

ARCHITECTURAL SUBMITTAL INSTRUCTIONS

These guidelines are established as an aid to the applicant and the development team, detailing the necessary submissions, cost controls, scheduling, approvals and procedures to be used during development of the application. Disciplined adherence to these requirements, together with periodic consultation with DCA staff, is essential to ensure that scheduling deadlines are met and that a high quality project will result. All submittals are required to be on the most current standard forms issued by the American Institute of Architects (AIA) as applicable.

I. STEP 1: DUE WITH ALL APPLICATIONS FOR DCA RESOURCES:

A. Summary

1. Location/vicinity map
2. Conceptual Site Development Plan
3. Desirable/Undesirable Site Certification
4. Environmental Site Assessment
5. Physical Needs Assessment, work scope, and budget
6. Color photographs of the property and adjacent surrounding properties and structures, with location map

NOTE: For 4% LIHTC Bond financed properties, Step 2 design development/construction documents must be submitted at the time of application.

B. Application documentation (All DCA funding sources)

1. Location/Vicinity map:

This map should indicate adjacent land uses, existing roads and/or streets and significant facilities such as schools, hospitals, retail, public transportation and recreation areas.

2. Conceptual Site Development Plan:

(This plan is not intended to be a final site development plan; there is no requirement for an ALTA survey at this time.)

The conceptual site development plan shall include the following information:

- Easements existing on the property are to be indicated on the plan. (Information to be compiled from public records and other appropriate sources.)
- Wetlands, floodplains, and possible state waters are to be located in relation to all site improvements, including

buildings, paving, and site amenities, including the delineation of all buffers required by state and local jurisdictions with areas of disturbance indicated and calculated. (This information must be supported by the wetlands map and wetlands delineation report and floodplain map submitted in the Environmental Site Assessment Report. See Environmental Review Guide for DCA limitations on the development of wetlands and floodplains.)

- Use of all adjacent properties indicated both graphically and in written form.
- All zoning setbacks and any other zoning restrictions for the subject property to be graphically indicated
- An indication of all structures, slabs, tanks and any other improvements existing on the property.
- An indication of any other features physical or otherwise that would affect the development of the subject property.
- The location of the proposed entrance access to the property and a layout of all buildings, roads, parking areas, etc.
- All amenities indicated on the Application Form must be located on the site plan;
- An indication of all areas of tree and vegetation preservation.

3. Desirable/Undesirable Site Certification:

This form must include location and distances of desirable and undesirable activities within the vicinity of the proposed development. This form must depict all desirable and undesirable activities or establishments, as described under the Desirable and Undesirable Characteristics section of the QAP. This form is required for all applications.

4. Environmental Site Assessment (See Environmental Manual)

5. Physical Needs Assessment, work scope, and budget (See Physical Needs Assessment Guide, contained within this manual)

6. Color photographs of the property and adjacent surrounding properties and structures, with location map:

Aerial photographs are required for HOME and 9% LIHTC financed properties. The use of online satellite map programs for aerial pictures, such as Google Earth and Mapquest, is permitted

only if the pictures are current (taken within 6 months of application date) and have a high enough resolution to clearly identify the existing property and adjacent land uses. Approximate property boundaries must be marked. Black and white photographs are not acceptable.

II. STEP 2: DESIGN DEVELOPMENT DOCUMENTS Due 90 DAYS FROM CARRYOVER ALLOCATION DATE (for HOME and 9% LIHTC funding sources)

A. Summary

1. Comprehensive drawings and specifications
2. Soils boring report (new HOME projects only)
3. Schedule of values
4. Construction schedule
5. Contractor Qualification Statement (AIA form 305) (HOME only)
6. Architect statement regarding compliance with local and state building codes and federal and state accessibility requirements (504, ADA, and Fair Housing) (HOME only)
7. Owner/Architect Agreement (HOME only)
8. Owner/Contractor Agreement
9. Boundary/site survey
10. Accessibility report (as applicable to scoring requirements)

B. General requirements

1. Comprehensive drawings and specifications

a. General Requirements

1. Submissions

Each submission at Step 2 and Step 3 should include the following basic information:

- i. The proposed number of buildings and dwelling units
- ii. The apartment type distribution, unit and project square footage
- iii. All other relevant requirements, as indicated in the Plan.

