

## 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 (Rehab only)
6. Rehabilitation Work Scope (Rehab only)
7. 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, with the delineation of all buffers required by state and local jurisdictions and 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, above ground and underground 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 locations 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 (See Rehabilitation Guide contained within this manual)
6. Rehabilitation Work Scope (See Rehabilitation Guide contained

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

**Aerial photographs** are required for all 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 as directed in the QAP (for projects awarded resources during competitive funding rounds); Due at Application for 4% LIHTC/bond projects.**

### **A. Summary**

#### **ALL PROJECTS**

1. Comprehensive drawings and specifications
2. Boundary/site survey
3. Drawing Log
4. Executed contract with qualified accessibility consultant and consultant's Step 2 plan review
5. Evidence of compliance with required HERS rating
6. Contractor approval request package (see page 24 of 58 QAP – Core)
7. Draft Owner/Contractor Agreement
8. DCA format schedule of values
9. Construction schedule
10. E-verify affidavits
11. Building Sustainability Certification (ONLY for projects that are not certifying in a green building program)
12. Third party cost review (contractor identity of interest only)

#### **DCA LOANS ONLY (HOME)**

1. ALTA/ACSM Land Title Survey
2. Executed Owner/Architect Agreement
3. Soils boring report (new construction)

## **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 formatted 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 must be in compliance with all applicable Federal, State and local building and accessibility laws, codes, ordinances, and regulations. The proposed plans must be validated by the Architect's seal.

**b. Design/Construction Drawings:**

This submission shall consist of a correlated set of documents that synthesize the development and refinement of the proposed and approved certified application while encompassing the scope and intent of the development. **All design concepts, systems and materials must be sufficiently defined and graphically presented in such a manner that detailed cost estimates 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(s) shall include:
  - a. All information as requested in the general requirements sections plus:
  - b. Signature lines for Sponsor/Developer, Architect, and

- c. Completed code review with all applicable codes listed for compliance including but not limited, to building, energy, and zoning; and
- d. Tabulation of units, square footage and all amenities that were certified in the application and are included in the final design; and
- e. Certification of adherence to all applicable Federal, State and DCA accessibility laws and requirements.

2. Site Plan(s):

- a. (The site plans are mandatory for all construction both new and rehabilitation) The site plan(s) should, to an exact scale, further define the building and road layout included in the application.. Specific relationships of unit arrangements, the relationships of structures 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 property drainage flow, inlet elevations, elevations of buildings and the relationships 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:
  - b. Structures: locations, shapes, sizes, arrangements and groupings;
  - c. Circulation: locations and materials of vehicular and pedestrian routes;
  - d. Recreation: locations and types of facilities (these amenities must support the original application); the accessible routes through the property for handicapped accessibility must be clearly indicated.
  - e. Parking: locations, material, number of spaces, and parking ratio. Indicate parking spaces designated for the

- f. Grading: resolution of special and typical site drainage, general grading character, proposed and existing contours, including landscaping berms;
  - g. Planting: the tree save areas must now be clearly indicated, detailing preservation of the individual trees and vegetation while validating the points allocated in the application;
  - h. Lighting: site lighting locations, characteristics of such lighting and building lighting should be clearly defined;
  - i. 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
  - j. 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.
  - k. Engineered site development plans are required at this time, and sufficient information must be submitted to indicate complete site development.
  - l. The site engineer or site surveyor must select and identify an existing permanent benchmark/hard-point to which all site elevations may be measured and verified (i.e., an adjacent permanently paved access road, a fixed utility pedestal foundation, adjacent paved parking areas, the mouth of an existing concrete inlet or culvert, etc.
3. Fair Housing/Section 504 Compliance Plan: where Fair Housing is applicable, indicate entire accessible route through the property from covered units to amenities, parking, and other applicable requirements. For federal and state applicability of Section 504, indicate the location of all mobility impaired units and the routes from these units to amenities, parking, and other applicable requirements.

4. Site Utility Plan(s): indicate all utility systems on one drawing if the final drawing presents a clear representation of all required information. The scale shall be that of the site plan to aid in identification of mutual relationships. The drawings must show the building(s), roads, 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 (including, if likely, lift station and/or grinder locations);
  - b. storm water disposal system (including in-yard rainwater/downspout discharge catchment systems);
  - c. domestic water supply system;
  - d. electrical service;
  - e. site lighting; and
  - f. gas supply as applicable.
5. 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 validate 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.
6. 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 as related to exterior access, vehicular parking, service areas, etc.

- b. These plans must include all community buildings and facilities, and non-residential spaces.
  - c. Overall dimensions must be indicated with a general layout of units with references to individual plans.
  - d. Indicate accessible routes of travel on first floor plans.
7. 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 drawings.
  - b. Indicate roof ridges, valleys, intersections and roof overhangs, including roof slope and building outlines.
  - c. Indicate all mechanical equipment, vents, roof drains, gutters and downspouts, and any other roof mounted items.
8. Unit Floor Plans: - Scale not less than 1/4" = 1'-0"
- a. Separate floor plans of each unit type, including end units, identified 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 included 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.
9. 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 validate the Design Options

- 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.

