (PLO). If you have no program Privacy Liaison Officer, please send the PTA to the HUD Privacy Branch:

John G. Bravacos, Acting, Chief Privacy Officer
Privacy Branch
U.S. Department of Housing and Urban Development

privacy@hud.gov

Upon receipt from your program PLO, the HUD Privacy Branch will review this form. If a PCLIA or SORN is required, the HUD Privacy Branch will send you a copy of the PCLIA and SORN templates to complete and return.

PRIVACY THRESHOLD ANALYSIS (PTA)

SUMMARY INFORMATION

Project or Program Name:	Comprehensive Listing of Transactional Documents for Mortgagors, Mortgagees, Servicers and Contractors		
Program:	Office of Housing		
CSAM Name (if applicable):	Click here to enter text.	CSAM Number (if applicable):	Click here to enter text.
Type of Project or Program:	Form or other Information Collection	Project or program status:	Choose an item.
Date first developed:	Click here to enter a date.	Pilot launch date:	Click here to enter a date.
Date of last PTA update:	Click here to enter a date.	Pilot end date:	N/A
ATO Status (if applicable)	Choose an item.	ATO expiration date (if applicable):	Click here to enter a date.

PROJECT OR PROGRAM MANAGER

Name:	John M. Hartung		
Office:	Office of Healthcare Programs, Office of Residential Care Facilities	Title:	Director of Policy and Risk Management Division
Phone:	314-418-5238	Email:	John.m.hartung@hud.gov

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	Click here to enter text.		
Phone:	Click here to enter text.	Email:	Click here to enter text.

SPECIFIC PTA QUESTIONS

1. Reason for submitting the PTA: Choose an item.

Please provide a general description of the project and its purpose so a non-technical person could understand. If this is an updated PTA, please describe what changes and/or upgrades triggering the update to this PTA. If this is a renewal please state whether there were any changes to the project, program, or system since the last version.

Requests an extension of a currently approved collection is on behalf of the Private Lender who is only insuring the Mortgages to make sure the mortgage payments are made for the healthcare and are not asking for any tenant information. Form numbers: HUD-9001-ORCF, HUD-9002-ORCF, HUD-9003-ORCF, HUD-9004ORCF, HUD-9005-ORCF, HUD-9005a-ORCF, HUD-9006-ORCF, HUD-9007-ORCF, HUD9007a-ORCF, HUD-9009-ORCF, HUD-90010-ORCF, HUD-90011-ORCF, HUD-9444-ORCF, HUD-90012-ORCF, HUD-90013-ORCF, HUD-90014—ORCF, HUD-90015-ORCF, HUD-90016-ORCF, HUD-90017-ORCF, HUD-90018-ORCF, HUD-90021-ORCF, HUD9442-ORCF, HUD-90023-ORCF, HUD-91123-ORCF, HUD-91124-ORCF, HUD-9112-ORCF, HUD-91127-ORCF, HUD-91129-ORCF, HUD-92328-ORCF, HUD-92403-ORCF, HUD-92408-ORCF, HUD-92415-ORCF, HUD-92437-ORCF, HUD-92441-ORCF, HUD 92441a-ORCF, HUD-92442-ORCF, HUD HUD-92448ORCF, HUD-92450-ORCF, HUD-92452-ORCF, HUD 92ORCF, HUD-92452A-ORCF, HUD-92455-ORCF, HUD-92456-ORCF, HUD-92479-ORCF, HUD-92485-ORCF, HUD-92554-ORCF, HUD-93305-ORCF, HUD-2-ORCF, HUD935.2D-ORCF, HUD-941-ORCF, HUD9445-ORCF, HUD-9839-ORCF, HUD-9002-

(See attached list of forms)

2. Does this system employ the following technologies?

If you are using these technologies and want coverage under the respective PIA for that technology, please stop here and contact the HUD Privacy Branch for further guidance.

- Social Media
- Web portal¹ (e.g., SharePoint)
- Contact Lists
- Public website (e.g. A website operated by HUD, contractor, or other organization on behalf of the HUD)
- None of these

¹ Informational and collaboration-based portals in operation at HUD and its programs that collect, use, maintain, and share limited personally identifiable information (PII) about individuals who are "members" of the portal or "potential members" who seek to gain access to the portal.

