

- PENNSYLVANIA. BUILT TO ADVANCE. -

**Third Year of the
2014 - 2018 Consolidated Action Plan**

**2016 Action Plan
Substantial Amendment I**

August 16, 2016

Commonwealth of Pennsylvania
Tom Wolf, Governor

Department of Community and Economic
Development
Dennis M. Davin, Secretary

Pennsylvania
DEPARTMENT OF COMMUNITY AND
ECONOMIC DEVELOPMENT

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SA (8-16-2016) The incorporation and funding of the National Housing Trust Fund (HTF), as a continued source of funding for affordable housing in future years, has necessitated Pennsylvania's first substantial amendment to the 2016 Action Plan and the 2014-18 Consolidated Plan. Pennsylvania was awarded \$3,862,285 in 2016. The HTF will be administered by the Pennsylvania Housing Finance Agency (PHFA) and will be used for funding affordable rental units for very low- and extremely low- income persons (30% below area median income) which are supported through the federal Low Income Housing Tax Credit Program ("Tax Credit") and/or other federal funding sources. The following amendment addresses changes to the expected resources, method of distribution, geographic priorities, and affordable housing development.

Additionally, this substantial amendment also demonstrates an adjustment increasing to the 2016 HOME Investment Partnership Allocation from \$14,471,633 to \$14,473,180. This adjustment is noted in the section AP-15.

Executive Summary

AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

1. Introduction

The 2016 Annual Action Plan for the Commonwealth of Pennsylvania (Plan) describes the federal programs of the Commonwealth that address the housing, community, homeless and economic development needs of its constituents. The Plan is intended to outline the goals, strategies and resources to be utilized in addressing those needs in the Fiscal Year of 2016 as well as related information on performance measures and outcomes to be used in realizing these goals. Each year the Commonwealth is required to submit an Annual Action Plan based on the goals of the current Consolidated Plan (2014-2018) as part of its application process to the U.S. Department of Housing and Urban Development (HUD) for the federal funding covered by this Plan.

2. Summarize the objectives and outcomes identified in the Plan

This could be a restatement of items or a table listed elsewhere in the plan or a reference to another location. It may also contain any essential items from the housing and homeless needs assessment, the housing market analysis or the strategic plan.

The Commonwealth's overarching direction for its Consolidated Plan and subsequent Annual Action Plans is outlined in the mission of DCED. The mission is applicable to the Commonwealth's efforts to provide housing, homelessness and community and economic development assistance through both federal and state resources.

“The mission of the Department of Community and Economic Development is to foster opportunities for businesses to grow and for communities to succeed and thrive in a global economy. Our mission is to improve the quality of life for Pennsylvania citizens while assuring transparency and accountability in the expenditure of public funds.”

In order to execute this mission for housing, homeless, community and economic development programs, the Consolidated Plan established eleven goals. In pursuing these goals, the Commonwealth has also established specific priorities for the use of its HOME Investment Partnership Program (HOME) and Emergency Solutions Grant Program (ESG). Those priorities for HOME emphasize targeting of activities, leveraging other resources and public investments, and promoting community changing impact. For ESG these priorities include the use of funding for Rapid Rehousing of Homeless persons and specific populations including veterans, families with children, and persons fleeing from domestic violence. The Action Plan for FFY 2016 continues allocating the state’s resources toward these priorities and achieving the goals set forth in the Consolidated Plan.

Goals:

1. Improve the quality of housing stock through rehabilitation of existing single family and multi-family units.
2. Aid individuals and families with finding affordable living environments through new rental units and rental assistance.
3. Assist individuals and families in obtaining the necessary public services to improve their quality of life.
4. Provide flexibility to local government officials to meet the needs of their municipalities in preserving neighborhoods and communities by providing critical assistance for public infrastructure and community facility projects.
5. Provide the necessary assistance for local government officials to clear and demolish substandard units to rid their communities of hazards to the health and safety of its residents.
6. Provide the necessary rental assistance for persons suffering with HIV/AIDS to be able to find affordable housing.
7. Through coordination with the Continuum of Care, the state will address the housing needs of the homeless and provide necessary supportive services to help them attain stability.
8. Further fair housing and address impediments to housing choice.

9. Development opportunities to improve the economic environment of the state especially in the rural areas.
10. Assist families and individuals to become home buyers and encourage stability in local communities.
11. Build capacity of community-based organizations and local governments to meet the needs of their residents and encourage long range planning to address community needs.

3. Evaluation of past performance

This is an evaluation of past performance that helped lead the grantee to choose its goals or projects.

1. As its highest priority in the last year, the Commonwealth sought to promote diversity and comprehensive community development strategies of its sub-recipients. This was achieved by allowing the sub-recipients to determine the projects of most need for their respective municipalities.
2. The Commonwealth sought to support and assist housing and homelessness projects throughout the past year that were integral to a strategy to end homelessness and provide affordable housing to all income levels of residents in a community. Projects completed utilizing HOME, ESG, HOPWA and NSP1 & NSP 3 program funds assisted the Commonwealth to meet these goals outlined in the Con Plan by developing a continuum of housing types and income levels for the residents of the state. The projects involved collaboration with citizens, community organizations, businesses, and government entities in attaining their housing goals.
3. The Commonwealth continued to emphasize its fair housing strategy by encouraging diversity of race, ethnicity, income level, gender, disability, ancestry and age status within its municipalities. DCED finalized the update of its Analysis of Impediments to Fair Housing Choice (AI), which was submitted for initial review and comment to HUD in December, 2015. Citizens were given an opportunity to provide comment on the draft AI and DCED will incorporate their comments, along with HUD's into a final AI. From the five recommendations made, DCED will formulate new viable and attainable activities to eradicate the impediments to Fair Housing Choice in our non-entitlement municipalities.

Also the Department continues to provide technical assistance to ensure its grantees' compliance with the Fair Housing and Civil Rights regulations with the administration of their federal programs. In 2015 emphasis was placed on Limited English Proficiency and the grantee's compliance with their citizen participation process. DCED also continued its review of activities that the grantees are carrying out annually to aid their communities in eradicating impediments to fair housing. DCED continued to require an annual report of these actions.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

In developing the Plan, DCED continues its citizen participation process to broaden its consultation and public participation process. The process no longer uses newspapers to publicize the availability of the draft plan or public meetings; instead the state will now utilize the Internet and electronic technologies, provides online public hearings and makes the document available on DCED's website:

<http://dced.pa.gov>. This process has been beneficial to getting the information on the Commonwealth's goals and objectives for the programs out to those who can best use them. In the first year of the process, DCED has already had more participation and citizen comments than in the last five years.

