

# **2019 ARCHITECTURAL MANUAL**

## **APPENDIX II. SUBMISSION REQUIREMENTS**

### **I. OVERVIEW**

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

### **II. APPLICATION FOR DCA RESOURCES**

To receive funding under the Qualified Application Plan (QAP), the applicant must submit the following documentation.

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

For DCA Scattered Site Projects, each non-contiguous parcel must meet Site Information and Conceptual Site Development Plan requirements. DCA may require a boundary survey if the precise location and extent of the subject property is ambiguous.

The Conceptual Site Development Plan (CSDP) must clearly indicate the proposed development. DCA will rely on the CSDP during the application process. The CSDP set consists of three (3) DCA mandated sheets:

- **“Cover Sheet”,**
- **“Existing Conditions Site Plan”**
- **“Conceptual Site Development Plan” (CSDP)**

The CSDP set must be 11”x17” and the two plan sheets must incorporate a color aerial overlay. Each sheet must contain a title block that includes original issue date, revision dates, and sheet title and sheet numbers. *Combine all three DCA sheets into one single PDF file to submit.* The following describes requirements for these sheets:

#### **Cover Sheet (Sheet 01):**

This sheet must include additional notes and pertinent information to the proposed design. At a minimum, it must include the following headings names and numbers. The project team may include additional non-DCA headings, as needed. Please include the DCA Proposed Project Name and property address. See auto-populated coversheet form on DCA website.

- 1) **“DCA Site Info”** with total site acreage and Zoning & Land Use Classification as identified in the application section Threshold Site Zoning.
- 2) **“DCA Building Info”** with total number of residential buildings and total number of non-residential buildings.

- 3) **“DCA Unit Info”** with total number of residential units and total Net Rentable (Leasable) Square Footage (as defined by the Architectural Manual).
- 4) **“DCA Codes & Regulations”** with the applicable construction codes and accessibility standards.
- 5) **“DCA Architectural Manual”** with intention of full design compliance or note that a DCA approved pre-application Architectural Waiver is applicable.
- 6) **“DCA Standard Site Amenities”** with a reference key to the CSDP for each of the proposed Standard Site Amenities identified in the Core App Required Amenities Threshold section (both interior and exterior amenities).
- 7) **“DCA Additional Site Amenities”** with a reference key to the CSDP for each of the proposed Additional Site Amenities identified in the Core App Required Amenities Threshold section (both interior and exterior amenities).
- 8) **“DCA Unit Amenities”** with a list of proposed Unit Amenities identified in the Core App Required Amenities Threshold section.
- 9) **“DCA Additional Amenities for Senior Project or Special Needs Project”** with a list of the proposed Senior or Special Needs Amenities identified in the Core App Required Amenities Threshold section.
- 10) **“DCA Conceptual Site Development Plan Info”** with a list of the following Threshold Criteria items. Acknowledge compliance or note “N/A” for all items that don’t apply (provide a reference key where feasible). Indicate each of the following graphically and in written form:
  - All existing and proposed easements. Topographic contours at appropriate vertical intervals.
  - Wetlands, floodplains, state waters, wetland disturbance areas and required buffer zones.
  - Adjacent property and structure use, if within 100’ of the subject property boundary.
  - Zoning setbacks and restrictions. All existing structures, tanks, slabs, utilities and any other improvements existing on the property at the time of application.
  - All driving and walking entrance access to the property and a layout of all buildings, roads, Paved Pedestrian Walkways and parking areas.
  - All interior and exterior site amenities indicated in the Application Form.
  - All areas of tree and vegetation preservation.

- 11) **“DCA Building Sustainability”** with description of how this Threshold Criteria will be met.
- 12) **“DCA Accessibility Standards”** with the number of proposed Mobility Units, Roll-in Shower Units, Sight/Hearing Impaired Units and Senior Fair Housing Units (as identified in the Core App Accessibility Standards Threshold section).
- 13) **“13 DCA Standard Design Options for All Projects”** with a list of the proposed Exterior Wall Finishes, Major Building Component Materials & Upgrades and Additional Design Options (as identified in the Core App Architectural Design & Quality Standards Threshold section).
- 14) **“DCA Sustainable Building Certification”** with selected certification entity.