10. 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, and method of attachment and relation of fenestration to supporting columns or walls.
- c. This section must be referenced to larger scale details.

11. Detail Sections: - Scale not less than 1/2" = 1'-0"

- a. Indicate each common wall type, fire wall, UL assemblies, 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.)

12. 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

- 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.

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

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

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

- a. Indicate foundation wall dimensions, offsets, heights.
- b. Indicate locations, 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.
- f. Indicate locations, sizes, spacing, and directions of reinforcing.
- g. Include notes on drawing stating allowable soil bearing pressure and required concrete and steel strengths, and other pertinent design information as appropriate.

15. 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, pilasters, and posts.
- d. Indicate the size, type and construction of beams, headers, girders, and lintels.

16. Structural Details: (Details must be included in the Step 3 documents as appropriate.)

- a. Include details sufficient to allow completion of construction (scale not less than 1/2" = 1'-0").

17. 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 types that will support the requirements of the Threshold Building Sustainability requirements.

18. 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

- b. Include plan and riser diagrams showing the typical floor and/or apartment units, specifically showing fixture, 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.
- d. **(Note: Private water wells or sewer systems are not allowed on any projects both new and existing)**

19. 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 floors and/or apartment units indicating the electric power panel locations (show typical wiring, lighting, smoke detectors, carbon monoxide 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).
- c. Provide an electrical schedule indicating all lighting fixtures including site lighting and all other information required to meet building and safety codes.
- d. As applicable include all equipment and/or structures that indicates that the structures exceed the Georgia Energy Codes.
- e. Provide the electric distribution and riser schematics as applicable to illustrate the proposed concept. (Sizes should be shown and all major electric equipment

- f. Indicate the estimated sizes of the service equipment (switch board), main disconnects (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 specifications must indicate all materials that have been certified at exceeding DCA requirements where points were allocation in the application process. 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.

2. Soils Boring Report:

Include a complete log of subsurface conditions, locate on the plan all borings made, and include engineer recommendations for foundation and paving design and allowable soil bearings. For all new construction projects assisted by DCA loans.

3. Schedule of Values

A schedule of values must be prepared by the Contractor in the DCA-approved format based upon a quantity take-off of the design development/construction documents and must be sufficiently detailed to allow evaluation. The Contractor must be willing to provide DCA with any additional information, such as subcontractor bids and/or quantity takeoffs, to verify construction estimating procedures to the satisfaction of the agency.

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 (or professional scheduling service) and approved by developer/sponsor prior to submission to DCA.

### **C. Renovation/Rehabilitation Requirements:**

All submittals indicated above are applicable to rehabilitation projects. The drawings package should accurately indicate all work to be completed on the property, including a boundary/site survey. Complete drawings and specifications are required for all rehabilitation proposals and must include a work scope to support the original application. The package will be similar to a new construction submittal and must include detailed documentation of the structure to be rehabilitated, structurally modified and/or any new additions.

An updated Rehabilitation Work Scope (see Rehabilitation Guide) may be requested to augment the required drawings, to indicate all work to be undertaken in every unit, and every building interior and exterior, and in every part of the property that is to be included in the completed project. **Percentage estimates are not acceptable 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, and all abatement and accessibility requirements have been incorporated in the construction documents and the final work scope.

## **III. STEP 3: DUE BEFORE DCA LOAN CLOSING OR BEFORE CONSTRUCTION COMMENCEMENT (for tax credit only):**

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

### **A. Summary**

1. Final Permit/Construction Drawings with all revisions completed
2. Executed Owner/Contractor Agreement
3. Final Construction schedule
4. Building Permits

## 5. 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.

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.

Building Permits and Utility Approvals. Building Permits are required for all projects, including rehabilitation/renovation. 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.

DCA may also request specific written local and governmental approvals regarding all utilities and services such as fire prevention procedures, i.e., installation of fire sprinklers, alarm systems, emergency lighting etc. 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 projects funded with DCA loans. In the event that the final documents are not one hundred (100%) complete, the required changes, additions and supplemental architectural drawings 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.

#### **IV. STEP 4: DUE ON A MONTHLY BASIS DURING CONSTRUCTION:**

DCA requires the submittal of the following construction documentation including on a monthly basis for the duration of construction:

- Contractor applications for payment (AIA form G702/703)
- Contract change orders (AIA form G701)
- All Architect's Supplemental Instructions, Addenda, and revised drawings

- Architect/Engineer inspection reports
- Accessibility consultant inspection reports

V. **STEP 5: DUE BEFORE FINAL ALLOCATION OF RESOURCE (4% LIHTC Bond financed and 9% LIHTC):**

- A. **Verification from a qualified HERS rater that dwelling unit air infiltration rate meets or exceeds the QAP requirements**
- B. **Green Building certifications (where applicable)**
- C. **Radon Testing that demonstrates levels below the EPA recommended limits**
- D. **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.**