DCED reviewed statewide and regional needs and programmatic changes with the six Regional Housing Advisory Committees (RHACs) in October, 2015 as the beginning of the citizen review process for this plan. DCED conducted an online/conference call public hearing on November 2, 2015 for citizen comment on need and to go over the results of the 2014 CAPER. This meeting was announced in the October 24, 2015 issue of the Pennsylvania Bulletin.

The information about all of public hearings, RHAC and Pennsylvania Housing Advisory Committee (PHAC) meetings, and availability of draft copies of the plan for citizen comment were included in the public notice invitations that were sent to all grantees, state Regional offices, public district libraries, statewide organizations, Continuums of Care, RHACs, PHAC, CD & H Advisory Committee, CoC Balance of State Board members, Homelessness Programs Coordination Committee, County Commissioners and interested parties. The hearings were also open to the public for discussion about the Plan. Comments were received by DCED and are reviewed in another portion of the Plan. The comments and responses, if warranted, are attached as Appendix D.

The Pennsylvania Housing Advisory Committee (PHAC) met October 28, 2015 and March 7, 2016 and the meetings were open to the public. Invitation was sent to all grantees and interested parties. The planning for the plan was discussed. At the first meeting a review of the purpose of the PHAC and needs were covered. At the second meeting the allocations and use of the 2016 funds were discussed, along with discussions on the National Housing Trust Fund and the Analysis of Impediments to Fair Housing Choice.

The 30-day public comment period for the draft 2016 Action Plan began on March 12, 2016 and concluded on April 12, 2016. DCED published a summary of the Plan in the Pennsylvania Bulletin on March 12, 2016. The summary was also sent to all electronic contacts as listed above during the week of March 15, 2016. A copy of the draft Plan was placed on the website for review on March 12, 2016. The final submitted copy of the plan will be placed on the website for the life of the 2014-2018 Consolidated Plan.

A second public meeting was held on April 6, 2016 to take comment on the plan during the Citizen Comment Period. Again notification was provided electronically to the persons on the 21 contact lists DCED maintains. Two persons attended the hearing and then provided comment. Their agency's letter may be found in Attachment D of this document.

It was advertised for both public hearings and in notification of availability of the draft copy of the plan that persons with disabilities, and organizations representing persons with disabilities, would be given accommodations in order to be involved in the citizen participation process for the Action Plan. In addition, the DCED website <http://dced.pa.gov> is compatible with telecommunication devices, so that any item on the website is made available to the disabled populations. Also all plans and the CAPER are translated into Spanish for citizens who may be of Limited English Proficiency and the Department advertises that translators can be available at all public hearings if given 72 hours notice.

Substantial Amendment I – August 16, 2016

The notice of the substantial amendment for the 2016 Action Plan was advertised in the Pennsylvania Bulletin on May 21, 2016. An e-mail to all DCED contacts and interested persons went out on May 23, 2016 notifying them of the availability of the Plan amendments for review and public comment. A public hearing to take comments on the substantial amendment was held June 9, 2016 at 1:00 pm via the web and conference call. Notice for this hearing was published in the Pennsylvania Bulletin on May 21, 2016 and an e-mail notification was sent to interested parties on May 23, 2016 with a notification on DCED's website as well.

5. Summary of public comments

All comments submitted to DCED or provided during a public hearing or meeting may be found in Appendix D of this document.

First Public Comment Period

Public comments from the first citizen comment period - October 9, 2015 – November 8, 2015 and public hearing – November 2, 2015 on the needs of the state and where the funding should be targeted.

- *A need for additional affordable accessible housing for people with disabilities.*
- *Technical and financial support for planning and implementation of housing for people with disabilities and their family members*
- *Match dollars for local homeless housing and service programs*
- *A lot more accessible housing is needed for people with disabilities as well as housing for single middle aged adults.*

- *Pennsylvania Coalition Against Domestic Violence urges the 2016 Action Plan to be guided by a commitment to victim safety*
 - *Continue to examine and support confidentiality within the context of technology integration and information sharing.*
 - *Develop assessment tools and procedures that are safe, non-traumatizing, and informed by domestic violence service providers.*
 - *Develop and incorporate a ranking system that awards priority scoring for domestic violence programs offering transitional housing.*
- *A number of the RHAC boards mentioned the need to target affordable housing in places of economic growth.*
- *The development of viable, affordable transportation to areas of economic growth.*

PHAC Meeting

From the Pennsylvania Housing Advisory Committee (PHAC) meeting held March 7, 2016, a number of comments were given especially for the HOME program’s prioritization of targeting, leveraging, and impact. Many rural areas are finding it hard to target areas geographically that have a housing need for housing rehabilitation without extending the boundaries farther than just one municipality. They have a large need for housing rehabilitation for single family residential that may not be in a town center or an easily targeted area. They are having difficulty finding contractors as well.

There was also a comment given about the way the ESG program is run competitively, so shelters and agencies have difficulty continuing their existing programs from one two year program to the next if contract dates don’t coincide. The agencies find themselves layoff staff only to re-hire a few months later when the new funding comes in.

Second Comment Period

Only one comment was received during the second citizen comment period March 12, 2016 – April 12, 2016 and second public hearing – April 6, 2016. It is from LeadingAge PA and they wanted to make sure the Commonwealth continues to prioritize the need of the senior citizen in affordable housing and necessary services for them to live independently.

SA -8-16-16 Summary of Citizen Comments

One written comment was received of the proposed changes adding the HTF program from Leading Age PA, Mechanicsburg, PA. The letter may be found in the Appendices of this document. A summary of the letter is this statement from the letter: “ *LeadingAge PA supports the Commonwealth’s efforts to provide additional services in the community, but notes that this cannot be accomplished without increasing the resources available to meet the growing need for affordable, accessible housing with the supportive services essential to the residents’ wellbeing*”. A copy of the letter may be found in Appendix D.

No comments were received during the public hearing.

6. Summary of comments or views not accepted and the reasons for not accepting them

HOME – Targeting, Leveraging, and Impact – Eliminating this priority of the HOME program, gives DCED nothing to compare competitive programs against when they are reviewing applications for funding. Pennsylvania’s program does allow for up to 30% of HOME funds to be used for areas that aren’t targeted in any given program. With limited funding and a very large need for housing rehabilitation, DCED wants to guarantee that the funding is being used where there is the greatest impact. Also DCED has explained to its grantees that targeting is not just geographically. They may target special populations such as the elderly or those needing accessibility improvements.

ESG- Because of the nature of funding for Pennsylvania, the number of possible grantees eligible for ESG funding, and the ever changing approval of the federal budget; DCED is unable to guarantee any shelter or agency funding from one contract year to the next. DCED is attempting to get a set time applications will be due, but without knowing when contracts from HUD will be received, awards cannot be made. Also Pennsylvania does not have state funds available to cover the costs when budgets are late.