<p>3. From whom does the Project or Program collect, maintain, use, or disseminate information? Please check all that apply.</p>	<p><input type="checkbox"/> This program collects no personally identifiable information²</p> <p><input type="checkbox"/> Members of the public</p> <p><input type="checkbox"/> HUD employees/contractors (list programs):</p> <p><input type="checkbox"/> Contractors working on behalf of HUD</p> <p><input type="checkbox"/> Employees of other federal agencies</p> <p><input checked="" type="checkbox"/> Other (e.g. business entity)</p>
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<p>4. What specific information about individuals is collected, generated or retained?</p>	
<p><i>Please provide a specific description of information collected, generated, or retained (such as full names, maiden name, mother's maiden name, alias, social security number, passport number, driver's license number, taxpayer identification number, patient identification number, financial account, credit card number, street, internet protocol, media access control, telephone number, mobile number, business number, photograph image, x-rays, fingerprints, biometric image, template data (e.g. retain scan, well-defined group of people), vehicle registration number, title number and information about an individual that is linked or linkable to one of the above (e.g. date of date, place of birth, race, religion, weight, activities, geographical indicators, employment information, medical information, education information, financial information) and etc.</i></p>	
<p>4(a) Does the project, program, or system retrieve information from the system about a U.S. Citizen or lawfully admitted permanent resident aliens by a personal identifier?</p>	<p><input checked="" type="checkbox"/> No. Please continue to next question.</p> <p><input type="checkbox"/> Yes. If yes, please list all personal identifiers used:</p>
<p>4(b) Does the project, program, or system have an existing System of Records Notice (SORN) that has already been published in the Federal Register that covers the information collected?</p>	<p><input checked="" type="checkbox"/> No. Please continue to next question.</p> <p><input type="checkbox"/> Yes. If yes, provide the system name and number, and the Federal Register citation(s) for the most recent complete notice and any subsequent notices reflecting amendment to the system</p>
<p>4(c) Has the project, program, or system undergone any significant changes since the SORN?</p>	<p><input checked="" type="checkbox"/> No. Please continue to next question.</p> <p><input type="checkbox"/> Yes. If yes, please describe.</p>

² HUD defines personal information as "Personally Identifiable Information" or PII, which is any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department. "Sensitive PII" is PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. For the purposes of this PTA, SPII and PII are treated the same.

<p>4(d) Does the project, program, or system use Social Security Numbers (SSN)?</p>	<p><input type="checkbox"/> No. <input checked="" type="checkbox"/> Yes only in the following document forms: HUD-90013-ORCF, HUD-90014-ORCF, HUD-90015-ORCF, HUD-90016-ORCF, HUD-90017-ORCF, HUD-90018-ORCF</p>
<p>4(e) If yes, please provide the specific legal authority and purpose for the collection of SSNs:</p>	<p>Pub. L. 100-242, title I, § 165, Feb. 5, 1988, 101 Stat. 1864; 42 U.S.C.A. § 3543 (1994) Verification purposes only.</p>
<p>4(f) If yes, please describe the uses of the SSNs within the project, program, or system:</p>	<p>Used for verification purposes only.</p>
<p>4(g) If this project, program, or system is an information technology/system, does it relate solely to infrastructure?</p> <p><i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i></p>	<p><input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If a log kept of communication traffic, please answer this question.</p>
<p>4(h) If header or payload data³ is stored in the communication traffic log, please detail the data elements stored.</p>	
<p>Click here to enter text.</p>	

<p>5. Does this project, program, or system connect, receive, or share PII with any other HUD programs or systems?</p>	<p><input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: Click here to enter text.</p>
<p>6. Does this project, program, or system connect, receive, or share PII with any external (non-HUD) partners or systems?</p>	<p><input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: Click here to enter text.</p>
<p>6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, etc.)?</p>	<p>Choose an item. Please describe applicable information sharing governance in place:</p>

³ Header: Information that is placed before the actual data. The header normally contains a small number of bytes of control information, which is used to communicate important facts about the data that the message contains and how it is to be interpreted and used. It serves as the communication and control link between protocol elements on different devices.

