

**2017 ARCHITECTURAL MANUAL  
APPENDIX II  
SUBMISSION REQUIREMENTS**

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## **A. OVERVIEW**

The Submission Requirements section of the Architectural Manual provides an overview of the documentation related to the Construction Services (CS) Department that will be submitted by each project team as both part of the application and awarded projects processes.

## **B. APPLICATION FOR DCA RESOURCES**

As part of the DCA Qualified Application Plan (QAP) process the applicant is required to submit documentation that is also referenced in the DCA Architectural Manual (Submission Requirements). The following provides a description of submission requirements.

Applicable DCA forms:

- 2017 DCA Rehabilitation Work Scope form
- DCA Desirable/Undesirable Site Certification form

***NOTE: For Scattered Site Projects, Site Information and Conceptual Site Development Plan requirements must be met for each non-contiguous parcel unless a waiver is granted by DCA.***

***NOTE: A boundary survey may be required if the precise location and extent of the subject property appears to be ambiguous.***

### **1. Site Information and Conceptual Site Development Plan Threshold Criteria:**

#### **CONCEPTUAL SITE DEVELOPMENT PLAN (CSDP):**

The CSDP, while not intended to be a final site development plan should provide a clear insight into the proposed planned development and will be relied upon by DCA staff during the application process. The CSDP set consists of three DCA mandated sheets:

- “Cover Sheet”,
- “Existing Conditions Site Plan”
- “Conceptual Site Plan” (CSP)

The CSDP set should be configured using 11x17 sheet format and the two plan sheets must incorporate a color “aerial overlay” that extends a minimum of 100 feet from the subject property boundary. Each sheet should contain a “title block” that includes original issue date, revision dates, and sheet title and sheet numbers.

The CSDP set must include the following minimum sheets:

- a) **Sheet 01 - Cover Sheet**: This sheet shall include additional notes and information pertinent to the proposed design and shall include the following minimum information:
- Identify the proposed DCA Project Name and property address.
  - Provide a “Site Info” heading that includes total site acreage.
  - Provide a “Unit Info” heading that includes total number of residential units and total Net Rentable (Leasable) Square Footage as defined by the Architectural Manual.
  - Provide a “Building Info” heading that includes total number of residential buildings and total number of non-residential buildings.
  - Provide a “DCA Architectural Manual” heading and confirm full intended design compliance or note that a DCA approved pre-application Architectural Waiver is applicable.
  - Provide a “DCA Standard Site Amenities” heading and provide a reference key to the CSP for each of the proposed amenities (interior and exterior amenities).
  - Provide a “DCA Additional Site Amenities” heading and provide a reference key to the CSP for each of the proposed amenities (interior and exterior amenities).
  - Provide a “DCA Unit Amenities” heading that includes restating how this Threshold Criteria will be met.
  - Provide a “DCA Additional Requirements and Amenities for Senior Projects” that includes restating how this Threshold Criteria will be met.
  - Provide a DCA Conceptual Site Development Plan Info heading and list each of the following Threshold Criteria items and acknowledge compliance or note “N/A” for all items that don’t apply (provide a reference key where feasible):
    - All existing and proposed easements to be defined and indicated on plan.
    - Topographic contours at appropriate vertical intervals.
    - Wetlands, floodplains, and state waters located with areas of disturbance calculated for the Wetlands, including required buffer zones clearly delineated to reflect how they will impact the development of the site.
    - Use of all adjacent properties and structures within 100’ of the subject property boundary clearly defined both graphically and in written form. See the 2017 Architectural Manual Submission Requirements for further guidance.