SA - 8-16-16 - No comments were received that were not accepted.

7. Summary

The majority of the comments given were about affordable housing for specific populations and better planning for location of these units. DCED will work with its housing partner, PHFA, in making sure these aspects are taken for consideration when they award grants for multi-family units.

SA – 8-16-16 - One comment was received in support of the submission of the substantial amendments

PR-05 Lead & Responsible Agencies - 91.300(b)

1. Agency/entity responsible for preparing/administering the Consolidated Plan

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
CDBG Administrator	PENNSYLVANIA	Department of Community & Economic Development
HOPWA Administrator	PENNSYLVANIA	Department of Health
HOME Administrator	PENNSYLVANIA	Department of Community & Economic Development
ESG Administrator	PENNSYLVANIA	Department of Community & Economic Development
National I Housing Trust Fund	PENNSYLVANIA	Pennsylvania Housing Finance Agency

Table 1 – Responsible Agencies

Narrative

The Commonwealth's overarching direction for its Consolidated Plan is outlined in the mission of DCED. This is carried on in the 2016 Annual Action Plan and proposed uses for the federal funds administered by the state. The mission is applicable to the Commonwealth's efforts to provide housing, homelessness, community and economic development through both federal and state resources. The mission is to foster opportunities for communities and businesses to succeed and thrive in a global economy, thereby enabling Pennsylvanians to achieve a superior quality of life. In order to execute this mission for housing, homeless, community and economic development programs, the Consolidated Plan for 2014-2018 establishes 11 goals. In pursuing these goals, the Commonwealth has also established priorities for the use of its resources. Those priorities emphasize targeting of activities, leveraging other resources and public investments, and promoting community changing impact. The Action Plan for FFY 2016 continues allocating the state's resources toward these priorities and achieving the goals set forth in the Consolidated Plan while allowing flexibility in the use of the various program funds to best meet the needs of the regions and local municipalities.

Consolidated Plan Public Contact Information

The Annual Action Plan for 2016 can be viewed and downloaded on the web at <http://dced.pa.gov>

Electronic and hardcopies may be requested at the locations listed below:

1. County Commissioners' Offices, DCED Regional Offices, and Pennsylvania's 27 District Libraries. Please see Appendix E for contact information.
2. CD copies of the Action Plan can be obtained by calling: (717) 720-7404.
3. Questions and comments may be electronically submitted to DCED via the following mailbox: RA-DCEDcdbg&homequestions@pa.gov.
4. Written questions or comments should be submitted to Megan L. Snyder, Center for Compliance, Monitoring and Training, Department of Community and Economic Development, 400 North Street, 4th Floor, Commonwealth Keystone Building, Harrisburg, PA 17120-0225.

AP-10 Consultation - 91.110, 91.300(b); 91.315(l)

1. Introduction

In developing the 2016 Annual Action Plan, DCED utilized its revised citizen participation plan process by relying more on electronic notification which aided in its broad consultation and public participation process as well as proposing changes in its administration of the federal programs. The revised process continues to use the regional and statewide meetings, web-based forums, provide online public hearings, conventional notices directly to interested parties and making the document available on DCED's website at: <http://dced.pa.gov>. All meetings are open to the public and follow the required Sunshine Act. The Commonwealth utilized its six (6) Regional Housing Advisory Committees (RHACs) to determine the needs of their regions. The RHACs met in October 2015 and analyzed the direction of programs in their areas. The RHACs are comprised of state grantees, housing officials and developers, non-profit organizations, health organization, local government officials, the Continuum of Care Chairpersons of each region and the DCED regional office directors. A summary of the meetings and recommendations are taken to the PHAC for review and coordination with the Plan. The Pennsylvania Housing Advisory Committee (PHAC) met October 28, 2015 and March 7, 2016.

The Department of Health (DOH), Bureau of Communicable Diseases, Division of HIV/AIDS will administer the HOPWA Program by allocating the funds on a formula basis to the seven regional HIV Grantees. Part of the Philadelphia and Pittsburgh regions receive separate allocations directly from the U.S. Department of Housing and Urban Development (HUD). Additionally, the cities of Allentown, Harrisburg and Bensalem Township receive separate allocations directly from HUD. For the HOPWA grant year, these regions request the State of Pennsylvania to serve as the grantee and administer the funds for housing support and related services as done in previous years. DOH presumes that this will be the case going forward and thus the funding is included in the overall amount for the HOPWA program. Within the South West (Pittsburgh) region, the regional grantee receives funding for four counties; Cambria, Greene, Indiana, and Somerset. Within the Northeast Region, Pike County receives funding from the New Jersey grantee. The regional grantees establish grant agreements or directly disperse funds based on the need for a full range of eligible housing services. Each grantee has prioritized needs for its respective region through a formal process reflective of demographic and epidemiological differences.

DCED also discussed the impending allocation of the National Housing Trust Fund with the administrator, PHFA, and the development of this Action Plan, as well as their own plan, for the guidelines of the program. PHFA has conducted a number of public hearings through their Tax Credit program, which will have the addition of the HTF funds at least for the first year.

Provide a concise summary of the state's activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies

The Commonwealth utilizes two groups to enhance coordination between the groups stated. The first is through the RHACs. Membership on these is approved by the Secretary of DCED and its members are chosen from the housing, homelessness, developer, community development and non-profit areas, including health organizations of the six DCED regions of the state. These groups meet at least annually

to discuss issues in their respective regions and provide a forum for further discussion on specific topics of interest. The Chairpersons of the Balance of State Continuum of Care (BoS CoC) are part of the membership to enhance the input of the needs of the homeless, as well as participating agencies of the statewide CoCs.

The PHAC's membership includes the Secretaries of the Departments of Community and Economic Development, Aging, Health, Human Services, Labor and Industry, representatives from the State House of Representatives and the State Senate, and the executive directors of Pennsylvania Housing Finance Agency (PHFA), and the Human Relations Commission, representatives from county government, for-profit housing providers, housing and redevelopment authorities, organized labor, for-profit and non-profit providers of technical assistance, and social service providers. The chairmen of the RHACs are also members and provide the regional needs to the committee at their meeting. The PHAC also serves as the Commonwealth's Interagency Council on Homelessness. Membership on this board is approved by the Governor.

In 2015, a new policy group was formed from the restructuring of the original Continuum of Care (CoC) system. This group, though known at this time as the Homelessness Program Coordination Committee, replaced the Steering Committee of the Balance of State (BoS) CoCs and become the policy vehicle for the state agencies concerned with homelessness and directing state resources to meet the needs. It is the working body of the Interagency Council on Homelessness (AKA:PHAC), provide for interagency policy and program coordination, continue the state's coordination with the CoCs and promote the best practices in terms of eradication of homelessness within the Commonwealth. Members of this committee are provided notices of all public meetings, hearings, and the availability of the draft plan for citizen comment.

Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness

The Commonwealth has 16 CoCs operating in the state; two (2) of these are Balance of State (BoS) covering the non-entitlement areas of the state plus some entitlements that have chosen to join the BoS rather than form their own CoC. DCED serves as the Collaborative Applicant and HMIS Lead for the BoS CoC, so the department is actively coordinating efforts with the CoCs in the needs of the homeless. Besides the CoCs, DCED and Department of Human Services(DHS), chair a Homelessness Program Coordination Committee that meets quarterly and discusses issues currently pressing for the state, CoCs and their members. Each BoS CoC is represented by two chairpersons and the remaining 14 entitlement CoCs are represented by two chairpersons representing the entire group. Also attending these meetings are representatives from the Veteran's Administration, state agencies and organizations serving mental health, HIV/Aids, early childhood, education, the disabled, elderly, parolees, low-income, and foster care. Various topics are discussed and then information is taken back to the CoCs boards by their chairmen at their quarterly board meetings and annual membership meetings. Policy and issues on homelessness are also discussed at these meetings where the CoCs' opinion and suggestions are requested on all topics.

Describe consultation with the Continuum(s) of Care that serves the State in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS

The CoCs have been actively involved in the development of the priorities, target populations, outcome measures, and evaluation process for the ESG program since the program's change under the Hearth Act in 2012 through their representation on the original steering committee. Aside from the statutory regulations on the percentage of the allocation that may be allocated to shelter and outreach activities in ESG, the Homeless Steering Committee also set as a priority that at least 45% of the remaining program funding must go to rapid rehousing to be in coordination with the wishes of the US Interagency Council on Homelessness. The CoCs were consulted on the development of a policy on residency requirements for assistance for the ESG program. Though not banning it, as many match funds have it as a requirement, the CoCs compromised to allow a sliding scale of points during evaluation of ESG applications to be used to prioritize those shelters and programs that have no requirement or open the beds in less than 48 hours. In addition the CoCs were consulted about the evaluation tool DCED staff uses to rank applications for ESG. Continued consultation with the CoCs on the ESG components is expected. The CoCs are actively involved in the review of the ESG applications by DCED asking them to report on the applicants' participation in the CoC and their knowledge of the programs applied for. This review provides points in the evaluation process and prioritizes agencies that are active in the CoCs. DCED plans to expand the CoC's roles in the application process once more pressing items are in place such as coordinated entry and performance measures.

In the area of the HMIS, all CoCs using the state's HMIS system have representatives on the HMIS advisory committee. In the fall of 2014, DCED implemented a new HMIS system and has re-established the HMIS committee comprised of members of the merged BoS CoCs, entitlement CoC, HMIS lead (DCED) and other agencies using the HMIS system, such as the US Veteran's Administration and PA Department of Human Service's PATH program. This group forms the HMIS governing board and has developed the governance charter, user policies and procedures. It is expected that the use of the HMIS system will grow over the next three years and this governing board will be essential for the smooth and secure use of the system, while meeting HUD's ever changing standards.

2. Agencies, groups, organizations and others who participated in the process and consultations

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	PENNSYLVANIA HOUSING FINANCE AGENCY		
	Agency/Group/Organization Type	Housing Other government - State Regional organization Planning organization		
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Public Housing Needs Market Analysis		
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Pennsylvania Housing Finance Agency serves as the co chairman of the PHAC, has membership on the Central RHAC and the Homelessness Program Coordination Committee. PHFA also assists in the evaluation of housing requests under the HOME program with DCED. PHFA has provided staff time and previously produced plans and reports for the development of this plan. PHFA will be the administrator of the National Housing Trust Fund and is the lead agency for the State Housing Trust Fund and Low Income Housing Tax Credit Program as designated by PA Act 105 of 2010.		
2	Agency/Group/Organization	NW Regional Housing Advisory Committee		
	Agency/Group/Organization Type	Housing PHA Services - Housing Services-Children Services-Elderly Persons	Services-Persons with Disabilities Services-Victims of Domestic Violence Services-homeless Services-Health Other government – State	Other government - Local Regional organization Business Leaders Civic Leaders Grantee Department Neighborhood Organization
	What section of the Plan was addressed by Consultation?	Fair housing, Changes to method of Distribution		

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Regional Housing Advisory Committees provide the base consultation on the needs and issues of their regions of the state. They also serve as the first group to hear of the proposed changes to the state's administration of programs and give input on how it will affect their areas. The RHAC meets prior to the draft of the Consolidated Plan and annual action plans being published. They are also given notice of all public hearings and the citizen comment periods.		
3	Agency/Group/Organization	Central Regional Housing Advisory Committee		
	Agency/Group/Organization Type	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-homeless	Services-Health Services-Education Services-Employment Services - Victims Other government - Federal Other government - State Other government - County Other government - Local	Regional organization Planning organization Business Leaders Civic Leaders Immigrant & Refugee Services Grantee Department Private Sector Banking / Financing
	What section of the Plan was addressed by Consultation?	Fair Housing and Changes to Method of Distribution		
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Regional Housing Advisory Committees provide the base consultation on the needs and issues of their regions of the state. They also serve as the first group to hear of the proposed changes to the state's administration of programs and give input on how it will affect their areas. The RHAC meets prior to the draft of the Consolidated Plan and annual action plans being published. They are also given notice of all public hearings and the citizen comment		
4	Agency/Group/Organization	NE Regional Housing Advisory Committee		

	Agency/Group/Organization Type	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-homeless	Services-Health Services-Education Services-Employment Other government - State Other government - County Other government - Local Regional organization	Planning organization Business Leaders Civic Leaders Council of Churches Grantee Department Neighborhood Organization Private Sector Banking / Financing
	What section of the Plan was addressed by Consultation?	Fair housing and Changes to Method of Distribution		
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Regional Housing Advisory Committees provide the base consultation on the needs and issues of their regions of the state. They also serve as the first group to hear of the proposed changes to the state's administration of programs and give input on how it will affect their areas. The RHAC meets prior to the draft of the Consolidated Plan and annual action plans being published. They are also given notice of all public hearings and the citizen comment periods.		
5	Agency/Group/Organization	SE Regional Housing Advisory Committee		
	Agency/Group/Organization Type	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities	Services-Victims of Domestic Violence Services-homeless Services-Health Other government - State Other government - County Other government - Local Regional organization	Planning organization Business Leaders Civic Leaders Foundation Grantee Department Neighborhood Organization Private Sector Banking / Financing
	What section of the Plan was addressed by Consultation?	Changes to Method of Distribution		

