

**SUBMISSION GUIDE FOR ARCHITECTS**

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**6.01 REQUIREMENTS FOR INITIAL LOAN CLOSING**  
***(Developments receiving or assuming a PennHOMES Loan)***

1. **Pre-Closing:** After a loan commitment has been received from PHFA, a closing date shall be scheduled with PHFA's legal division.

**NOTE:** PHFA will not be responsible for the insertion of any drawing sheets, pages to the specifications manual or pages to other documents as required for closing. The professional who is preparing the documents must see that all information is properly included and submitted to PHFA.

The following Pre-Closing Documents must be submitted to PHFA (5) business days prior to the scheduled closing date. The documents will be compared to the Contract Document Submission for consistency.

2. **Documents Required for Pre-Closing**

One copy of each document is required:

- A. Complete set of final drawings and specifications *(full size)*.
- B. The wage determination (if applicable) must be bound into the specifications.
- C. Any addenda issued must be attached to the specifications manual.
- D. *Loan Closing Construction Cost Breakdown (Section 2.18)*.
- E. Fully executed Architect's Contract with *PHFA Addendum (Section 5)*.
- F. Signed Architect's Certification *(Section 6.04)*.
- G. Signed Architect's Certification of Compliance with Design Requirements for Accessible Housing *(Section 6.05)*.
- H. Fully executed Construction Contract with PHFA Addendum *(Section 5.04)*.
- I. Payment and Performance Bonds or Unconditional and Irrevocable Letter of Credit (PHFA must be named as a dual obligee).
- J. Copy of the Building Permit(s).
- K. Stormwater Plan Approval (City of Philadelphia developments only).
- L. Evidence of all applicable Federal, State and Local approvals.



**6.02 LOAN CLOSING DOCUMENTS REQUIRED FOR**  
*(Developments receiving or assuming a PennHOMES Loan)*

Development Name: \_\_\_\_\_ PHFA No.: \_\_\_\_\_

The undersigned certifies that all items have been submitted with the loan closing submission. Please make sure all items below have been checked.

Design Architect (Print or type): \_\_\_\_\_

Design Architect (Signature): \_\_\_\_\_

Date: \_\_\_\_\_

- 1 Copy of the *Loan Closing Construction Cost Breakdown* (*Section 2.18* of the PHFA Submission Guide for Architects) - signed by General Contractor, Owner and PHFA.
- 1 Copy of the fully executed Construction Contract with PHFA Addendum and any exhibits or attachments.
- 1 Copy of the Payment Bond and Performance Bond with PHFA Identified as Dual-Obligee (PHFA Forms) or Unconditional and Irrevocable Letter of Credit.
- 1 Copy of the Construction Schedule.
- 1 Copy fully executed Architect(s) Contract with PHFA Addendum (*Section 5* of the PHFA Submission Guide for Architects).
- 1 Copy of the signed Architect's Certification of Compliance with Design Requirements for Accessible Housing (*Section 6.05* of the PHFA Submission Guide for Architects).
- 1 Copy of the signed Architect's Certification (*Section 6.04* of the PHFA Submission Guide for Architects).
- 2 complete sets of Final Plans & Specifications:**
  - Each drawing sheet must be sealed by the design professional responsible for its preparation.
  - The front cover sheet of each set of drawings and specs must be signed and dated by the Owner, Contractor and Architect (space shall be provided for PHFA to sign).
  - Each sheet of the **two (2) sets** of drawings must be initialed by the Owner, Contractor and Architect (One set will be forwarded to the Contractor to be kept at the job site and the other set will be retained by PHFA Field Representative).
  - If any addenda were issued, each sheet must be initialed by the Owner, Contractor and Architect and attached to each specification manual.
  - The wage rate determination must be bound into the specification manual.
- 1 Copy of Building Permit and any Permits or Approvals required by any Local, State, or Federal Agencies which are required for construction to begin
- 1 Copy Stormwater Plan Approval (City of Philadelphia projects only)
- Letter from the Owner stating the number of Units which will be HOME assisted
- 1 CD with a PDF Copy of all above mentioned documents. *(multiple CD's will not be accepted)*



**6.03 LOAN CLOSING DOCUMENTS REQUIRED FOR  
LIHTC, PHARE AND TAX EXEMPT BOND DEVELOPMENTS**

**Development Name:** \_\_\_\_\_ **PHFA No.:** \_\_\_\_\_

The undersigned certifies that all items have been submitted with the loan closing submission. Please make sure all items below have been checked.