2. Drawings - Size and Scale

All drawings submitted to DCA must be in a format to ensure they are legible and represent a complete set of construction documents.

Suggested scales for the drawings are:

- i. Site Plans: 1" = 20' (or as appropriate)
- ii. Building plans, elevations, and sections: 1/8" = 1'
- iii. Unit plans and other areas requiring more detail: 1/4" = 1'
- iv. Details should be at a scale to adequately illustrate the requirements for construction.

3. Specifications

Construction specifications shall be prepared in accordance with Construction Specifications Institute (CSI) format. Either the "alpha-numeric" or "five-digit" identification systems will be acceptable.

4. Code Conformance

DCA requires conformance with all applicable codes, and the most restrictive code shall govern. Approval by the various state and local authorities (building, environment, plumbing, etc.) must be obtained and submitted to DCA. This requirement is applicable to rehabilitation projects as well as new construction.

5. Developer/Sponsor Approval - DCA Acceptance

All required documents and any revisions or applications thereto shall be subject to written approval of the Developer/Sponsor and DCA. Significant variations from approved documents shall be communicated to the Developer/Sponsor and DCA as soon as the extent and cost impact are known. **Such variations shall not be incorporated without approval.**

Approval or acceptance by DCA does not constitute a waiver of the Architect's or Engineer's responsibility for all required documents, nor does it constitute approval as measured by A/E standards. The approval herein is limited to DCA's agreement that the

documents comply with DCA's program objectives.

At the time of submission, the proposed plans are in compliance with all applicable Federal, State and local building and accessibility laws, codes, ordinances, and regulations and provide a valid copy of the Architect's Certificate of License.

b. Design/Construction Drawings:

This submission shall consist of a correlated set of documents that incorporate the development and refinement of the proposed and approved certified application to completely satisfy the scope and intent of the development. All design concepts, systems and materials must be sufficiently defined and graphically presented such that a detailed cost estimate can be made, and accurate construction bids may be obtained. All unusual items must be substantially developed to eliminate unknowns. Submit two copies each. Submissions required:

1. Cover Sheet: The cover sheet shall include:

All information as requested in the general requirements sections plus:

- a. Signature lines for Sponsor/Developer, Architect, G/C as to the authenticity of final plans; and
- b. Completed code review with all applicable codes listed for compliance including but not limited, to building, energy, and zoning; and
- c. Tabulation of units, square footage and all amenities that were certified in the application and are included in the final design; and
- d. Certification of adherence to all applicable Federal, State and DCA accessibility laws and requirements.

2. Site Plan(s):

(The site plans are mandatory for all construction both new and rehabilitation) The site plan(s) should further define the building and road layout included in the application to an exact scale. Specific relationship of unit arrangement, relationship of

structure to site, site grading, circulation, lighting, paving, screening, setbacks, parking, play areas, and recreation areas, should be communicated in this phase. Show new and existing contours, controlling grades, all surface features, adjacent drainage flow, inlet elevations, elevations of buildings and the relationship of buildings to existing or proposed roads. This drawing must be essentially complete so that accurate quantities and associated cost estimates can be obtained. It should include but not be limited to the following:

- a. Structures: location, shape, size, arrangements and groupings;
- b. Circulation: location and materials of vehicular and pedestrian routes, indicate access for the disabled, & locate units equipped for the disabled;
- c. Recreation: location and type of facilities (these amenities must support the original application); the accessible route through the property for handicapped accessibility must be clearly indicated.
- d. Parking: location, material, number of spaces, and parking ratio. Indicate parking spaces designated for the disabled;
- e. Grading: resolution of special and typical site drainage, general grading character, proposed and existing contours, including landscaping berms;
- f. Planting: the tree save areas must now be clearly indicated with details for preservation of the individual trees and vegetation that supports the points allocated in the application;
- g. Lighting: site lighting locations, character of such lighting and building lighting should be clearly defined;
- h. Contract limit line, retaining walls (existing/required), fencing, detention/retention basins, etc., to illustrate extent of improvements intended for entire site; **Note: All retention/detention ponds must be fenced where there is a safety hazard to residents;** and