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Regional Housing Advisory Committees provide the base consultation on the needs and issues of their regions of the state. They also serve as the first group to hear of the proposed changes to the state's administration of programs and give input on how it will affect their areas. The RHAC meets prior to the draft of the Consolidated Plan and annual action plans being published. They are also given notice of all public hearings and the citizen comment periods		
6	Agency/Group/Organization	SW Regional Housing Advisory Committee		
	Agency/Group/Organization Type	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-homeless	Services-Health Services-Education Services - Victims Health Agency Other government - State Other government - County Other government - Local Regional organization	Planning organization Business Leaders Civic Leaders Minority Organization Grantee Department Neighborhood Organization Private Sector Banking / Financing
	What section of the Plan was addressed by Consultation?	Fair Housing and Changes to the Method of Distribution		
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Regional Housing Advisory Committees provide the base consultation on the needs and issues of their regions of the state. They also serve as the first group to hear of the proposed changes to the state's administration of programs and give input on how it will affect their areas. The RHAC meets prior to the draft of the Consolidated Plan and annual action plans being published. They are also given notice of all public hearings and the citizen comment periods		
7	Agency/Group/Organization	Lehigh Valley Housing Advisory Committee		

	Agency/Group/Organization Type	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-homeless	Services-Health Services-Education Services - Victims Health Agency Other government - State Other government - County Other government - Local Regional organization	Planning organization Business Leaders Civic Leaders Minority Organization Grantee Department Neighborhood Organization Private Sector Banking / Financing
	What section of the Plan was addressed by Consultation?	Fair Housing and Changes to the Method of Distribution		
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Regional Housing Advisory Committees provide the base consultation on the needs and issues of their regions of the state. They also serve as the first group to hear of the proposed changes to the state's administration of programs and give input on how it will affect their areas. The RHAC meets prior to the draft of the Consolidated Plan and annual action plans being published. They are also given notice of all public hearings and the citizen comment periods		
8	Agency/Group/Organization	Pennsylvania Housing Advisory Committee		
	Agency/Group/Organization Type	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence	Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Other government - State Other government - County	Other government - Local Regional organization Planning organization Business Leaders Civic Leaders Community Development Financial Institution Grantee Department Private Sector Banking / Financing

What section of the Plan was addressed by Consultation?	Public Housing Needs Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Strategy
Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The PHAC serves as the policy organization for both housing and homelessness in the state. This group meets annually to review the Consolidated Plan and Action Plan and discusses effects on housing and homelessness. The outcome of the consultation is that agencies take back the discussion of needs and policies approved and implement then in their program.

Identify any Agency Types not consulted and provide rationale for not consulting

All agency types were consulted through the committees stated above.

Other local/regional/state/federal planning efforts considered when preparing the Plan

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	Continuum of Care - Western and Eastern	This 5 year Plan developed the program goals, method of distribution of allocation, and outcomes for the ESG program.
3 year Community Development Plan	Pennsylvania Act 179 CDBG Grantees	Due to PA's required method of distribution for the majority of the CDBG funding, each grantee must include a 3 year plan of intended goals to be addressed in the next 3 years of funding. These plans were reviewed to determine the goals of the state program.

Table 3 - Other local / regional / federal planning efforts

AP-12 Participation - 91.115, 91.300(c)

1. Summary of citizen participation process/Efforts made to broaden citizen participation

Summarize citizen participation process and how it impacted goal-setting

The Commonwealth continued to provide citizens an opportunity to comment on the use of federal funds through meetings, public notices, electronic notifications and availability of the plan on DCED's website. In developing the Plan, DCED utilized its new citizen participation process which utilizes the electronic media to broaden its public participation process. The six Regional Housing Advisory Committees met in October, 2015. The meetings were open to the public and duly advertised. The 2014 CAPER, regional concerns and needs, the Analysis of Impediments to Fair Housing Choice and new monitoring process were reviewed as part of the planning stage

The Commonwealth conducted two 30-day public comment periods. One, during the month of November 2015, to take citizens' needs and concerns for the consideration of the plan and the other for the citizens to review the plan before submission, March/April 2016. DCED published a summary of the Plan in the *Pennsylvania Bulletin* on March 12, 2016. Notice of these comment periods were sent to all grantees, interested parties, CoC, RHAC, PHAC, and Advisory Committee the week of March 15, 2016. It was also placed on the website.

DCED provided two electronic public meetings, one on November 2, 2015 to take citizen comments for planning of the document and one on April 6, 2016 to take comments on the draft Plan. The 2016 Action Plan is available on DCED's website at: <http://dced.pa.gov>. It was announced that persons with disabilities and organizations representing persons with disabilities, would be given accommodations in order to be involved in the citizen participation process for the Action Plan. The items on DCED's website meet the requirements for Section 504, so the Plan was available to the disabled in numerous methods. To aid those residents who have Limited English Proficiency, a Spanish version of the plan was placed on the website and all public notices included a statement that translators can be provided at the public hearing if DCED is given 72 hour notice.

Citizen comments were received during the planning stage of the plan and are attached in Appendix D. Most of the comments were about affordable housing, especially for the disabled. This agreed with the findings of the Analysis of Impediments to Fair Housing Choice and is being incorporated into the recommendations for that document.

There were comments provided by attendees of the Pennsylvania Housing Advisory Committee. These mostly dealt with the HOME priorities for Targeting, Leverage, and Impact and the need for affordable housing.

One comment was received during the second comment period held after the draft action plan was made available for review. This comment also dealt with providing affordable housing and services for the seniors of the state.

All comments may be found in Appendix D of the plan and are discussed in detail in section AP-05.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of Comments not accepted and reasons	URL (If applicable)
1	Public Meeting	<p>Minorities</p> <p>Non-English Speaking - Specify other language: Spanish</p> <p>Persons with disabilities</p> <p>Non-targeted/ broad community</p>	<p>Web-based meetings were held in the six DCED regions as part of the RHAC meetings. Conference Call capabilities were also available.</p>	<p>The primary concerns were the more affordable housing, especially in areas of high growth and/or economic development. They also mentioned the need for better, affordable transportation, especially in the same areas, for low-income persons to go from affordable housing to their jobs.</p>	<p>All were accepted</p>	
2	PA Bulletin	<p>Minorities</p> <p>Non-English Speaking - Specify other language: Spanish</p> <p>Persons with disabilities</p> <p>Non-targeted/ broad community</p>	<p>No response. This mode was used to advertise the RHAC meetings, the public hearing, and the availability of the draft for citizen comment.</p>	<p>None</p>	<p>N/A</p>	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of Comments not accepted and reasons	URL (If applicable)
3	Internet Outreach	Minorities Non-English Speaking - Specify other language: Spanish Persons with disabilities Non-targeted/ broad community Residents of Public and Assisted Housing	The draft 2016 Action Plan was placed on the DCED website	No comments were received via this mode of citizen participation.	N/A	http://dced.pa.gov