Payload data: The actual data to be transmitted, often called the payload of the message (metaphorically borrowing a term from the space industry!) Most messages contain some data of one form or another, but some actually contain none: they are used only for control and communication purposes. For example, these may be used to set up or terminate a logical connection before data is sent.

<p>7. Does the project, program, or system provide role-based training for personnel who have access in addition to annual privacy training required of all HUD personnel?</p>	<p><input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list:</p>
<p>8. Per NIST SP 800-53 Rev. 4, Appendix J, does the project, program, or system maintain an accounting of disclosures of PII to individuals/agencies who have requested access to their PII?</p>	<p><input type="checkbox"/> No. What steps will be taken to develop and maintain the accounting: <input type="checkbox"/> Yes. In what format is the accounting maintained:</p>
<p>9. Is there a FIPS 199 determination?⁴</p>	<p><input type="checkbox"/> Unknown. <input type="checkbox"/> No. <input type="checkbox"/> Yes. Please indicate the determinations for each of the following:</p> <p>Confidentiality: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High</p> <p>Integrity: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High</p> <p>Availability: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High</p>

**PRIVACY THRESHOLD ANALYSIS REVIEW
(TO BE COMPLETED BY PROGRAM PLO)**

<p>Program Privacy Liaison Reviewer:</p>	<p>Click here to enter text.</p>
<p>Date submitted to Program Privacy Office:</p>	<p>Click here to enter a date.</p>
<p>Date submitted to HUD Privacy Branch:</p>	<p>Click here to enter a date.</p>
<p>Program Privacy Liaison Officer Recommendation: <i>Please include recommendation below, including what new privacy compliance documentation is needed.</i> Click here to enter text.</p>	

⁴ FIPS 199 is the [Federal Information Processing Standard](#) Publication 199, Standards for Security Categorization of Federal Information and Information Systems and is used to establish security categories of information systems.

(TO BE COMPLETED BY THE HUD PRIVACY BRANCH)

HUD Privacy Branch Reviewer:	Cindy Etheridge
Date approved by HUD Privacy Branch:	March 7, 2018
PTA Expiration Date:	This PTA will suffice at this time; however, if there are any significant modifications it would need to be revised and will require an update.

DESIGNATION

Privacy Sensitive System:	Choose an item. If "no" PTA adjudication is complete.
Category of System:	Choose an item. If "other" is selected, please describe: Click here to enter text.
Determination:	<input checked="" type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> HUD Policy for Computer-Readable Extracts Containing Sensitive PII applies. <input type="checkbox"/> Privacy Act Statement required. <input type="checkbox"/> Privacy and Civil Liberties Impact Assessment (PCLIA) required. <input type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Paperwork Reduction Act (PRA) Clearance may be required. Contact your program PRA Officer. <input type="checkbox"/> A Records Schedule may be required. Contact your program Records Officer.
PIA:	Choose an item. If covered by existing PCLIA, please list: Click here to enter text.
SORN:	Choose an item. If covered by existing SORN, please list: Click here to enter text.
HUD Privacy Branch Comments: <i>Please describe rationale for privacy compliance determination above.</i> Click here to enter text.	

