

**ARCHITECTURAL MANUAL
APPENDIX I**

ARCHITECTURAL SUBMITTAL INSTRUCTIONS

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ARCHITECTURAL SUBMITTAL INSTRUCTIONS

These instructions are provided for the development team. Adherence to these instructions and periodic DCA staff consultation are essential to ensure that deadlines are met.

A. Application Submission: (documents due with all applications for DCA resources)

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). The plan shall reflect the following information:
 - a. All existing property easements. (Information to be compiled from public records and other appropriate sources);
 - b. All existing physical structures, underground tanks, and any other improvements on the property;
 - c. All wetlands, floodplains, and state waters in relation to proposed buildings, paving, and site amenities; all buffers required by state and local jurisdictions and areas of disturbance indicated and calculated. (This information must be supported by the wetlands map, 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);
 - d. Adjacent property usage indicated both graphically and in written form;
 - e. All zoning setbacks and zoning restrictions for the subject property;
 - f. All other features that would affect the development of the subject property;
 - g. Proposed entrance access to the property and a layout of all buildings, roads, parking areas, etc.;
 - h. All amenities in the Application must be on the site plan;
 - i. All areas of tree and vegetation preservation;
 - j. Existing topographic contours at appropriate vertical scale;**
 - k. Proposed finish floor elevations for each building.**

3. Desirable/Undesirable Site Certification: This form must include locations and distances of desirable and undesirable activities within the vicinity of the proposed development and depict all desirable and undesirable activities or establishments, as described under the Desirable and Undesirable Characteristics section of the QAP.
4. Physical Needs Assessment (See Rehabilitation Guide for additional requirements)
5. Rehabilitation Work Scope (See Rehabilitation Guide for additional requirements)
6. 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.
7. A boundary survey may be required if the precise location and extent of the subject property appears to be ambiguous.

B. 60 Day Submission (due no later than 60 days after announcement of awards):

1. Boundary Survey
2. Topographical Survey
3. Geotechnical Report
4. Additional HOME Requirements
 - a. ALTA Survey

C. DCA Review Submission:

1. Due dates:
 - a. 9% Tax Credit only projects:
 - No later than May 1, 2015 or
 - 60 days before construction loan closing, whichever is earliest
 - b. HOME + Tax Credit projects: As directed by the HOME Loan Consent
 - c. 4% tax credit/bond: Due at Application

DCA may require a pre-construction/contract document review at DCA's office if deemed necessary.

3. Construction Drawings ("DCA Review Set") (90-95% CDs):
 - a. DCA shall receive a copy of the plans being concurrently submitted to the local building authority for permit review;
 - b. Where local building authorities do not require plan review for permitting purposes, plans must still be submitted to DCA. Please see the *Building Permits* section below for other pertinent information;
 - c. New construction and/or rehabilitation document submissions shall parallel the construction cost estimate and accurately describe the work. According to each discipline, all drawings shall bear the stamp of either the Architect or Engineer of Record;
4. Construction specifications (Project Manual) shall be prepared in accordance with the Construction Specifications Institute (CSI) format. Either the "alpha-numeric" or "five-digit" identification systems will be acceptable. The following shall be included:
 - a. Cover, with pertinent development data;
 - b. Stamp and signature of the Architect of Record;
 - c. Index;
 - d. General conditions & Special Conditions (as applicable);
 - e. Federal compliance requirements as applicable, i.e. Davis Bacon, Immigration, etc.
 - f. Technical Specifications that are particular to the proposed work
5. DCA Construction Document Log ("Review Set")
6. Accessibility Plan Review Comments
7. DCA Schedule of Values ("Review Set")
8. Evidence of compliance with current International Energy Conservation Code (IECC)
9. E-verify Affidavit(s) (DCA forms)
10. Contractor Approval Package (tax-credit only)
11. Cost Review for Identity of Interest (tax-credit only)
12. DCA Design and Amenities Re-certification
13. Narrative outlining (two separate docs)
 - a. Progress of green building certification; and

- b. Update on Carryover Allocation conditions of funding

14. Additional HOME Requirements:

- a. Accessibility Consultant Agreement
- b. Draft Owner/Contractor Agreement (AIA standard form)
- c. Draft Construction Schedule
- d. Executed Owner/Architect Agreement (AIA standard form)
- e. Green Building Consultant Agreement, Contract(s), and MOU(s)
- f. A Pre-construction Conference will be scheduled within 30 days of “construction commencements” to review federal compliance requirements and draw request procedures.

Following approval of the submitted Contract Documents, a formal Construction Loan Closing shall be held. All Closing Requirements must be verified with DCA underwriters on an individual project basis.

D. Loan Closing Submission: (due prior to HOME closing and TC construction loan closing)

1. “DCA Contract Set” of Construction Documents (100% CD’s) drawings and specifications (Project Manual) incorporating previous commentary from DCA, municipalities, third party reviews and other interested parties.
2. DCA Construction Document Log (“Contract Set”)
3. Executed Owner/Contractor Agreement
4. DCA Schedule of Values (“Contract Set”)
5. Addendum from the Architect outlining revisions from the “DCA Review Set” of CDs that were incorporated into the “DCA Contract Set” of CD’s.