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of Comments not accepted and reasons	URL (If applicable)
4	Public Hearing	<p>Minorities</p> <p>Non-English Speaking - Specify other language: Spanish</p> <p>Persons with disabilities</p> <p>Non-targeted/broad community</p> <p>Residents of Public and Assisted Housing</p>	Held electronically November 2, 2015 and April 6, 2016	<p>11/2/2015 – 3 citizens present – no comment</p> <p>4/6/2016 - 2 citizens present – no comment during hearing but sent letter during the comment period (LeadingAge PA)</p>	None	N/A
5	Electronic mailings	<p>Minorities</p> <p>Persons with disabilities</p> <p>Non-targeted/ broad community</p> <p>Residents of Public and Assisted Housing</p>	All notices of public meetings, public hearings, citizen comment period, and availability of the draft plan on the website are sent out electronically to all of interested contacts.	<p>Three persons/group responded to the first citizen comment period. Comments are included in Appendix D.</p> <p>One agency responded to the second citizen comment period. Comments are included in Appendix D.</p>	None	N/A

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of Comments not accepted and reasons	URL (If applicable)
6	Public Meeting	Agencies of the State	PHAC Meetings – October 28, 2015 And March 7, 2016	10/28/2015 – Comments made about affordable housing especially for the disabled 3/7/2016 – A number of members had comments on the HOME and ESG program. Please see summary in Appendix D.	See AP-05	N/A

Table 4 – Citizen Participation Outreach

Expected Resources

AP-15 Expected Resources – 91.320(c)(1,2)

Introduction

The Commonwealth is expecting a total of \$59,934,739 of federal funding in 2016 (less Allentown HOPWA funds to NJ and excluding CDBG-DR & NSP Program Income) to be used for the needs of the non-entitled communities in Pennsylvania. The CDBG, HOME, ESG and CDBG-DR funds will be used to address many different eligible needs across the state as determined by the units of local government. For HOPWA all eligible uses of the program may be addressed by the regional units. The NSP Recapture program will utilize approximately \$3 million in recaptured grant funds and program income to complete additional units of affordable housing that meet the original NSP regulations. The Commonwealth doesn't formally place any other resources to be used directly with these funds for projects but rather allows the local government to package their own projects which could include the use of other federal resources, state, local and private funding. To meet the required HOME match, tax credits are used through the Pennsylvania Housing Finance Agency. With ESG programs, the grantees are required to provide their own match. Many grantees use other sources of homelessness funding such as Homeless Assistance Program (HAP) and Community Services Block Grant (CSBG) or rely on local funding through donations and in-kind services.

Beginning in 2016, funds became available to PHFA for the National Housing Trust Fund (HTF) and these funds will be included in the Annual Action Plan including the goals and outcomes. The actual amount to be allocated to the HTF for 2016 will be \$3,862,285 and will be used to support development of rental housing to benefit very low- and extremely low-income households. For 2016 PHFA expects to provide funding to rental housing properties which are also supported through federal Low Income Housing Tax Credit program and other federal funding sources using priorities identified in the Tax Credit Allocation Plan.

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 3				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	37,464,741	164,654	0	37,629,395	76,000,000	2016 allocations

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 3				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	\$14,763,920	101,684	0	14,763,920	30,000,000	2016 adjusted allocation plus \$290,740 anticipated funds from Upper Darby
HOPWA	public - federal	Permanent housing in facilities Permanent housing placement Short term or transitional housing facilities STRMU Supportive services TBRA	2,432,719	0	*	2,432,719	3,600,000	2016 allocation for the state, Harrisburg, Bensalem, and partial Allentown

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 3				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	5,565,646	0	0	5,565,646	10,000,000	2016 allocation
National Housing Trust Fund	public - federal	Acquisition Admin and Planning Multifamily rental new construction Multifamily rental rehab	3,862,285	0	0	3,862,285	11,586,855	2016 allocation.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 3				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
Other CDBG-DR	public - federal	Acquisition Admin and Planning Economic Development Homeowner rehab Housing Multifamily rental new construction Multifamily rental rehab New construction for ownership Public Improvements	0	0	57,128,501	57,128,501	0	CDBG-DR Funding from 2012 Allocation – \$27,142,501 Funding from 2013 Allocation - \$29,986,000

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 3				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
Other NSP Recapture	public - federal	Acquisition Admin and Planning Financial Assistance Homebuyer assistance Housing Multifamily rental new construction Multifamily rental rehab New construction for ownership	0	1,800,000	1,200,000	3,000,000	0	Remainder of NSP1 Allocations plus recaptured program income

Table 5 - Expected Resources – Priority Table

**Please Note: The 2014 HOPWA grant year was 6 months in length and not 12 months due to HUD Philadelphia notifying the Pennsylvania Department of Health, Bureau of Communicable Diseases, Division of HIV/AIDS to change the grant time period from July to June to January to December. Therefore, the Prior Year Resources for 2015 are more than previous years. Additionally, the Commonwealth of Pennsylvania had a budget impasse beginning July 1, 2015 and a good amount of funding was not made available until January, 2016. Therefore, the Regional Grantees used Leveraged funding to pay for much of the needed client services.*

Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied

HOME Match requirement of 25% will be satisfied primarily by Pennsylvania Housing Finance Agency utilizing Low Income Housing Tax Credits, Cash non-Federal, Charges and Bond Financing to match investments of HOME dollars in communities. Units of General Local Government (UGLG) may also contribute to Pennsylvania's match requirement providing match to HOME projects using sources such as Act 137 funding - housing fees associated with the recording of deeds and mortgages at participating counties.

Emergency Solutions Grant (ESG) Match requirement is 100%. Pennsylvania requires grantees to match 100% of their sub-award grant amount with eligible finding sources. Grantees are using Homeless Assistance Program (HAP - State), United Way (Local), Pennsylvania Coalition Against Domestic Violence (PCADV - State), Federal Emergency Management Agency (FEMA - Federal), Human Services Development Fund (HSDV - Federal), Low Income Home Energy Assistance Program (LIHEAP - Federal), Victims of Crime Act (VOCA - Federal), Community Development Block Grant (CDBG - Federal), Pennsylvania Continuum of Care (COC - Federal), in-kind contributions and cash donations (Local). Pennsylvania's administration and data collection is matched using general government operations funds from the state.