HUD-9001g-ORCF	Lender Narrative 223a7.223d.232i - Addendum - Management Agent	12	2.5	30	0.50	15	\$75	\$1,125
HUD-9001h-ORCF	Lender Narrative 223a7.223d.232i - Addendum - Transfer of Physical Assets	30	2.5	75	0.50	37.5	\$75	\$2,813
HUD-9001i-ORCF	Lender Narrative 223a7.223d.232i - Addendum - AR Financing	30	2.5	75	0.50	37.5	\$75	\$2,813
HUD-9002-ORCF	Lender Narrative 223f	30	7.5	225	70.00	15750	\$75	\$1,181,250
HUD-9003-ORCF	Lender Narrative 241a	4	1	4	73.00	292	\$75	\$21,900
HUD-9004-ORCF	Lender Narrative - New Construction - Single Stage	10	2	20	87.00	1740	\$75	\$130,500
HUD-9005-ORCF	Lender Narrative - New Construction - 2 Stage - Initial Submittal	10	2	20	63.00	1260	\$75	\$94,500
HUD-9005a-ORCF	Lender Narrative - New Construction - 2 Stage Final Submittal	10	2	20	53.00	1060	\$75	\$79,500
HUD-9006-ORCF	Lender Narrative - Substantial Rehabilitation - Single Stage	4	1	4	93.00	372	\$75	\$27,900
HUD-9007-ORCF	Lender Narrative - Substantial Rehabilitation - 2 Stage Initial Submittal	4	1	4	70.00	280	\$75	\$21,000
HUD-9007a-ORCF	Lender Narrative - Substantial Rehabilitation - 2 Stage Final Submittal	4	1	4	70.00	280	\$75	\$21,000
HUD-9009-ORCF	Lender Narrative 232(i) - Fire Safety Equipment Installation, without Existing HUD Insured Mortgage	5	2	10	15.00	150	\$62	\$9,300
HUD-90010-ORCF	Lender Narrative 232(i) - Fire Safety Equipment Installation, with Existing HUD Insured Mortgage	5	2	10	15.00	150	\$62	\$9,300
HUD-90011-ORCF	Lender Narrative 223(d) - Operating Loss Loan	1	2	2	15.00	30	\$62	\$1,860
HUD-9444-ORCF	Lender Narrative Cost Certification Supplement	2	2	4	15.00	60	\$75	\$4,500
Consolidated Certifications								
HUD-90012-ORCF	Consolidated Certification - Lender	30	2.5	75	1.00	75	\$67	\$5,025
HUD-90013-ORCF	Consolidated Certification - Borrower	77	1	77	1.00	77	\$75	\$5,775
HUD-90014-ORCF	Consolidated Certification - Principal of the Borrower	38	2	76	1.00	76	\$75	\$5,700
HUD-90015-ORCF	Consolidated Certification - Operator	35	2	70	1.00	70	\$75	\$5,250
HUD-90016-ORCF	Consolidated Certification - Parent of Operator	35	2	70	1.00	70	\$75	\$5,250
HUD-90017-ORCF	Consolidated Certification - Management Agent	35	2	70	1.00	70	\$75	\$5,250
HUD-90018-ORCF	Consolidated Certification - Contractors	4	1	4	1.50	6	\$75	\$450
HUD-90021-ORCF	Previous Participation Certification - Controlling Participant	30	5.83	175	1.00	175	\$217	\$37,975
Construction Documents								
HUD-9442-ORCF	Memo for Post-Commitment Early Start of Construction Request	3	2	6	1.00	6	\$75	\$450
HUD-90023-ORCF	Early Commencement/Early Start - Borrower Certification	3	2	6	0.25	1.5	\$75	\$113
HUD-91123-ORCF	Design Professional's Certification of Liability Insurance	26	2	52	0.50	26	\$83	\$2,158
HUD-91124-ORCF	Design Architect Certification	26	2	52	0.50	26	\$83	\$2,158
HUD-91125-ORCF	Staffing Schedule	30	5.83	174.9	1.00	174.9	\$62	\$10,844