- Zoning setbacks and restrictions graphically indicated.
  - Indication of all existing structures, tanks, slabs, utilities and any other improvements existing on the property at the time of application.
  - Indication of the all driving and walking entrance access to the property and a layout of all buildings, roads, Paved Pedestrian Walkways and parking areas.
  - Location of all interior and exterior site amenities indicated in the Application Form.
  - Defined areas of all tree and vegetation preservation.
- Provide a “DCA Building Sustainability” heading that includes restating how this Threshold Criteria will be met.
  - Provide a “DCA Accessibility Standards” heading that includes restating how this Threshold Criteria will be met.
  - Provide a “DCA Standard Design Options for All Projects” heading that includes restating how this Threshold Criteria will be met.
  - Provide a “DCA Sustainable Building Certification” heading that includes restating how this Scoring Criteria will be met or note “N/A” if not applicable (The Scoring Criteria is not a requirement of 4% Bond projects so this is certification would be optional in that case).
- b) **Sheet 02 - Existing Conditions Site Plan:** The Existing Conditions Site Plan sheet should be colorized for clarity and contain the proposed site boundaries and indication of all existing structures, tanks, slabs, utilities and any other improvements existing on the property at the time of application. The sheet must incorporate a color “aerial overlay” that extends a minimum of 100 feet from the subject property boundary.
- c) **Sheet 03 - Conceptual Site Plan:**
- The Conceptual Site Plan should be colorized for clarity and fill the majority of the 11x17 sheet and clearly delineate the boundary of the proposed site. ***NOTE: Other project phases should NOT be included on this sheet.***
  - All existing and proposed easements to be defined and indicated on plan. (information to be compiled from public records and other appropriate sources)
  - Topographic contours at appropriate vertical intervals.
  - Wetlands, floodplains, and state waters located with areas of disturbance calculated for the Wetlands, including required buffer zones clearly delineated to reflect how they will impact the development of the site. ***NOTE: See Environmental Review Guide for DCA limitations on the development of wetlands and floodplains.***

- Use of all adjacent properties and structures within 100' of the subject property boundary clearly defined both graphically and in written form. Graphic indication of adjacent properties will be addressed by incorporating a color "aerial overlay" into the conceptual site plan with adjacent properties labeled and any off site structures shown.
- Zoning setbacks and restrictions graphically indicated.
- Indication of all existing structures, tanks, slabs, utilities and any other improvements existing on the property at the time of application.
- Indication of the all driving and walking entrance access to the property and a layout of all buildings, roads, Paved Pedestrian Walkways and parking areas.
- Location of all interior and exterior (Standard & Additional) site amenities indicated in the Application Form.
- Defined areas of all tree and vegetation preservation.

## 2. Desirable Activities/Undesirable Scoring Criteria

DCA DESIRABLE/UNDESIRABLE SITE CERTIFICATION: This form must include locations and distances of desirable and undesirable activities within the vicinity of the proposed development and depict all desirable and undesirable activities or establishments, as described under the Desirable and Undesirable Characteristics section of the QAP. **NOTE: See the form for additional instructions/requirements.**

## 3. Rehabilitation Standards Threshold Criteria

- a. PHYSICAL NEEDS ASSESSMENT (See Rehabilitation Guide for additional requirements)
- b. DCA REHABILITATION WORK SCOPE (See Rehabilitation Guide for additional requirements)

## C. AWARDED PROJECTS

In order to ensure compliance with Georgia DCA's Architectural Standards for safe, decent, affordable housing, DCA monitors the design and construction of all projects awarded tax credits and/or HOME funds. As such, the project team is required to submit documents to DCA throughout the stages of design and construction, which is accomplished through the Construction Services (CS) Department's defined staged submission process as outlined below. Adherence to these requirements and periodic DCA staff consultation are essential to ensure that deadlines and QAP commitments are met.

The submittal process and procedural requirements, including a list of the documents required for each submission, are further detailed in the **2017 DCA Construction Services (CS) Transmittal** Excel workbook. The workbook includes submittal instructions and a program specific transmittal form for each program type (HOME, 9% Tax Credit only, and 4% Bond Tax Credit only projects). The 2017 DCA CS Transmittal workbook and applicable DCA documents will be made available on the DCA website prior to the DCA award letter:

Applicable DCA forms:

- 2017 Construction Services (CS) Transmittal
- 2017 Construction Document Log
- 2017 Schedule of Values
- 2017 Design Options & Amenities Recertification

### 1. HOME Funded Projects:

#### a. 60 DAY SUBMISSION

- Due: No later than 60 days after announcement of awards; or no later than March 1, 2018.
- Description: Includes items such as the ALTA Survey and Geotechnical Report which DCA uses to ensure that the project design can commence.