#### **Existing Conditions Site Plan (Sheet 02):**

- a) Colorize the existing Conditions Site Plan sheet for clarity. Fill the majority of the sheet. Do not include other project phases on this sheet.
- b) A colorized aerial overlay that extends a minimum of 100’ from the subject property boundary.
- c) The boundary of the proposed site.
- d) The use of all adjacent properties and structures within 100’ of the subject property boundary, and in writing. Graphic indication of adjacent properties must use a color aerial overlay, with adjacent properties labeled and any off site structures shown
- e) All existing structures, tanks, slabs, and any other improvements existing on the property at the time of application.
- f) All existing public water and sewer utilities.
- g) All existing easements (compiled from public records and other appropriate sources).

#### **Conceptual Site Plan (Sheet 03):**

- a) Colorized for clarity. Fill the majority of the 11x17 sheet. Other project phases must NOT be included on this sheet.
- b) A color aerial overlay. Does not need to extend a minimum of 100 feet from the subject property boundary (Existing Conditions Site Plan only).
- c) The boundary of the proposed site. All proposed easements, graphically and in writing (compiled from public records and other appropriate sources).

- d) Wetlands, floodplains, state waters, wetland disturbance areas, and required buffer (See Environmental Review Guide for wetland and floodplain development limitations).
- e) All zoning setbacks and restrictions.
- f) The pedestrian entrance location point along site boundary (for Scoring Desirables).
- g) The driving entrance location point along site boundary (for Scoring Desirables).
- h) Location of all interior and exterior (Standard & Additional) site amenities (as indicated in the Application Form and the plan Cover Sheet).
- i) All areas of tree and vegetation preservation, defined graphically and in writing.
- j) Off-Site work scope (i.e. entry roads, sewer outfalls/lift stations, as identified in the Uses of Funds section of the Core App).
- k) The proposed connection points to the existing public water and sewer utilities.

#### **B. Rehabilitation Standards Threshold Criteria**

- 1) Physical Needs Assessment (See Rehabilitation Guide)
- 2) PNA Fannie Mae forms (Excel Workbook)  
DCA Rehabilitation Work Scope (See Rehabilitation Guide)

### **III. AWARDED PROJECTS**

The submission process and procedural requirements, including documents required for each submission, are detailed in the 2019 DCA Construction Services (CS) Transmittal Excel workbook (available on the DCA website):

- 2019 Construction Services (CS) Transmittal
- 2019 Construction Document Log
- 2019 Schedule of Values
- 2019 Design Options & Amenities Recertification

Developments with hard cost increase of 5% or more from application submission are subject to additional cost reasonableness review, supporting documentation requests, and possible project-start delay.

#### **A. HOME Funded Projects:**

##### **1) 60 DAY SUBMISSION**

- 9% Due: No later than 60 days after the date of the Carryover Allocation Letter and/or HOME Reservation Letter.
- 4% Due: No later than 60 days after announcement of awards
- Description: To ensure that the project design can commence. Includes items such as the 3<sup>rd</sup> Party Cost Reviewer qualification package, ALTA Survey, and Geotechnical Report.

2) DCA REVIEW SUBMISSION

- 9% Due: 30 days prior to Construction Loan and no later than May 1, 2020.
- 4% Due: 30 days prior to Construction Loan
- Description: To approve the project for DCA Loan Committee review. Includes items such as the “Review Set” of construction documents, FECR report, and DCA Schedule of Values.

3) LOAN CLOSING SUBMISSION

- 9% Due: 30 days prior to DCA Construction Loan Closing.
- 4% Due: 30 days prior to DCA Construction Loan closing.
- Description: For the approval of HOME loan closing. Includes items such as the “Contract Set” of construction documents, finalized schedule of values, and executed Owner/Contractor Agreement.

4) COMMENCEMENT SUBMISSION

- 9% Due: 30 days before Construction Commencement and no later than November 15<sup>th</sup>, 2020
- 4% Due: Prior to 30 days of Bond Finance Closing date
- Description: To verify construction commencement. Includes items such as the building permit(s), finalized construction schedule, and official Notice to Proceed.

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

1) 60 DAY SUBMISSION

- Due: No later than 60 days after the date of the Carryover Allocation Letter
- Description: To ensure that the project design can commence. Includes items such as the 3<sup>rd</sup> Party Cost Reviewer qualification package, Resident Engagement Survey, ALTA Survey, and Geotechnical Report.