- i. Existing and proposed contours at one foot intervals, including existing off-site contours adjacent to development to facilitate evaluation of off-site impact to the project.
 - j. Engineered site development plans are required at this time, and sufficient information must be submitted to indicate complete site development.
3. Site Utility Plan(s): indicate all utility systems on one drawing if the final drawing presents a clear representation. The scale shall be the same as the site plan to identify mutual relationships. The drawings must show the building(s), road, walks, etc. Show essentially complete development of the intended site utility systems, including inverts and sizes with, profiles and details. If substantial variations from schematic layout occur, local authority approval must be obtained. The site utility plan shall show:
 - a. sanitary disposal system;
 - b. storm water disposal system;
 - c. domestic water supply system;
 - d. electrical service;
 - e. site lighting; and
 - f. gas supply as applicable.
4. Landscape Plan(s):
 - a. Show general treatment to be provided (i.e., grass area, planting area, sprinklers etc.).
 - b. Indicate all existing vegetation and trees to be protected during construction.
 - c. Indicate accurate locations of all trees and other vegetation in specific areas to support the allocation of all landscaping points.
 - d. Indicate direction of rainwater runoff from building downspouts.
 - e. Sprinkler systems must be indicated where they are intended to be installed.
 - f. This document must substantiate all selections for the allocation of points in the application.

5. Composite Floor Plans: - Scale not less than 1/8" = 1'-0"
 - a. Show dimensions and functional arrangement of all areas including corridors and utility spaces, properly related to exterior accesses, vehicular parking, service areas, etc.
 - b. These plans must include to all community buildings and facilities, and non-residential spaces.
 - c. Overall dimensions must be indicated with a general layout of units with referencing to individual plans.
 - d. Indicate accessible route of travel on first floor plans.
6. Composite Roof Plan: (optional) - Scale not less than 1/8" - 1'-0"
 - a. This document is not required if all essential information is contained on the site plan or other drawing.
 - b. Indicate roof ridges, valleys, intersections and roof overhangs and including roof slope and building outline.
 - c. Indicate all mechanical equipment, vents, roof drains, gutters and downspouts, and any other roof mounted items.
7. Unit Floor Plans: - Scale not less than 1/4" = 1'-0"
 - a. Separate floor plans of each unit type, including end units and identify with a number or letter with references to composite plan.
 - b. All dimensions must be indicated including outdoor patios, terraces, porches or balconies, and all indoor wall locations and openings.
 - c. Windows and exterior and interior door locations indicating swing must be indicated and must key to schedule.
 - d. Indicate all permanently installed features and equipment, including kitchen appliances, cabinets, shelving, plumbing fixtures and mechanical equipment.
 - e. Indicate units equipped for access for the disabled,

and the modifications included for mobility, hearing and sight disabilities.

8. Elevations: - scale not less than 1/8" = 1'-0"
 - a. Indicate design of all exterior views including courts and offsets.
 - b. Indicate the extent of all major exterior materials (the exterior materials must support the application for all points allocated in the design categories).
 - c. Indicate the existing and proposed grades at buildings.
 - d. Indicate floor lines and elevations.
 - e. Indicate gutters and downspouts, and show direction of rainwater runoff (**Note: seamless gutters and downspouts are mandatory on all buildings, new and existing**)
 - f. Indicate windows, doors, openings, vents, louvers, utility meters and equipment.
 - g. Outline depth below grade and stepping of building footings as applicable.
9. Building Sections: - Scale not less than 1/8" = 1'-0"
 - a. Show floor height, expansion joints, horizontal ceiling joints, vertical control joints, fenestration, suspended ceilings (if any), partitions and adaptations to finish grade.
 - b. Show materials, thickness, method of attachment and relation of fenestration to supporting columns or walls.
 - c. This section must be referenced to larger scale details.
10. Detail Sections: - Scale not less than 1/2" = 1'-0"
 - a. Indicate each common wall type, fire wall, typical exterior wall, bearing and non-bearing, complete from footing to roof deck.
 - b. Indicate size and spacing of all framing members, opening heights, sill and header conditions, roof overhangs, gutters and downspouts.
 - c. Indicate all interior and exterior finishes including

roof and wall insulation. (Details must be included to support any points allocated for the structure to exceed Georgia Energy Codes.)