HUD-91127-ORCF	Financial Statement Certification - General Contractor	26	2	52	0.50	26	\$67	\$1,742
HUD-91129-ORCF	Lender Certification for New Construction Cost Certifications	10	5.2	52	3.00	156	\$75	\$11,700
HUD-92328-ORCF	Contractor's and/or Mortgagor's Cost Breakdown	26	2	52	4.00	208	\$75	\$15,600
HUD-92403-ORCF	Application for Insurance of Advance of Mortgage Proceeds	3	2	6	0.20	1.2	\$75	\$90
HUD-92408-ORCF	HUD Amendment to B108	26	2	52	0.50	26	\$75	\$1,950
HUD-92415-ORCF	Request for Permission to Commence Construction Prior to Initial Endorsement for Mortgage Insurance (Post-Commitment Early Start of Construction)	3	2	6	0.50	3	\$83	\$249
HUD-92437-ORCF	Request for Construction Changes on Project Mortgages	3	2	6	2.00	12	\$75	\$900
HUD-92441-ORCF	Building Loan Agreement	10	5.2	52	1.00	52	\$75	\$3,900
HUD-92441a-ORCF	Building Loan Agreement Supplemental	10	5.2	52	1.00	52	\$75	\$3,900
HUD-92442-ORCF	Construction Contract	10	5.2	52	1.00	52	\$75	\$3,900
HUD-92448-ORCF	Contractor's Requisition	3	2	6	6.00	36	\$75	\$2,700
HUD-92450-ORCF	Completion Assurance	10	5.2	52	0.50	26	\$75	\$1,950
HUD-92452-ORCF	Performance Bond - Dual Oblige	5	5.2	26	0.50	13	\$217	\$2,821
HUD-92452A-ORCF	Payment Bond	5	5.2	26	0.50	13	\$75	\$975
HUD-92455-ORCF	Request for Endorsement	10	5.2	52	1.00	52	\$75	\$3,900
HUD-92456-ORCF	Escrow Agreement for Incomplete Construction	3	2	6	0.50	3	\$75	\$225
HUD-92479-ORCF	Offsite Bond - Dual Oblige	5	3	15	0.50	7.5	\$75	\$563
HUD-92485-ORCF	Permission to Occupy	3	2	6	0.50	3	\$75	\$225
HUD-92554-ORCF	Supplementary Conditions of the Contract for Construction	10	5.2	52	0.50	26	\$217	\$5,642
HUD-93305-ORCF	Agreement and Certification	10	5.2	52	0.50	26	\$75	\$1,950
HUD-95379-ORCF	HUD Representative's Trip Report	26	28	728	1.00	728	\$75	\$54,600
Underwriting Documents								
HUD-2-ORCF	Request for Waiver of Housing Directive	20	8	160	1.00	160	\$75	\$12,000
HUD-935.2D-ORCF	Affirmative Fair Housing Marketing Plan - 232	10	5.2	52	6.00	312	\$75	\$23,400
HUD-941-ORCF	Lenders FHA Number Request Form	30	11.7	350	0.50	175	\$62	\$10,850
HUD-9445-ORCF	Certification of Outstanding Obligations	35	10	350	1.00	350	\$83	\$29,050
HUD-9839-ORCF	Management Certification—Residential Care Facility	5	1	5	0.50	2.5	\$75	\$188
HUD-90022-ORCF	Certification for Electronic Submittal	35	10	350	0.50	175	\$67	\$11,725
HUD-90024-ORCF	Contact Sheet	35	10	350	1.00	350	\$67	\$23,450
HUD-91116-ORCF	Addendum to Operating Lease	30	6.5	195	0.50	97.5	\$217	\$21,158
HUD-91126-ORCF	Financial Statement Certification - Borrower	150	7	1050	0.50	525	\$67	\$35,175
HUD-91130-ORCF	Building Code Certification	26	2	52	0.50	26	\$83	\$2,158
HUD-92000-ORCF	Appraisal Sockets	30	11.7	350	1.50	525	\$83	\$43,575
HUD-92264a-ORCF	Maximum Insurable Loan Calculation	30	11.7	350	2.00	700	\$83	\$58,100
HUD-92434-ORCF	Lender Certification	35	10	350	1.00	350	\$75	\$26,250