#### b. DCA REVIEW SUBMISSION

- Due: No later than May 1, 2018).
- Description: Includes items such as the "Review Set" of construction documents and DCA Schedule of Values which DCA uses to approve the project for DCA Loan Committee review.

c. LOAN CLOSING SUBMISSION

- Due: Prior to HOME loan closing which must occur on or before July 15, 2018.
- Description: Includes items such as the “Contract Set” of construction documents and executed Owner/Contractor Agreement which DCA uses for the HOME loan closing.

d. COMMENCEMENT SUBMISSION

- Due: Prior to construction commencement which must occur within nine (9) months of the date of the initial HOME commitment.
- Description: Includes items such as the Building Permit and Notice to Proceed which DCA uses to verify commencement of construction.

**2. 9% Tax Credit Only Projects**

a. 60 DAY SUBMISSION

- Due: No later than 60 days after announcement of awards; or no later than March 1, 2018.
- Description: Includes items such as the Survey and Geotechnical Report which DCA uses to ensure that the project design can commence.

b. COMMENCEMENT SUBMISSION

- Due: Prior to construction commencement which must occur no later than no later than September 30th, 2018.
- Description: Includes items such as the Building Permit and the Notice to Proceed which DCA uses to verify commencement of construction.

c. DCA FINAL INSPECTION SUBMISSION

- Due: When final retainage release contractor pay app is issued.
- Description: Includes items such as the Certificate of Substantial Completion and the Accessibility Clearance Letter which DCA uses to verify that the project is ready for the DCA Final Inspection.

d. CONSTRUCTION 8609 CLEARANCE SUBMISSION

- Due: Prior to final allocation of resources which is due no later than February 15, 2020.
- Description: Includes items like the Radon Testing Report and the Contractor Cost Certification which DCA uses to clear the project for issuance of the 8609.

### **3. 4% Bond Tax Credit Only Projects**

#### **a. 60 DAY SUBMISSION**

- Due: No later than 60 days after date of Letter of Determination.
- Description: Includes items like the Survey and Geotechnical Report which DCA uses to ensure that the project design can commence.

#### **b. COMMENCEMENT SUBMISSION**

- Due: Prior to construction commencement.
- Description: Includes items like the Building Permit and the Notice to Proceed which DCA uses to verify commencement of construction.

#### **c. DCA FINAL INSPECTION SUBMISSION**

- Due: When final retainage release contractor pay app is issued.
- Description: Includes items like the Certificate of Substantial Completion and the Accessibility Clearance Letter which DCA uses to verify that the project is ready for the DCA Final Inspection.

#### **d. CONSTRUCTION 8609 CLEARANCE SUBMISSION**

- Due: Prior to final allocation of resources which is due no later than September 15, 2020.
- Description: Includes items like the Radon Testing Report and the Contractor Cost Certification which DCA uses to clear the project for issuance of the 8609.



## D. HOME CONSTRUCTION DRAWS

For projects that utilize HOME funds, the project team is required to submit ALL development draws to DCA for review and approval by the DCA stipulated due dates. This includes soft cost only draws or where seeking other sources of funding

***NOTE: HOME Agreement: “The failure to send GHFA all Draw Requests, as required by this section, is an Event of Default”.***

There are two sets of DCA draw procedures to follow, one for the monthly interim draws and one for the final retainage draw. The DCA **2017 HOME Monthly Interim Draw Process** document will guide the teams through the interim draws (loan closing draw thru the 100% complete draw) and the DCA **2017 HOME Construction Closeout Process** document will guide the team through the Contractor’s final retainage pay app and the HOME construction closeout process.

***NOTE: See additional requirements indicated in the 2017 HOME Manual***

Applicable DCA forms/documents:

- 2017 HOME AIA form G702/703) Contractor Application for Payment
- 2017 Executed Change Order Log
- 2017 Subcontractor/Lien Waiver Log
- 2017 Draw Checklist
- 2017 HOME Monthly Interim Draw Process
- 2017 HOME Construction Closeout Process (final retainage draw)

## E. HOME CHANGE ORDER APPROVAL

For HOME projects ALL changes to the approved scope of work and/or construction contract must be approved by DCA **in advance of proceeding** with the work. Contractor shall not enter into, or permit to be effective, any change order to the Contract or any of the plans and specifications for the construction of the Project without Lender's prior written consent. **Architect** shall not change the plans and specifications for the Project or, on Borrower's behalf, authorize any change order relating to the construction of the Project without Lender's prior written consent. Draw requests shall **include evidence** that all change orders have been approved in writing by GHFA.