11. Construction Details:

(The details must be submitted with the Step 2/3 documents as appropriate.)

- a. Indicate interior elevations (scale not less than 1/4" = 1'-0")
- b. Indicate all built-in cabinets in kitchen and baths, any fireplace surrounds, built in shelving, and other fixtures.
- c. Indicate stair details (scale not less than 1/2" = 1'-0")
- d. Include plans, elevations and sections as required to indicate rise and run, dimension headroom, handrails, balusters and guardrails.
- e. Indicate any special conditions as necessary to completely detail foundations, sills, walls, windows and doors, overhangs, roofs and projections.
- f. Detail features for accessibility modifications to units and buildings as applicable.
- g. Details to indicate that the structure exceeds Georgia Energy Codes, if points have been allocated.

12. Schedules:

(The schedules must be submitted with the Step 3 documents as appropriate.)

- a. Complete information on door and windows including size, type and frame details
- b. Include interior treatments and finishes, including floors, base, wall ceiling and trim for all spaces.

13. Composite Foundations Plan– scale not less than 1/8"=1'-0":

- a. Indicate foundation wall dimensions, offsets, heights.
- b. Indicate location, sizes and connections of foundation drainage systems.
- c. Indicate footing locations, sizes, and depths.
- d. Indicate locations and sizes of pads, piers, and

- openings.
 - e. Indicate slab construction and thickness.
 - g. Indicate locations, sizes, spacing, and directions of reinforcing.
 - h. Include notes on drawing stating allowable soil pressure and required concrete and steel strengths, and other pertinent design information as appropriate.
14. Structural Framing Plans
- a. Include plans and details for each floor level and roof construction if not adequately presented on foundation and unit floor plans.
 - b. Indicate the size and spacing of floor, wall, ceiling and roof framing.
 - c. Indicate the size and spacing of columns, piers and posts.
 - d. Indicate the size, type and construction of beams, headers, and lintels.
15. Structural Details:
(Details must be included in the Step 3 documents as appropriate.)
Include details sufficient to allow completion of construction (scale not less than 1/2" = 1'-0").
16. Heating, Ventilation and Air Conditioning Drawings:
- a. Include plans showing all floors and all utility rooms. Indicate location of all HVAC equipment, all major piping, and all duct runs in utility rooms (as applicable) and all floors. All major ducts must be sized. All unusual arrangements must be shown.
 - b. Include a plan showing the typical floor and/or apartment units indicating supply, exhaust and transfer duct systems, and the location of terminal heating units.
 - c. Include on architectural roof plan locations of roof-mounted equipment such as exhaust fans, cooling tower, etc. (as applicable).
 - d. Include at least a partially completed series of

equipment schedules (as applicable) indicating all HVAC equipment by symbol designation, name and estimated size or capacity in BTU, GPM, gallons, etc. **(Note: Individual unit heating and air conditioning is mandatory on all projects, both new and existing).**

- e. Indicate all components and construction type that will support any points allocated for the equipment and structure to exceed the Georgia Energy Codes.

17. Plumbing Drawings:

- a. Include plans showing all floors and all utility rooms. (as applicable). Pipe sizes should be included and the location of piping is necessary for coordination purposes. Indicate connections to the site utility piping and any non-standard piping arrangements.
- b. Include plan and riser diagrams showing the typical floor and/or apartment units, specifically to show fixtures, sanitary and hot and cold water riser locations. Indicate fire standpipes and gas piping diagrams as applicable.
- c. Provide a reasonably completed series of equipment schedules indicating all plumbing equipment by symbol designations, name and estimated size or capacity, i.e., GPM, gallons, etc.