Accounts Receivable Documents								
HUD-90020-ORCF	Accounts Receivable Financing Certification	50	3	150	0.50	75	\$217	\$16,275
HUD-92322-ORCF	Intercreditor Agreement (for AR Financed Projects)	30	5	150	1.50	225	\$200	\$45,000
Master Lease Documents								
HUD-92211-ORCF	Master Lease Addendum	5	5	25	1.00	25	\$217	\$5,425
HUD-92331-ORCF	Cross-Default Guaranty of Subtenants	30	5.83	175	1.00	174.9	\$217	\$37,953
HUD-92333-ORCF	Master Lease SNDA	30	5.83	175	0.50	87.45	\$217	\$18,977
HUD-92335-ORCF	Guide for Opinion of Master Tenant's Counsel	30	5.83	175	1.00	174.9	\$217	\$37,953
HUD-92337-ORCF	Healthcare Regulatory Agreement - Master Tenant	30	5.83	175	0.50	87.45	\$217	\$18,977
HUD-92339-ORCF	Master Lease Estoppel Agreement	30	5.83	175	0.50	87.45	\$217	\$18,977
HUD-92340-ORCF	Master Tenant Security Agreement	30	5.83	175	1.00	174.9	\$217	\$37,953
HUD-92341-ORCF	Termination and Release of Cross-Default Guaranty of Subtenants	30	5.83	175	0.50	87.45	\$217	\$18,977
HUD-92342-ORCF	Amendment to HUD Master Lease (Partial Termination and Release)	30	5.83	175	0.50	87.45	\$217	\$18,977
Closing Documents								
HUD-2205A-ORCF	Borrower's Certificate of Actual Cost	30	7.5	225	3.50	787.5	\$75	\$59,063
HUD-91110-ORCF	Subordination, Non-Disturbance and Attornment Agreement of Operating Lease (SNDA)	30	11.7	350	0.50	175	\$233	\$40,775
HUD-91111-ORCF	Survey Instructions and Borrower's Certification	180	1.5	270	0.50	135	\$83	\$11,205
HUD-91112-ORCF	Request of Overpayment of Firm Application Exam Fee	15	5.13	76.95	0.50	38.475	\$67	\$2,578
HUD-91118-ORCF	Borrower's Certification - Completion of Critical Repairs	240	1	240	0.50	120	\$75	\$9,000
HUD-91710-ORCF	Residual Receipts Note - Non Profit Mortgagor	5	2	10	0.50	5	\$75	\$375
HUD-92023-ORCF	Request for Final Endorsement	10	5.2	52	1.00	52	\$75	\$3,900
HUD-92070-ORCF	Lease Addendum	2	1	2	0.50	1	\$217	\$217
HUD-92071-ORCF	Management Agreement Addendum	35	11.7	350	0.50	175	\$75	\$13,125
HUD-92223-ORCF	Surplus Cash Note	7	2	14	0.50	7	\$75	\$525
HUD-92323-ORCF	Operator Security Agreement	30	6.5	195	1.00	195	\$200	\$39,000
HUD-92330-ORCF	Mortgagor's Certificate of Actual Cost	5	3	15	8.00	120	\$75	\$9,000
HUD-92330A-ORCF	Contractor's Certificate of Actual Cost	5	3	15	8.00	120	\$75	\$9,000
HUD-92420-ORCF	Subordination Agreement - Financing	7	2	14	0.50	7	\$217	\$1,519
HUD-92435-ORCF	Lender's Certification - Insurance Coverage	35	11.7	350	0.25	87.5	\$75	\$6,563
HUD-92466-ORCF	Healthcare Regulatory Agreement - Borrower	35	10	350	0.50	175	\$217	\$37,975
HUD-92466A-ORCF	Healthcare Regulatory Agreement - Operator	10	2	20	0.50	10	\$217	\$2,170
HUD-92468-ORCF	Healthcare Regulatory Agreement - Fire Safety	35	2	2	0.50	1	\$217	\$217
HUD-94000-ORCF	Security Instrument/Mortgage/Deed of Trust	35	10	350	0.50	175	\$217	\$37,975
HUD-94000-ORCF-ADD	Security Instrument/Mortgage/Deed of Trust Addenda (various states)	35	10	350	0.50	175	\$217	\$37,975