CDBG federal funds, though not requiring a match, will be leveraged by local municipalities using Pennsylvania Infrastructure Investment Authority (PENNVEST - Federal and State), United States Department of Agriculture (USDA - Federal), Neighborhood Assistance Program tax credits (NAP - state), Keystone Communities (State), Act 137 - housing fees attached to mortgages (state), in-kind contributions, and cash donations. CDBG administrative expenses, after the first \$100,000, will be matched dollar for dollar using the state's General Government Operations (GGO) funds. .

There are no matching requirements in the Pennsylvania HOPWA Program. For the 2015 HOPWA grant year, 571 households within the seven regions received HOPWA Housing assistance in Pennsylvania. The project sponsors expended a total of \$2,314,538.47 in leveraged funding in conjunction with HOPWA funding; of these amounts \$1,063,664.33 was leveraged for housing assistance and \$1,250,874.14 was leveraged for supportive services and other non-direct housing costs. The leveraging of funding was primarily Ryan White PART B funding, State funding and Foundation funding. The Regional Grantees plan to use leveraged funding for the 2016 grant year and going forward.

Although the Housing Trust Fund (HTF) does not require a match, funds will be used to leverage federal Low Income Housing Tax Credit projects in Pennsylvania to increase the number of units set aside for extremely low-income tenants in the proposal.

If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan

The state of Pennsylvania does not provide state owned land or property for use with CDBG, HOME, ESG or HOPWA federal funds. Pennsylvania units of general local government may provide locally owned land or property for projects on a grant by grant basis.

Discussion

The Pennsylvania Housing Finance Agency (PHFA) is contractually required to provide the required match for the Commonwealth's HOME match requirement. PHFA accomplishes this through predominantly the use of the Low Income Housing Tax Credit Program for multi-family rental projects. In most years the match requirement is superseded and the extra is banked for use in future years.

Annual Goals and Objectives

AP-20 Annual Goals and Objectives – 91.320(c)(3)&(e)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Improve Quality of Housing Stock	2014	2018	Affordable Housing Public Housing	HOME Non-HUD Entitlement Jurisdictions Pennsylvania Act 179 Formula PHFA – National Housing Trust Fund CDBG-DR	Housing Rehab Single-Unit Residential Housing Rehab Multi-Unit Residential Code Enforcement	CDBG: \$4,000,000 HOME: \$5,000,000 HTF: \$1,931,425 CDBG-DR: TBD NSP: \$3,000,000	Rental units rehabilitated: 25 Household Housing Unit Homeowner Housing Rehabilitated: 650 Household Housing Unit Existing Homebuyer Units - 50
2	Construction of New Rental Units	2014	2018	Affordable Housing Public Housing Homeless Non-Homeless Special Needs	HOME Non-HUD Entitlement Jurisdictions Pennsylvania Act 179 Formula PHFA- National Housing Trust Fund	Acquisition/Disposition of Real Property Clearance and Demolition Housing Construction of New Housing	HOME: \$1,000,000 HTF: 1931425	Rental units constructed: 140 Household Housing Unit Housing for Homeless added: 5 Household Housing Unit Buildings Demolished: 1 Buildings

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
3	Assistance for Public Infrastructure & Facilities	2014	2018	Non-Housing Community Development	Pennsylvania Act 179 Formula CDBG-DR	Acquisition/Disposition of Real Property Clearance and Demolition Public Facilities Senior Centers Public Facilities Handicapped Center Public Facilities Homeless Facilities	CDBG: \$17,000,000 CDBG-DR: TBD	Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit: 25,000 Households Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
3 (continued)	Assistance for Public Infrastructure & Facilities	2014	2018	Non-Housing Community Development	Pennsylvania Act 179 Formula CDBG-DR	Public Facilities Youth Centers Public Facilities Neighborhood Facilities Public Facilities Parks, Recreational Facilities Public Facilities Parking Facilities Public Facilities Solid Waste Disposal Improvement Public Facilities Flood Drainage Improvements Public Facilities Water/Sewer Improvements Public Facilities Street Improvements Public Facilities Sidewalks Public Facilities Child Care Centers Public Facilities Tree Planting Public Facilities Fire Stations/Equipment Public Facilities Health Facilities Public Facilities for Abused & Neglected Children Public Facilities for AIDS Patients Public Facilities General Improvements		

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
4	Public Services for LMI Households (Non-ESG)	2014	2018	Affordable Housing Public Housing Homeless	Pennsylvania Act 179 Formula	Public Services Senior Services Public Services Handicapped Services Public Services Legal Services Public Services Youth Services Public Services Transportation Systems Public Services Substance Abuse Services	CDBG: \$200,000 HOME : \$10,000	Persons assisted with various service – 9100 Tenant based rental Assistance - 100

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
4 (continued)	Public Services for LMI Households (Non-ESG)	2014	2018	Affordable Housing Public Housing Homeless	Pennsylvania Act 179 Formula	Public Services for Battered and Abused Persons Public Services Employment Training Public Services Crime Awareness/Prevention Public Services Tenant/Landlord Counseling Public Services Child Care Services Public Services Health Services Public Services for Abused and Neglected Children Public Services Mental Health Services Public Services Homeownership Assistance not direct Public Services Rental Housing Subsidies Public Services Housing Counseling Public Services Neighborhood Cleanups Public Services Food Banks Public Services Operating Costs of Homeless/AIDS Public Services Other		
5	Clearance and Demolition of Substandard Units	2014	2018	Non-Housing Community Development	Pennsylvania Act 179 Formula CDBG-DR	Acquisition/Disposition of Real Property Clearance and Demolition	CDBG: \$1,500,000 CDBG-DR: TBD	Buildings Demolished: 35 Buildings