(Note: Private water wells or sewer systems are not allowed on any projects both new and existing)

18. Electrical Drawings:

- a. Include plans showing all floors and utility rooms as applicable. Indicate locations of all equipment associated with the electrical trade as defined in the specifications. Show intended location of all services and distribution wire, cable and duct runs. Sizes should be indicated. Indicate connection to the site system. Also indicate all unusual configurations.
- b. Include a plan showing the typical floor and/or apartment units indicating the electric power panel

locations (show typical wiring, lighting, smoke detectors, thermostats, telephones, cable television, power outlet locations and all other components that are required to meet building and safety codes, for each apartment unit).

- f. Provide an electrical schedule indicating all lighting fixtures including site lighting and all other information required to meet building and safety codes.
- g. As applicable include all equipment and/or structure that indicates that the structure exceeds the Georgia Energy Codes.
- d. Provide the electric distribution and riser schematics as applicable to show the concept. (Sizes should be shown and all major electric equipment should be shown, i.e., generator, switch board, meter, riser to elevator, etc. as applicable.)
- e. Indicate the estimated size of the service equipment (switch board), main disconnect (i.e., 200 amperes).

c. Specifications:

Submit specifications in detail, including all divisions and sections of the work to be completed under the immediate work scope. The specification must indicate all materials that have been certified at exceeding DCA requirements where points were allocation in the application process.

2. Soils Boring Report:

Include a complete log of subsurface conditions, location of plan of all borings made and include engineer recommendations for foundation and paving design and allowable soil bearings. For all new HOME funded construction. Submission not required for 4% Bond financed projects and 9% LIHTC funded projects.

3. Schedule of Values

A schedule of values must be prepared by the Contractor based upon a

quantity take-off of the design development/construction documents, and must be sufficiently detailed so as to permit evaluation. The breakdown must be detailed by trade and follow the specification format. The Contractor must be willing to provide DCA with any additional information requested to verify construction estimating procedures to the satisfaction of the agency. The finalized schedule of values will follow industry standard procedures for development cost control.

4. Construction Schedule:

Submit an estimated construction schedule in graph form to indicate construction period, scheduling of trades and total construction period. This graph should indicate time in monthly increments, and the construction should be broken into trades. This schedule should be prepared by the contractor and approved by developer/sponsor prior to submission to DCA.

C. Renovation/Rehabilitation Requirements:

Contracts and other documentation as indicated above. The drawings package should accurately indicate all work to be completed on the property. Complete drawings and specifications are required for all rehabilitation proposals and must present a unit by unit work scope to support the original application.. The package should be similar to the requirements for new construction and must include detailed documentation of the structure to be rehabilitated, structurally modified and/or any new additions. DCA may consider a modification of the documentation package but the applicant must apply for a waiver of this requirement to DCA prior to application submittal.

The work scope must be written to augment the required drawings to indicate all work to be performed on a **unit by unit** basis. The written work scope must be enumerated on the per unit basis and must accurately indicate all work to be undertaken in every unit, every building interior and exterior and in every part of the property that is to be included in the completed project. **Percentage estimates are insufficient for the purposes of the definition of either the work scope or the construction schedule of values.**

All costs are to be verified and certification is to be provided that all building and

safety codes, all abatement and all accessibility requirements have been incorporated in the construction documents and the final work scope.

Note:

- a. Building Permits are required for all rehabilitation/renovation projects. In a jurisdiction where there is no permitting procedure, a letter from the governing jurisdiction must be submitted to show the review process has been followed and the construction proposals meet all applicable state and local building and planning codes.
- b. Projects that have construction costs that exceed 75% or more of the replacement cost of the completed property are considered new construction by DCA. See Physical Needs Assessment Guide and Architectural Guide for more information.
- c. **Certificates of Occupancy that will allow immediate use of the buildings and units are required prior to the issuance of final allocation of LIHTC, on or before the deadline as defined in the allocating year for the credits. The applicant may find the DCA standards are greater than the IRS requirements. DCA may consider a modification of this higher standard under extenuating circumstances such as a Presidential Emergency Order. The applicant must verify conditions for such modifications with DCA in a timely manner if it appears the IRS completion deadlines cannot be met. (See the Qualified allocation Plan for further IRS and DCA requirements)**

III. STEP 3: DUE BEFORE LOAN CLOSING (for HOME) OR BEFORE CONSTRUCTION COMMENCEMENT (for 9% LIHTC):

Note: Refer to the HOME Manual for other documentation and procedures that are required for the disbursement of HOME funds, HOME Loan conversion and repayment.