HUD-94000B-ORCF	Rider to Security Instrument - LIHTC	35	10	15	0.50	7.5	\$217	\$1,628
HUD-94001-ORCF	Healthcare Facility Note	35	10	350	1.00	350	\$75	\$26,250
HUD-94001-ORCF-RI	Healthcare Facility Note - Rider (various states)	35	10	15	0.50	7.5	\$75	\$563
Escrow Documents								
HUD-9443-ORCF	Minor Moveable Escrow	26	2	52	1.00	52	\$83	\$4,316
HUD-91071-ORCF	Escrow Agreement for Off-site Facilities	3	2	6	0.50	3	\$75	\$225
HUD-91128-ORCF	Initial Operating Deficit Escrow Calculation Template	11	5	55	1.50	82.5	\$83	\$6,848
HUD-92412-ORCF	Working Capital Escrow	10	5.2	52	0.50	26	\$75	\$1,950
HUD-92414-ORCF	Latent Defects Escrow	20	12	240	0.50	120	\$75	\$9,000
HUD-92464-ORCF	Request Approval Advance of Escrow Funds	35	15	525	1.00	525	\$75	\$39,375
HUD-92476-ORCF	Escrow Agreement Noncritical Deferred Repairs	20	12	240	0.50	120	\$75	\$9,000
HUD-92476B-ORCF	Escrow Agreement for Operating Deficits	12	4.8	57.6	0.50	28.8	\$75	\$2,160
HUD-92476C-ORCF	Escrow Agreement for Debt Service Reserves	12	4.8	57.6	0.50	28.8	\$75	\$2,160
Legal Opinion/Certification Documents								
HUD-91117-ORCF	Operator Estoppel Certificate	100	2	200	0.50	100	\$275	\$27,500
HUD-91725-ORCF	Guide for Opinion of Borrower's Counsel	35	10	350	2.00	700	\$217	\$151,900
HUD-91725-INST-ORCF	Instructions to Guide for Opinion of Borrower's and Operator's Counsel	35	10	350	0.00	0	\$217	\$0
HUD-91725-CERT-ORCF	Exhibit A to Opinion of Borrower's Counsel - Certification	35	10	350	2.00	700	\$217	\$151,900
HUD-92325-ORCF	Guide for Opinion of Operator's Counsel and Certification	30	6.5	195	1.50	292.5	\$200	\$58,500
Asset Management Documents								
HUD-1044-D-ORCF	Multifamily Insurance Branch Claim	20	7	140	0.50	70	\$75	\$5,250
HUD-2537-ORCF	Mortgagee's Application for Partial Settlement	20	7	140	0.25	35	\$75	\$2,625
HUD-2747-ORCF	Application for Insurance Benefits	20	7	140	0.10	14	\$75	\$1,050
HUD-9250-ORCF	Funds Authorizations	500	5.6	2800	1.00	2800	\$75	\$210,000
HUD-9807-ORCF	Insurance Termination Request	20	7	140	0.10	14	\$75	\$1,050
HUD-90019-ORCF	Auditor's Loss Period Financial Statement Certification (223d)	3	1	3	0.50	1.5	\$67	\$101
HUD-90029-ORCF	232 Healthcare Portal Access	60	3	180	0.50	90	\$75	\$6,750
HUD-90030-ORCF	Lender Narrative, Requests to Release or Modify Original Loan Collateral	30	2	60	3	180	\$75	\$13,500
HUD-90031-ORCF	Lender Narrative, Accounts Receivable	30	2	60	1.5	90	\$75	\$6,750
HUD-90032-ORCF	Lender Narrative, Loan Modification	20	4	80	1.50	120	\$75	\$9,000
HUD-90033-ORCF	Loan Modification Lender Certification	20	4	80	0.50	40	\$75	\$3,000
HUD-92080-ORCF	Mortgage Record Change - 232	20	1	20	0.25	5	\$75	\$375
HUD-92117-ORCF	Borrower's Certification - Completion of Non-Critical Repairs	250	2	500	0.50	250	\$75	\$18,750
HUD-92228-ORCF	Model Form Bill of Sale and Assignment	20	2	40	0.50	20	\$83	\$1,660
HUD-92266-ORCF	Application for Transfer of Physical Assets (TPA)	25	2	50	5.00	250	\$83	\$20,750