E. Commencement Submission: (due prior to commencement)

1. Notice to Proceed or Evidence of Construction Commencement
2. Permits (building, land development, etc.)
 - a. Permits are required for all projects. In jurisdictions having no building permit procedure, the Owner shall obtain from local authorities a letter affirming performance of construction document review and compliance with applicable

building and planning codes. Receipt of the required building permits or letter(s) will be accepted as evidence of general compliance with State and local building codes, ordinances, and regulations;

- b. DCA may request copies of jurisdictional approvals for utility and life safety compliance, i.e., installation of fire sprinklers, alarm systems, emergency lighting etc.

3. Final Construction Schedule

F. Documents due on a monthly interim basis during construction:

1. HOME requirements:

- a. Contractor applications for payment (AIA form G702/703);
- b. Contract change orders (AIA form G701);
- c. Architect's Supplemental Instructions, Field Orders, and Revised Drawings;
- d. Architect/Engineer inspection reports;
- e. Accessibility consultant inspection reports (min. 3 required and clearance letter, see Threshold section);
- f. DCA Executed Change Order Log;
- g. Potential Change Order Log;
- h. Change Order Approval / Submittal Cover Sheet;
- i. DCA Subcontractor/Supplier/Lien Waiver Log;
- j. Contractor and subcontractor lien waivers;
- k. Updated Construction Progress Schedule (one page 11x17 and pdf document);
- l. NOTE: See additional requirements indicated in the HOME Manual, the HOME Monthly Draw Process and the HOME Construction Closeout Process.

2. For projects with Tax Credits only, the Owner is NOT required to submit construction related documents on a monthly basis to DCA during the construction period.

However, during the construction period, DCA may request documentation as needed to demonstrate that the project is in compliance with DCA design and construction. Also, during construction, the Owner is required to provide the DCA Construction Inspector with all requested construction related documents in a timely fashion (drawings and specifications, applications for payments, Change Orders, Architectural Supplemental Instructions (ASIs), Architect's Field Reports, Soils and materials test reports, etc.)

G. Documents due before final allocation of resources:

1. As-built Survey of the property (ALTA);
2. A revised / record set of drawings completed by the job superintendent or project manager and submitted by the General Contractor. These shall reflect all changes made in the specifications and working drawings during the construction process, and show the location of all elements of the work completed under the contract;
3. Evidence of compliance with the current International Energy Conservation Code (IECC);
4. Evidence of compliance with Carryover Allocation conditions of funding;
5. Green building certifications (where applicable);
6. Radon testing that demonstrates levels below the EPA recommended limits;
7. Contractor Cost Certification (Identity of Interest on Projects with Tax Credits only);
8. Certificates of Occupancy allowing immediate use of buildings and units prior to or on the application deadline. To meet IRS and DCA requirements, and in jurisdictions not issuing Certificates of Occupancy, the Owner shall obtain from the authority having jurisdiction a letter affirming that the property meets all code requirements;
9. Satisfactory completion of the DCA final construction inspection;
10. Accessibility consultant inspection reports (min. 3 site visits/reports required - see Threshold section) and satisfactory completion of final accessibility inspection with confirmation of resolution of any outstanding issues stemming from the inspections (clearance letter from consultant);
11. Contractor Final Retainage Application for payment (AIA form G702/703) that incorporates all project Change Orders;
12. Additional HOME Requirements:
 - a. Contractor and Subcontractor final lien waivers;
 - b. Update endorsement of GHFA's title insurance policy;
 - c. Architect's Punch-list;
 - d. Contractor's Cost Certification (All HOME projects);
 - i. General Contractor Certification (DCA form)
 - ii. Multifamily Loan Contractors' Cost Certification of Actual Project Costs (DCA form)

- iii. Contractor's Cost Certification (DCA form)
- iv. Line item analysis and explanation
- e. AIA G-704 Architect's Certificate of Substantial Completion;
- f. Executed Owner Accessibility Certification (DCA form);
- g. Letter from the Owner stating:
 - i. acceptance of the project
 - ii. receipt of all Manufacturers Warranties and Operating Manuals
- h. Letter from the Contractor stating construction meets all current codes, federal and local requirements and construction documents;
- i. Letter from the Architect stating construction meets all current codes, federal and local requirements and construction documents;
- j. MBE/WBE Data Collection Form;
- k. Contract Change Orders (AIA form G701);

NOTE: DCA may, at any stage, request additional documentation to demonstrate that the project is in compliance with DCA design and construction requirements.

Additional DCA Documents available on the DCA website that will be updated prior to the DCA 2014 pre-construction review cycle:

- 2014 DCA Design and Construction Submission Procedures.
- 2014 DCA Design and Construction Transmittal form
- 2014 DCA Amenities and Design Options Re-Certification form
- 2014 DCA Schedule of Values form
- 2014 DCA Construction Document Log form