

**PENNSYLVANIA HOUSING FINANCE AGENCY  
TECHNICAL SERVICES DIVISION  
SUBMISSION GUIDE FOR ARCHITECTS  
INTRODUCTION**

Developments receiving Feasibility Approval after January 1, 2010 must follow these guidelines.

It is the goal of the Pennsylvania Housing Finance Agency to assist our Sponsors in the production of the highest quality affordable housing possible. These guidelines have evolved over the years and contain information, ideas and requirements that are proven to greatly enhance the potential for success of an affordable housing development.

Technical Services personnel will be reviewing documents for compliance with the requirements of these guidelines and will inform the designers in writing of our observations. We will not be reviewing submissions for compliance with the various laws, codes and ordinances governing the design of the developments. Should we find a discrepancy in a design that does not meet a law, code or ordinance, we will, as a courtesy, inform the designer of our findings. Our review does not constitute nor represent the development's compliance with all applicable laws, codes or ordinances; and Development Team members may not rely on the Agency for final determination.

From time to time, we will offer suggestions to the design professionals that we feel may improve their designs. These suggestions may be incorporated into the design at the Designer's and/or Sponsor's discretion.

**PLEASE NOTE:** Items and/or systems required to be incorporated into the Scope of Work which are clearly identified in this Guide but do not appear on the Contract Documents must: a) have a written waiver from PHFA issued prior to Initial Closing or, b) be added to the Scope of Work by Change Order. Items of work added by change order may, at the Owner's discretion, be considered an omission or error on the part of the Architect.

An electronic copy of the [Submission Guide for Architects](http://www.phfa.org) is available at [www.phfa.org](http://www.phfa.org).

The Guide is broken down into the following six **TABs**:

**TAB 1 – PHFA POLICIES AND PROCEDURES**

**TAB 2 – ARCHITECTURAL SUBMISSIONS**

**TAB 3 – CONTRACTS**

**TAB 4 – SUBMISSION GUIDE FOR SMALL DEVELOPMENTS**

**TAB 5 – REQUIREMENTS DURING CONSTRUCTION**

**TAB 6 – SUBMISSION REQUIREMENTS FOR PRESERVATION DEVELOPMENTS**

To enter the TAB you desire, follow the instructions on your screen.

If we can be of assistance at any point in the development process or at any time during the life of the development, please give us a call.

This Page Intentionally Left Blank

## CONTENTS

Introduction.....	i
Contents.....	iii
Technical Services Personnel .....	vii

### TAB 1 – PHFA POLICIES AND PROCEDURES

	Page
<b>CONTENTS</b> .....	1.1
<b>DEFINITIONS</b> .....	1.3
1.01 Outline for Technical Services Processing .....	1.5
1.02 Accessibility Requirements.....	1.9
1.03 Professional Fee Schedule.....	1.13
1.04 Professional Fee Retention .....	1.15
1.05 Elevator Policy.....	1.17
1.06 Minimum Insulation Standards .....	1.19
1.07 Insurance Requirements During Design and Construction Checklist .	1.21
1.08 Guidelines for Mid and High Rise Buildings.....	1.25
1.09 VisitAbility <sup>cm*</sup> Guidelines.....	1.27
1.10 Waiver Procedure for Design Requirements .....	1.29
1.11 Wage Rate Determination Policy.....	1.31
1.12 Modular Housing Construction Requirements .....	1.33
1.13 Design Architects Certifications.....	1.35
1.14 Energy Conservation Measures .....	1.37
1.15 On-lot Well and Septic System Requirements.....	1.41
1.16 Policy for New Construction of Buildings in Flood-prone Areas.....	1.43
1.17 Policy for Rehabilitation of Buildings in Flood-prone Areas .....	1.45
1.18 Lead-based Paint Hazard Reduction Policy .....	1.47
1.19 Guidelines for Radon Protection.....	1.55
1.20 Historic Preservation .....	1.57
1.21 Sound Land Use.....	1.59
1.22 Environmental Site Assessment Guidelines .....	1.61
1.23 Kitchen Cabinet Minimum Standards .....	1.69
1.24 Warranty, Guarantee and Manual Requirements .....	1.73