D-92266A-ORCF	Lender Narrative, Change of Operator/Lessee	25	1	25	4.00	100	\$83	\$8,300
D-92266B-ORCF	Lender Narrative, Change of Management Agent	25	1	25	2.00	50	\$83	\$4,150
D-92417-ORCF	Personal Financial and Credit Statement	175	6	1050	3.50	3675	\$83	\$305,025
D-93332-ORCF	Certification of Exigent Health & Safety (EH&S) Issues	456	1	456	1.00	456	\$75	\$34,200
D-93333-ORCF	Certification Physical Condition in Compliance	208	1	208	0.50	104	\$83	\$8,632
D-93334-ORCF	Servicer's Notification to HUD of Risks to Healthcare Project	60	15	900	0.5	450	\$75	\$33,750
D-93335-ORCF	Operator's Notification to HUD of Threats to Permits and Approvals	60	5	300	0.5	150	\$75	\$11,250
D-93479-ORCF	Monthly Report for Establishing Net Income	60	2	120	1.00	120	\$75	\$9,000
D-93480-ORCF	Schedule of Disbursements	60	12	720	1.00	720	\$75	\$54,000
D-93481-ORCF	Schedule of Accounts Payable	60	12	720	1.00	720	\$75	\$54,000
D-93486-ORCF	Computation of Surplus Cash	70	1	70	0.50	35	\$62	\$2,170

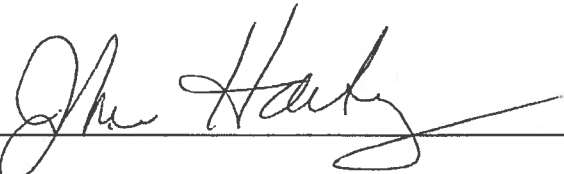
- Supplemental Loan Documents

D-91116A-ORCF	Supplemental Addendum to Operating Lease	10	0.5	5	0.50	2.5	\$200	\$500
D-92211A-ORCF	Supplemental Master Lease Addendum	10	0.5	5	1.00	5	\$217	\$1,085
D-92323A-ORCF	Supplemental Operator Security Agreement	10	0.5	5	1.00	5	\$200	\$1,000
D-92333A-ORCF	Supplemental Master Lease SNDA	10	0.5	5	0.50	2.5	\$217	\$543
D-92338-ORCF	Supplemental Healthcare Regulatory Agreement - Master Tenant	10	0.5	5	0.50	2.5	\$217	\$543
D-92340A-ORCF	Supplemental Master Tenant Security Agreement	10	0.5	5	1.00	5	\$217	\$1,085
D-92420A-ORCF	Supplemental Subordination Agreement for 241(a)	10	0.5	5	0.50	2.5	\$217	\$543
D-92434A-ORCF	Supplemental Lender's Certificate for 241(a)	10	0.5	5	1.00	5	\$75	\$375
D-92440-ORCF	Supplemental Building Loan Agreement for 241(a)	10	0.5	5	1.00	5	\$75	\$375
D-92467-ORCF	Supplemental Healthcare Regulatory Agreement - Borrower	10	0.5	5	0.50	2.5	\$217	\$543
D-92467A-ORCF	Supplemental Healthcare Regulatory Agreement - Operator	10	0.5	5	0.50	2.5	\$217	\$543
D-94000A-ORCF	Supplemental Security Instrument/Mortgage/Deed of Trust	10	0.5	5	0.50	2.5	\$217	\$543
D-94001A-ORCF	Supplemental Healthcare Facility Note	10	0.5	5	1.00	5	\$75	\$375
	Totals	5,468	708	24,459	5.21	47,174	\$111	4,181,539

DOCUMENT ENDORSEMENT

DATE REVIEWED:
PRIVACY REVIEWING OFFICIALS NAME:

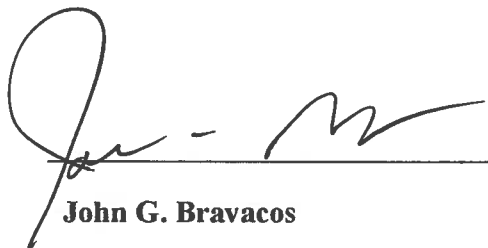
By signing below, you attest that the content captured in this document is accurate and complete and meet the requirements of applicable federal regulations and HUD internal policies.



SYSTEM OWNER

3/9/18
Date

John Hartung, Director, Policy, Risk Analysis and
Lender Relations Division
Office of Residential Care Facilities



John G. Bravacos

3/13/18
Date

ACTING CHIEF PRIVACY OFFICER
Privacy Branch

OFFICE OF ADMINISTRATION