Applicable DCA forms/documents:

- Work Scope Change Request form
- Construction/Permanent Loan Agreement
- Contractor's Consent and Agreement
- Architect's Consent and Agreement
- HOME Addendum to Construction Contract
- 2017 HOME Manual

## F. THIRD PARTY FRONT END COST ANALYSIS (FECA)

A third party Front-end Cost Analysis (FECA) of the construction costs must be conducted post award for projects funded by programs administered through the DCA Office of Affordable Housing when there is an “Identity of Interest” between any Project Participant and the General Contractor.

The purpose of the Front-end Cost Analysis is to determine that all proposed hard costs are reasonable based upon a thorough review of all construction documents and existing property conditions.

The FECA, including a narrative report, completed DCA Schedule of Values and qualification package must be conducted by a Qualified Consultant.

For **HOME projects**, the Front-end Cost Analysis will be engaged by DCA upon submittal and approval of the DCA Schedule of Values.

For **Tax Credit only projects**, a “Qualified Consultant” is any individual who meets the following experience requirements and qualifications:

- Consultant must be **independent** from any Project Participant and the General Contractor and have the capacity to render a high quality report in accordance with the instructions and requirements set forth in the **HUD MAP** (multifamily accelerated processing) program and the Submission Requirements section of the Architectural Manual.
- Consultant must have no less than **five (5) years** of experience performing Front-end Cost Analysis for affordable rental housing projects.
- The consulting firm must have completed **three (3)** or more Architecture/Engineering Reviews and Cost Estimate Reviews for lenders pursuant to the HUD MAP (multifamily accelerated processing) program for the HUD Multifamily Hub offices (Atlanta Multifamily Hub is preferred); or firms that have prepared a review for a project that has HUD funding in conjunction with Low Income Housing Tax Credits and have completed **training** in the HUD MAP program.
- Consultant **must not** be presently debarred, suspended, proposed for debarment or suspension, declared ineligible or excluded from participation by any state or federal department, agency, or program.

- Consultant **must agree** to comply with all applicable laws, including, but not, limited to federal, state and local laws, codes, regulations, ordinances, rules and orders, including all laws concerning fair housing and equal opportunity that protect individuals and groups against discrimination on the basis of race, color, national origin, religion, disability, familial status, or sex.
- Consultants **must agree** to comply with the Immigration Reform and Control Act of 1986 (IRCA), D.L. 99-603, the Georgia Security and Immigration Compliance Act, the Illegal Immigration Reform and Enforcement Act of 2011 (O.C.G.A. §13-10- 90 et. seq.), and any other applicable state or federal immigration laws. Consultant must be registered with and using E-Verify.
- Consultant **must comply** with Drug Free Workplace requirements:
  - If Consultant is an individual, he or she must not engage in the unlawful manufacture, sale distribution, dispensation, possession or use of controlled substance or marijuana during the performance of FECA services.
  - If Consultant is an entity other than an individual, the entity certifies that a drug-free workplace will be provided for the Consultant's employees during the performance of FECA services.

The **qualification package** must contain, at minimum:

- Resumes of firm team members that will conduct the review;
- Description of relevant past work conducting architecture/engineering reviews and cost estimate reviews for HUD and Low Income Housing Tax Credit projects (project list);
- A (sample) copy of a cost estimate review performed for the HUD MAP program or HUD funding in conjunction with Low Income Housing Tax Credits.

## **G. MISCELLANEOUS**

- **Construction Period Related Documents:**

For projects with **Tax Credits only**, the Owner is NOT required to submit construction period related documents on a monthly basis to DCA during the construction period. However, during the construction period, DCA reserves the right to request documentation as needed to demonstrate that the project is in compliance with DCA design and construction requirements.

- **DCA Construction Inspector:**

During construction, the Owner is responsible for providing in a timely fashion to the DCA Construction Inspector all requested construction related documents (drawings and specifications, applications for payments, Change Orders, Architectural Supplemental Instructions (ASIs), Architect's Field Reports.