### TAB 2 – ARCHITECTURAL SUBMISSIONS

	Page
<b>CONTENTS</b> .....	2.1
<b>SCHEMATIC SUBMISSION REQUIREMENTS</b>	
2.01.A Schematic Submission Requirements .....	2.3
2.01.B Schematic Design Requirements Checklist.....	2.7
2.01.C PHFA Schematic Design Construction Cost Estimate.....	2.11
<b>DESIGN DEVELOPMENT SUBMISSION REQUIREMENTS</b>	
2.02.A Design Development Submission Requirements .....	2.13
2.02.B Design Development Requirements Checklist .....	2.21
2.02.C Development Tabular Schedule .....	2.31
2.02.D Development Security and Maintenance Requirements Checklist for Urban Locations .....	2.33

2.02.E	Mechanical Requirements Checklist.....	2.35
2.02.F	Electrical Requirements Checklist .....	2.39
2.02.G	Surveyor 's Report.....	2.41
2.02.H	Estimated Utility Costs.....	2.47
2.02.I	Design Development Construction Cost Estimate Form.....	2.49
<b>CONTRACT DOCUMENT SUBMISSION REQUIREMENTS FOR FINAL REVIEW</b>		
2.03.A	Contract Document Submission Requirements for Final Review .....	2.53
2.03.B	Final Construction Cost Breakdown .....	2.55
2.03.C	Specifications Format .....	2.59
2.03.D	Supplemental General Conditions .....	2.61

### TAB 3 – CONTRACTS

	Page
<b>CONTENTS</b> .....	3.1
3.01 PHFA Addendum to Owner-Architect Agreement for Design Services and Construction Contract Administration .....	3.3
3.02 PHFA Addendum to Owner-Architect Agreement for Design Services .....	3.11
3.03 PHFA Addendum to Owner-Architect Agreement for Construction Contract Administration.....	3.15
3.04 PHFA Addendum to the AIA Documents A101 and A201, 1997 or 2007 Editions .....	3.21
3.05 Requirements for Initial Loan Closing Before Construction .....	3.31
3.06 Requirements for Final Closing After Construction.....	3.33
3.07 Architect's Certification .....	3.35
3.08 Architect's Certification of Compliance with Design Requirements for Accessible Housing .....	3.39

### TAB 4 – SUBMISSION GUIDE FOR SMALL DEVELOPMENTS

	Page
<b>CONTENTS</b> .....	4.1
<b>ARCHITECTURAL PROCESSING</b>	
4.01.1 Outline for Technical Services Processing .....	1.5
4.01.2 Submission Requirements for Small Developments.....	4.3
4.01.3 Development Tabular Schedule (Sec. 2.02.C) .....	2.31
4.01.4 Waiver Procedures for Design Requirements (Sec. 1.10).....	1.29
4.01.5 Procedure – Specifications.....	4.5
4.01.6 Warranty, Guarantee & Manual Requirements (Sec. 2.03.C.2).....	1.73
4.01.7 Supplementary General Conditions (Sec. 2.03.C.4).....	2.61
4.01.8 PHFA Schematic Design Construction Cost Estimate (Sec. 2.01.C)..	2.11
4.01.9 Final Construction Cost Breakdown (Sec. 2.03.B).....	2.55

	<b>POLICIES, GUIDELINES AND REQUIREMENTS</b>	
4.02.1	Lead-based Paint Hazard Reduction Policy (Sec. 1.18).....	1.47
4.02.2	Policy for New Construction of Buildings in Flood-prone Areas (Sec. 1.16).....	1.43
4.02.3	Policy for Rehabilitation of Buildings in Flood-prone Areas (Sec. 1.17).....	1.45
	<b>FEES AND CERTIFICATIONS</b>	
4.03.1	Professional Fee Schedule (Sec. 1.03).....	1.13
4.03.2	Professional Fee Retention (Sec. 1.04).....	1.15
4.03.3	Insurance Requirements During Design & Construction Checklist (Sec. 1.07).....	1.21
4.03.4	Surveyor 's Report (Sec. 2.02.G).....	2.41