**Design Architect (Print or type):** \_\_\_\_\_

**Design Architect (Signature):** \_\_\_\_\_

**Date:** \_\_\_\_\_

- 1 Copy of the *Loan Closing Construction Cost Breakdown* (Section 2.18 of the PHFA Submission Guide for Architects) - signed by General Contractor and Owner.
- 1 Copy of the fully executed Construction Contract AIA A101,2007 Edition (*PHFA Addendum and PHFA Supplemental General Conditions required for Developments receiving PHARE funding*).
- 1 Copy of the Payment Bond and Performance Bond or 25% Unconditional and Irrevocable Letter of Credit (PHFA must be listed as a Dual-Obligee on *all* developments).
- 1 Copy of the Construction Schedule.
- 1 Copy fully executed Architect(s) Contract AIA B101 or B108, 2007 Edition.
- 1 Copy of the signed Architect's Certification of Compliance with Design Requirements for Accessible Housing (Section 6.05 of the PHFA Submission Guide for Architects).
- 1 complete set of Final Plans (11" x 17") & Specifications:**
  - Each drawing sheet must be sealed by the design professional responsible for its preparation.
  - If any addenda were issued, each sheet must be initialed by the Owner, Contractor and Architect and attached to each specification manual.
  - The wage rate determination must be bound into the specification manual.
- 1 Copy of Building Permit(s) and Zoning Permit(s).
- 1 CD with a PDF Copy of all above mentioned documents (*multiple CD's will not be accepted*)





**6.04 ARCHITECT'S CERTIFICATION**

**Development Name:** \_\_\_\_\_ **PHFA No.:** \_\_\_\_\_

**Check Appropriate Type:**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> New Construction           | <input type="checkbox"/> Single Family Homes | <input type="checkbox"/> Low-rise (1 – 3 Stories)   |
| <input type="checkbox"/> Moderate Rehabilitation    | <input type="checkbox"/> Duplexes            | <input type="checkbox"/> Mid-Rise (4 – 6 Stories)   |
| <input type="checkbox"/> Substantial Rehabilitation | <input type="checkbox"/> Townhouses          | <input type="checkbox"/> High-Rise (Over 6 Stories) |
| <input type="checkbox"/> Preservation               | <input type="checkbox"/> Walk-up Apartments  | <input type="checkbox"/> Elevator Building          |
|   |  | <input type="checkbox"/> Non-Elevator Building      |

I, \_\_\_\_\_, to the best of my knowledge and professional judgment, do  
(Architect's Name printed)  
hereby certify that \_\_\_\_\_ have (has) no interest in a proprietary  
(Name of Architectural Firm printed)  
system of construction, patented building design or business that manufactures materials specified for  
the \_\_\_\_\_; and the working drawings  
(Development Name)  
and specification are for the above mentioned development.

A list of all drawings and specifications has been attached to this certification and include the drawing number of each sheet, original drawing date, the latest revision date for each sheet; the identification number, date and number of pages of each addendum issued; and the table of contents of the specifications manual.

The proposed construction and/or rehabilitation describe by these drawings and specifications are, to the best of my knowledge, in accordance with all applicable zoning, building, housing and other Federal, State and Local laws, codes, ordinances and regulations, including, but not limited to all applicable accessibility standards, all HOME Program requirements, the PHFA Submission Guide for Architects or Local standards, where more restrictive, as modified by waivers obtained from the appropriate officials.

**The following waiver(s) of code, etc. were obtained\*:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**By:** \_\_\_\_\_  
**License No.:** \_\_\_\_\_  
**Firm:** \_\_\_\_\_  
**Title:** \_\_\_\_\_  
**Date:** \_\_\_\_\_

**Accepted by PHFA:**  
**By:** \_\_\_\_\_  
**Title:** \_\_\_\_\_

\*Attach a list of the drawings and the specification sections as well as any waivers obtained that do not fit above.