2) COMMENCEMENT SUBMISSION

- Due: 30 days prior to construction commencement.
- Description: To verify commencement of construction. Includes items such as the FECR report, Building Permit, Contract Set of Drawings, and the Notice to Proceed.

3) DCA FINAL INSPECTION SUBMISSION

- Due: Due within 30 days of final retainage draw certified pay application date.
- Description: To verify that the project is ready for the DCA Final Inspection. Includes items such as the Certificate of Substantial Completion and the Accessibility Clearance Letter.

4) CONSTRUCTION 8609 CLEARANCE SUBMISSION

- Due: Prior to final allocation of resources, which is spelled out in your 2019 Carryover Allocation Letter

- Description: To clear the project for issuance of the 8609. Includes items like the Radon Testing Report and the Contractor Cost Certification.

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

#### 1) 60 DAY SUBMISSION

- Due: No later than 60 days after announcement of awards
- Description: To ensure that the project design can commence. Includes items like the 3<sup>rd</sup> Party Cost Reviewer qualification package as well as ALTA Survey and Geotechnical Report.

#### 2) COMMENCEMENT SUBMISSION

- Due: Due within 30 days of construction commencement.
- Description: To verify commencement of construction. Includes items like the FECR report, Building Permit, and the Notice to Proceed.

#### 3) DCA FINAL INSPECTION SUBMISSION

- Due: Due within 30 days of final retainage pay app.
- Description: To verify that the project is ready for the DCA Final Inspection. Includes items like the Certificate of Substantial Completion and the Accessibility Clearance Letter which DCA uses.

#### 4) CONSTRUCTION 8609 CLEARANCE SUBMISSION

- Due: Due prior to final allocation of resources, which is spelled out in your 2019 LOD Award.
- Description: To clear the project for issuance of the 8609. Includes items like the Radon Testing Report and the Contractor Cost Certification.

## **IV. HOME CONSTRUCTION DRAWS**

For projects that use 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. This is outlined in the 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, one for the monthly interim draws and one for the final retainage draw. The *DCA 2019 HOME Monthly Interim Draw Process* document is a guide to the interim draws (loan closing draw thru the 100% complete draw) and the *DCA 2019 HOME Construction Closeout Process* document is a guide to the Contractor’s final retainage pay app and the HOME construction closeout.

*See additional requirements indicated in the 2019 HOME Manual.*

Applicable DCA forms/documents:

- 2019 HOME AIA form G702/703) Contractor Application for Payment
- 2019 Executed Change Order Log
- 2019 Subcontractor/Lien Waiver Log
- 2019 Draw Checklist
- 2019 HOME Monthly Interim Draw Process
- 2019 HOME Construction Closeout Process (final retainage draw)

**V. 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. The contractor must 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. *The architect* must 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 must *include written evidence* of GHFA approval of all change orders.

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
- 2019 HOME Manual

**VI. THIRD PARTY FRONT END COST REVIEW (FECR)**

A third-party Front-End Cost Report (FECR) of the construction costs must be conducted post-award for projects funded by programs administered through the QAP. For all projects, owners must submit a 3<sup>rd</sup> Party Cost Reviewer qualification package and report. Owners may not close equity until after the review is complete. DCA must approve the analyst's qualifications beforehand. DCA will have forty-five (45) days to respond to the analysis plus any days added for questions or clarifications.

A DCA Qualified Consultant must conduct the FECR and include a narrative report.

The report package must include the following completed forms:

- Cost Certification Review Worksheet, HUD Form 92331-B (completed by consultant)
- Project Cost Estimate, HUD Form 92326 (completed by consultant)

- DCA Schedule of Values (completed by contractor)

For *all* projects, a “DCA 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 Report 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 or the HUD Multifamily Hub offices; or have prepared a review for a project that has HUD funding and Low Income Housing Tax Credits and are *trained* in the HUD MAP program.
- Consultant must not be presently (or proposed to be) debarred, suspended, 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.
- 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:

The **DCA Qualification Package** must contain, at minimum:

- A statement letter certifying that the consultant meets the minimum DCA Qualified Consultant experience requirements and qualifications as outlined above.
- 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.

*(Continued on the Next Page)*



## **VII. 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 project compliance with DCA design and construction requirements.

### **DCA Construction Inspector:**

During construction and in a timely fashion, the Owner is responsible for providing 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, etc.).