

**2021 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:

- 2021 DCA Rehabilitation Work Scope form

NOTE: For DCA 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”. Each sheet should contain a “title block” that includes original issue date, revision dates, and sheet title and sheet numbers.

NOTE: All three DCA sheets should be combined to one single PDF file for the submission process.

The CSDP set must include the following minimum sheets:

a) **Sheet 01 - Cover Sheet:** The completed “2021 Georgia DCA Conceptual Site Development Plan (CSDP) Cover Sheet” form shall be used as the Cover Sheet (submit both the Excel form and a PDF as part of the three-page plan set).

b) **Sheet 02 - Existing Conditions Site Plan:**

- The Existing Conditions Site Plan sheet should be colorized for clarity and fill the majority of the 11x17 sheet.

NOTE: Other project phases should NOT be included on this sheet (nor potential future improvements).

- The sheet must incorporate a color “aerial overlay” that extends a “minimum of 100 feet” from the subject property boundary.
- Clearly delineate the boundary of the proposed site using a unique color.
- The Use of all adjacent properties and structures within 100’ of the subject property boundary must be clearly delineated both graphically and in written form. Graphic indication of adjacent properties will be addressed by incorporating a color “aerial overlay” with adjacent properties labeled and any off-site structures shown.
- All existing structures, tanks, slabs, and any other improvements existing on the property at the time of application must be clearly delineated.
- Delineate all proposed demolition work (i.e., buildings, structures, utilities,)
- Delineate all existing public water and sewer utilities.
- Delineate all existing easements (information to be compiled from public records and other appropriate sources).

c) **Sheet 03 - Conceptual Site Plan:**

- The Conceptual Site Plan sheet should be colorized for clarity and fill the majority of the 11x17 sheet.

NOTE: Other project phases should NOT be included on this sheet (nor potential future improvements).

- The sheet must incorporate a color “aerial overlay”.

NOTE: Does "not" need to extend a minimum of 100 feet from the subject property boundary (Existing Conditions Site Plan only).

- Clearly delineate the boundary of the proposed site using a unique color.

- All proposed easements to be clearly defined and delineated on plan. (information to be compiled from public records and other appropriate sources)
- 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.

- Delineate all zoning setbacks and restrictions.
- Delineate the location point of the "walking entrance" access to the property (intersection of site boundary/walk) which will be used for measuring "Scoring Desirables").
- Delineate the location point of the "driving entrance" access to the property (intersection of site boundary/drive) which will be used for measuring "Scoring Desirables").
- Location of all interior and exterior (Standard & Additional) site amenities indicated in the Application Form and identified on the plan Cover Sheet.
- Defined areas of all tree and vegetation preservation, and new landscaping.
- Off-Site work scope (i.e. entry roads, sewer outfalls/lift stations,) identified in the Uses of Funds section of the Core app should be clearly delineated both graphically and written.
- Delineate the proposed connection points to the existing public water and sewer utilities.

2. Rehabilitation Standards Threshold Criteria

- a. PHYSICAL NEEDS ASSESSMENT (See Rehabilitation Guide for additional requirements)
- b. DCA PNA Fannie Mae forms (Excel Workbook)
- c. 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, NHTF, CDBG-DR, TCAP 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 **2021 DCA Construction Services (CS) Transmittal** Excel workbook. The workbook includes submittal instructions and a program specific transmittal form for each program type (HOME, NHTF, CDBG-DR, TCAP, 9% Tax Credit only, and 4% Bond Tax Credit only projects). The 2021 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:

- 2021 DCA Construction Services Transmittal (CS Transmittal)
- 2021 DCA Construction Document Log (CD Log)
- 2021 DCA Schedule of Values (DCA SoV)
- 2021 DCA Amenities & Design Options Re-certification (ADO Recert)

1. GHFA Funded Projects (HOME, NHTF, CDBG-DR, TCAP):

a. 60 DAY SUBMISSION

- Due: No later than 60 days after announcement of awards; or no later than March 30, 2022.
- 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: 45 days prior to DCA construction loan closing; or no later than May 30, 2022
- Description: Includes items such as the "Review Set" of construction documents and DCA Schedule of Values, which the Construction Department uses to approve the

project's Hard Cost budget for DCA Loan Committee approval purposes.

c. CONSTRUCTION LOAN CLOSING SUBMISSION

- Due: 10 days prior to DCA GHFA loan closing.
- 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 no later than November 15, 2022
- 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 30, 2022.
- 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 October 15, 2022.
- 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: Due within 30 days of final retainage draw certified pay application date.
- 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: No later than the Final Allocation Application Submission, which is due no later than February 15, 2024 (2021 allocated credits) and September 30, 2024 (2022 allocated credits).

- 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: Due within 30 days of final retainage draw certified pay application date.
- 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: No later than the Final Allocation Application Submission which is due no later than September 13, 2024 for 2021 LOD Awards.
- 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. GHFA CONSTRUCTION DRAWS

For projects that utilize HOME, NHTF, CDBG-DR, TCAP 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 when seeking other sources of funding.

All properties funded with a DCA Georgia Housing and Finance Authority (GHFA) administered loan and/or grant must meet all the requirements in this manual for GHFA funded properties unless a waiver is granted by DCA. Funding sources include, but are not limited to: HOME,

NHTF, CDBG-DR, TCAP.

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 **2021 GHFA Monthly Interim Draw Process** document will guide the teams through the interim draws (loan closing draw thru the 100% complete draw) and the DCA **2021 GHFA Construction Closeout Process** document will guide the team through the Contractor's final retainage pay app and the GHFA construction closeout process.

NOTE: See additional requirements indicated in the 2021 HOME Manual

Applicable DCA forms/documents:

- 2021 GHFA AIA form G702/703 Contractor Application for Payment
- 2021 GHFA Executed Change Order Log
- 2021 GHFA Potential Change Order Log
- 2021 GHFA Subcontractor/Lien Waiver Log
- 2021 GHFA Draw Checklist
- 2021 GHFA Monthly Interim Draw Process
- 2021 GHFA Construction Closeout Process (final retainage draw)

E. GHFA CHANGE ORDER APPROVAL

For GHFA funded 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:

- GHFA Work Scope Change Request form
- Construction/Permanent Loan Agreement
- Contractor's Consent and Agreement
- Architect's Consent and Agreement
- HOME Addendum to Construction Contract
- 2021 HOME Manual

F. 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 all projects funded by programs administered through the QAP. For all projects, owners must submit a 3rd Party Cost Reviewer qualification package and report. 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 form:

- 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 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 FEER 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 FEER services.

NOTE: DCA may grant an exemption from one or more of the above experience requirements and qualifications if the specific requests are made by the proposed FEER consultant in the Construction Services “60 Day Submission” and approved by DCA in advance of the cost review.

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.

G. MISCELLANEOUS

Construction Period Related Documents:

For projects with **Tax Credits only**, the Owner is NOT required to submit Construction Draw and Change Order documents to DCA for approval 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.

Owner’s Construction Compliance Inspector:

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

Contractor Cost Certification:

All selected Applicants in receipt of a 9% Credit award or a Letter of Determination (4% Credit award) will be required to submit to DCA a Contractor Cost Certification. The cost certification shall be prepared in accordance with the standards set forth for a HOME contractor cost certification. Industry standards for Owner-provided construction services shall be used to determine reasonableness for the services.