A. Summary

1. Final Permit/Construction Drawings with all revisions completed
2. Final Owner/Contractor Agreement
3. Final Construction schedule
4. Notice to Proceed for construction activities

Each submission at Step 2 and Step 3 should include the basic information indicated above. At the time of submissions, the applicant must provide evidence that the proposed plans are in compliance with all applicable Federal, State and

local building and accessibility laws, codes, ordinances, and regulations. All drawings in the final permits/construction set shall be sealed with the Architect of Record's stamp and signature. All other engineered drawings within the set shall also be sealed and signed by each required discipline.

B. General Requirements

1. Final Permit/Construction Documents

This submission of Contract Documents shall be consistent with the approved construction cost estimate, drawings and specifications established in the previous submissions. The documents submitted must be complete construction documents, setting forth in detail and describing thoroughly all of the work to be done during construction of the development. These requirements apply to both new construction and rehabilitation of existing properties.

Submit **two** copies of each required item to DCA

Drawings: The construction documents must include those which may be necessary to make this submission 100% complete. Any information not completed in previous documents, such as HVAC, plumbing and electrical panel schedules, shall be provided for this submission. These documents should be stamped for construction by the Local Building Authority. These documents must incorporate any revisions and requirements indicated in DCA architectural reviews.

Specifications: The final development specifications shall be tightly bound. Each page shall contain Development Number, page number, and division or subject identification.

The following shall be included:

- a) Cover, with pertinent development data;
- b) Signature sheet;
- c) Index;
- d) General Conditions & Special Conditions (if applicable);
- e) Federal wage requirement, Davis Bacon, etc.; and
- f) Technical Specifications.

Utility Approvals. This submission must include specific written local

and governmental approvals regarding all utilities and services and should include Building Permits for the development. Technical closing shall not occur without submission of all required approvals.

Following DCA acceptance of the complete set of Contract Documents, a formal Construction Loan Closing shall be held for HOME funded projects. In the event that the final documents are not one hundred (100%) complete, the required changes, additions and clarifying sketches shall be assembled into an Addendum, which shall become a part of the closing documents. The Addendum must be acceptable to DCA prior to actual closing, or shall be made part of the requirements for first draw from the construction loan. All Closing Requirements must be verified with DCA underwriters on an individual project basis.

Submit local authority approval of site and site utility plan, if such approvals are required. Submit local authority approval of all fire prevention procedures, i.e., installation of fire sprinklers, alarm systems, emergency lighting, etc.

IV. STEP 4: DUE BEFORE FINAL ALLOCATION OF RESOURCE (4% LIHTC Bond financed and 9% LIHTC):

A. DCA requires the submittal of all construction documentation including all draw requests, change orders, architect and consultant inspection reports and any other construction related information on a monthly basis during the construction period.

B. Certificates of Occupancy

Certificates of Occupancy must allow immediate use of the buildings and units, on or before the deadline as defined in the allocating year for the LIHTC. The applicant may find the DCA standards are greater than the IRS requirements. DCA may consider a modification of this higher standard under extenuating circumstances such as a Presidential Emergency Order. The applicant must verify conditions for such modifications with DCA in a timely manner if it appears the IRS

completion deadlines cannot be met. In a jurisdiction where Certificates of Occupancy are not issued, a letter from the Local Authority indicating the property meets all State and Local building and fire codes must be submitted to meet the IRS and DCA requirements. (See Qualified Allocation Plan for further requirements)

DCA reserves the right to inspect all properties prior to issuance of Final Allocation of LIHTC. Any items of non-compliance with building codes, accessibility codes and DCA requirements must be corrected prior to issuance of Final Allocation for the LIHTC. Refer to the Qualified Allocation Plan for further IRS and DCA requirements.