## TAB 5 – REQUIREMENTS DURING CONSTRUCTION

		Page
	<b>CONTENTS</b> .....	5.1
5.01	PHFA Requirements During Construction.....	5.3
5.02	Procedures – Change Orders (Appendix 1).....	5.13
5.03	PHFA Change Order Log (Appendix 2).....	5.17
5.04	Change Order Form C5 (Appendix 3).....	5.19
5.05	Procedures – Occupancy (Appendix 4).....	5.21
5.06	Punch List Form (Appendix 5).....	5.23
5.07	PHFA Certificate of Substantial Completion (Appendix 6).....	5.25
5.08	Certificate of Occupancy (Appendix 7).....	5.27
5.09	Procedures - Final Inspection / Construction Completion (Appendix 8).....	5.29
5.10	PHFA Final Inspection (Appendix 9).....	5.31
5.11	Certificate of Construction Completion (Appendix 10).....	5.33
5.12	Procedures - Construction Payouts (Appendix 11).....	5.35
5.13	Contractor Payment Forms, Application and Certificate for Payment AIA Document G702 (Appendix 12) and G703 (Appendix 13) [not bound in manual].....	5.37
5.14	PHFA Rental Housing Program, General Contractor's Actual Construction Cost Certification (Appendix 14).....	5.39
5.15	Contractor's Certification of Compliance with Design Requirements for Accessible Housing (Appendix 15).....	5.41

## TAB 6 – SUBMISSION REQUIREMENTS FOR PRESERVATION DEVELOPMENTS

		Page
	<b>CONTENTS</b> .....	6.1
6.01	Submission Requirements for Preservation Developments.....	6.3
6.02	Schematic Submission Requirements for Preservation Developments.....	6.5
6.03	Design Development Requirements Checklist for Preservation Developments.....	6.9
6.04	Design Development Submission Requirements for Preservation Developments.....	6.19

This Page Intentionally Left Blank

## **TECHNICAL SERVICES PERSONNEL**

MICHAEL G. KOSICK, Director of Technical Services ..... (717) 780-1898

STANLEY E. SALWOCKI, Manager of Architecture & Engineering..... (717) 780-3851

### **PLAN AND COST REVIEW**

KIMBERLY J. BOYER, Construction Document Examiner II ..... (717) 780-3877

KENNETH E. BOBB, Construction Document Examiner I ..... (717) 780-4033

ADAM M. KITCHEN, Environmental/Site Specialist..... (717) 780-3894

### **FACILITIES & CONSTRUCTION**

#### **Harrisburg Office**

CLARK A. GRUMBINE, Technical Services Representative II ..... (717) 780-1873

MARK E. KOCAN, Technical Services Representative II ..... (717) 780-3949

DONNA J. LEON, Technical Services Officer ..... (717) 780-3898

KRISTY L PROVOST, Utility Coordinator ..... (717) 780-1846

RALPH E. SHIRES, Technical Services Representative I ..... (717) 780-1886

Harrisburg Office Fax No. .... (717) 780-1888

TTY No. for Hearing-impaired ..... (717) 780-1869

#### **Norristown Office**

JAMES E. GALIA, Technical Services Representative II ..... (610) 270-1561

JAY R. HAUSHER, Senior Technical Services Representative ..... (610) 270-1207

JOHN S. PACZEWSKI, Technical Services Representative II..... (610) 270-1991

PEGGY A. COLSON, Office Coordinator ..... (610) 270-3436

Norristown Office Fax No. .... (610) 270-1208

#### **Pittsburgh Office**

DUANE M. DAVIS, Technical Services Representative I..... (412) 429-2844

ROBERT S. RIDER, Technical Services Representative II ..... (412) 429-2839

MICHAEL A. SCOTT, Technical Services Representative I ..... (412) 429-6024

CHARLES E. SWOPE, Senior Technical Services Representative ..... (412) 429-2848

KRISTIN DeSANTIS, Office Coordinator ..... (412) 429-2842

Pittsburgh Office Fax No. .... (412) 429-2835

This Page Intentionally Left Blank