**6.05 ARCHITECT'S CERTIFICATION OF COMPLIANCE  
WITH DESIGN REQUIREMENTS FOR ACCESSIBLE HOUSING**

Development Name: \_\_\_\_\_ PHFA No.: \_\_\_\_\_

**Check Appropriate Type:**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> New Construction           | <input type="checkbox"/> Single Family Homes | <input type="checkbox"/> Low-rise (1 – 3 Stories)   |
| <input type="checkbox"/> Moderate Rehabilitation    | <input type="checkbox"/> Duplexes            | <input type="checkbox"/> Mid-Rise (4 – 6 Stories)   |
| <input type="checkbox"/> Substantial Rehabilitation | <input type="checkbox"/> Townhouses          | <input type="checkbox"/> High-Rise (Over 6 Stories) |
| <input type="checkbox"/> Preservation               | <input type="checkbox"/> Walk-up Apartments  | <input type="checkbox"/> Elevator Building          |
|   |  | <input type="checkbox"/> Non-Elevator Building      |

To the best of my knowledge and belief, I certify that I have designed the referenced development in conformance with the following rules and regulations as they apply to this development and as amended by Federal, State, and Local Authorities.

**Check all that apply**

- The Fair Housing Act of 1988 & Fair Housing Design Manual
- ANSI A117.1-2009 (or edition currently adopted by the PA UCC)
- Pennsylvania Uniform Construction Code
- Uniform Federal Accessibility Standards (UFAS)
- Section 504 of the Rehabilitation Act of 1973
- 2010 ADA Standards for Accessible Design
- Any other State or Local code or regulation pertaining to design or inclusion of rental housing accessibility features (include name of locality and citation for applicable requirements)

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In reference to the above, I hereby further certify as follows:

The development contains a total of \_\_\_\_\_ rental dwelling units.

Of this total, \_\_\_\_\_ units are accessible as defined in the applicable regulations cited on this page.

Of this total, \_\_\_\_\_ units have been designated to be adaptable as defined in The Fair Housing Act.

Of this total, \_\_\_\_\_ units have been designated to include features for individuals with hearing or vision impairment as defined in the applicable regulations cited on this page.

**ARCHITECT:**

Name (printed): \_\_\_\_\_

Signature: \_\_\_\_\_

Firm: \_\_\_\_\_

Date: \_\_\_\_\_

**ACKNOWLEDGED and accepted by Owner:**

Name (printed): \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



## **6.06 REQUIREMENTS FOR FINAL CLOSING AFTER CONSTRUCTION**

### **REQUIREMENTS FOR “RECORD” (AS-BUILT) DRAWINGS - *(applicable to all developments)***

During construction, the Contractor must maintain a field set of drawings that graphically indicates all revisions from the original drawings that were made due to field conditions and/or change orders. Upon completion of construction, the Contractor must submit a set of Record Drawings including but not limited to, site, architectural, structural, plumbing, mechanical and electrical plans to the Architect for review and approval.

The Record Drawings site plan must indicate the location of all structures and other physical improvements (driveways, sidewalks, inlets, parking lots, easements, drainage fields, etc.), in the area of the property and building lot lines. The Record Drawings for architectural, structural, plumbing, mechanical and electrical work must indicate any changes to the original planned work. *For HOME and PHARE funded developments, refer to Section 5.04*, PHFA Addendum to the AIA Documents A101 and A201, 2007 Editions, Standard Form of Agreement Between Owner and Contractor.

Upon completion of the development, the Design Architect must prepare a complete set of Record Drawings including a site plan. One (1) *hard copy* of the complete set must be submitted to the PHFA Technical Services Division for review. Upon completion of the review, the Architect must make revisions to the drawings as necessary and submit *one final set in an electronic copy (PDF's on CD)* to PHFA and one complete (hard copy) set to the owner. *For HOME funded developments, refer to Section 5.01*, PHFA Addendum to the Owner/Architect Agreement for Design Services and Construction Contract Administration.

### **WARRANTIES, GUARANTEES AND MATERIAL TAKE-OFFS BY GENERAL CONTRACTOR AND OPERATING AND MAINTENANCE MANUAL REQUIREMENTS – *(applicable to HOME funded developments only)***

Prior to the issuance of PHFA’s final Certificate of Occupancy, the General Contractor shall submit copies of all specified warranties and guarantees as well as requested material take-off quantities to PHFA. In addition, copies of all bonds and operating and maintenance manuals for all material, equipment, fixtures and appliances shall be furnished to the Owner. Also see *Section 1.26*, Warranty, Guarantee and Manual Requirements and *PHFA’s website [www.phfa.org/mhp/technicalservices](http://www.phfa.org/mhp/technicalservices) (PHFA Requirements During Construction – Warranties/Guarantee & Material Take-Offs)*.