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Housing and Services for Persons with HIV/AIDS	2014	2018	Affordable Housing Non-Homeless Special Needs	HOPWA 7 Regional Coalitions Pennsylvania Act 179 Formula	Housing for Low Income HIV/AIDS clients	HOPWA: \$2,432,719	HIV/AIDS Housing Operations: 475 Household Housing Unit
7	Rental Assistance and Services for the Homeless	2014	2018	Affordable Housing Public Housing Homeless	PA 601 Southwest Pennsylvania Continuum of Care PA 509 Allentown/Northeast Pennsylvania Continuum of Care	Public Services Legal Services Public Services Tenant/Landlord Counseling Public Services Health Services Public Services Rental Housing Subsidies Public Services Security Deposits Public Services Housing Counseling Public Services Operating Costs of Homeless/AIDS	ESG: \$5,000,000	Tenant-based rental assistance / Rapid Rehousing: 550 Households Assisted Homeless Person Overnight Shelter: 3650 Persons Assisted Overnight/Emergency Shelter/Transitional Housing Beds added: 5 Beds Homelessness Prevention: 450 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
8	Further Fair Housing and Address Impediments	2014	2018	Affordable Housing Public Housing Homeless Non-Homeless Special Needs Non-Housing Community Development	HOME Non-HUD Entitlement Jurisdictions HOPWA 6 Regional Coalitions non-entitlement PA 601 Southwest Pennsylvania Continuum of Care Pennsylvania Act 179 Formula PA 509 Allentown/Northeast Pennsylvania Continuum of Care	Housing Construction of New Housing Housing Direct Homeownership Assistance Housing Rehab Single-Unit Residential Housing Rehab Multi-Unit Residential Public Services Tenant/Landlord Counseling Public Services Homeownership Assistance not direct Public Services Rental Housing Subsidies Public Services Security Deposits Public Services Housing Counseling Public Services Neighborhood Cleanups Code Enforcement Housing for Low Income HIV/AIDS clients Fair Housing Activities	CDBG: \$50,000	Local Government Units/Grantees – 10 DCED will use some of this to conduct training of grantees and begin addressing some impediments to Fair Housing Choice.

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
9	Improve the Economic Environment	2014	2018	Non-Housing Community Development Economic Development	Pennsylvania Act 179 Formula CDBG-DR	Acquisition/Disposition of Real Property Clearance and Demolition Economic Development Rehab Commercial Industrial Economic Development Infrastructure Development Economic Development Direct Financial Assistance Public Services Employment Training Code Enforcement	CDBG: \$250,000 CDBG-DR: TBD	Facade treatment/business building rehabilitation: 4 Business Jobs created/retained: 10 Jobs Businesses assisted: 2 Businesses Assisted
10	Assist New Homebuyers	2014	2018	Affordable Housing Non-Homeless Special Needs	HOME Non-HUD Entitlement Jurisdictions Pennsylvania Act 179 Formula	Housing Direct Homeownership Assistance Public Services Legal Services Public Services Homeownership Assistance not direct Public Services Housing Counseling	CDBG: \$30,000 HOME: \$1,000,000	Direct Financial Assistance to Homebuyers: 35 Households Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
11	Building Local Capacity	2014	2018	Administration & Planning	HOME Non-HUD Entitlement Jurisdictions HOPWA 6 Regional Coalitions non-entitlement PA 601 Southwest Pennsylvania Continuum of Care Pennsylvania Act 179 Formula PA 509 Allentown/Northeast Pennsylvania Continuum of Care CDBG-DR HTF	Capacity Building through Admin & Planning	CDBG: \$6,000,000 HOME: \$1,100,000 ESG: \$340,000 HOPWA: \$70,000	Other: 125 Local Governments and Coalitions

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Improve Quality of Housing Stock
	Goal Description	Improve the quality of housing stock through rehabilitation of existing single family and multi-family units.
2	Goal Name	Construction of New Rental Units
	Goal Description	Aid individuals and families with finding affordable living environments through new rental units and rental assistance.
3	Goal Name	Assistance for Public Infrastructure & Facilities
	Goal Description	Assist individuals and families in obtaining the necessary public services to improve their quality of life.
4	Goal Name	Public Services for LMI Households (Non-ESG)
	Goal Description	Provide flexibility to local government officials to meet the needs of their municipalities in preserving neighborhoods and communities by providing critical assistance for public infrastructure and community facility projects.
5	Goal Name	Clearance and Demolition of Substandard Units
	Goal Description	Provide the necessary assistance for local government officials to clear and demolish substandard units to rid their communities of hazards to the health and safety of its residents.
6	Goal Name	Housing and Services for Persons with HIV/AIDS
	Goal Description	Provide the necessary rental assistance for low income persons suffering with HIV/AIDS to be able to find decent, affordable housing.
7	Goal Name	Rental Assistance and Services for the Homeless
	Goal Description	Through coordination with the Continuum of Care, the state will address the housing needs of the homeless and provide necessary supportive services to help them attain stability.

8	Goal Name	Further Fair Housing and Address Impediments
	Goal Description	Further fair housing and address impediments to housing choice.
9	Goal Name	Improve the Economic Environment
	Goal Description	Develop economic opportunities to improve the economic environment of the state especially in the rural areas.
10	Goal Name	Assist New Homebuyers
	Goal Description	Assist families and individuals to become home buyers and encourage stability in local communities
11	Goal Name	Building Local Capacity
	Goal Description	Build capacity of community-based organizations and local governments to meet the needs of their residents and encourage planning.

Table 7 – Goal Descriptions

AP-25 Allocation Priorities – 91.320(d)

Introduction

The priorities of the Pennsylvania federal programs are based on the needs identified by the local unit of governments. Act 179 under the CDBG program entitles certain municipalities funding as long as its eligible and fundable under the CDBG program. Aside from this law, DCED does have some priorities for its competitive programs. CDBG Competitive application must show a severe need for the project, a high need in the area based on the number of people to be served and the number of LMI persons in the service area, and that the project will address and correct the problem. HOME projects must meet the Targeting, Leveraging, and Impact requirements of the program. The HTF will be targeted to rental housing for households at 30% AMI in accordance with federal regulations and the PHFA program for LIHTC. Under ESG, rapid re-housing is given a priority over all other activities. If an applicant is applying for shelter rehabilitation/renovation, the following items are a priority:

- Code Deficiencies
- ADA Compliance
- Increase in Bed Capacity
- Energy Conservation
- Health and Safety Issues

Funding Allocation Priorities

	Improve Quality of Housing Stock (%)	Construction of New Rental Units (%)	Assistance for Public Infrastructure & Facilities (%)	Public Services for LMI Households (Non-ESG) (%)	Clearance and Demolition of Substandard Units (%)	Housing and Services for Persons with HIV/AIDS (%)	Rental Assistance and Services for the Homeless (%)	Further Fair Housing and Address Impediments (%)	Improve the Economic Environment (%)	Assist New Homebuyers (%)	Building Local Capacity (%)	Total (%)
CDBG	13	5	45	13	5	0	0	1	1	0	17	100
HOME	58	25	0	5	1	0	0	0	0	5	6	100

HOPWA	0	0	0	0	0	100	0	0	0	0	0	100
ESG	0	0	0		0	0	96	0	0	0	4	100
HTF	50	50	0	0	0	0	0	0	0	0	0	100
Other CDBG- DR	TBD	0	0	0	0	0	0	0	0	0	0	TBD
Other NSP	50	45	0	0	0	0	0	0	0	0	5	100

Table 8 – Funding Allocation Priorities

Reason for Allocation Priorities

The Department of Health (DOH), Bureau of Communicable Diseases, Division of HIV/AIDS will administer the HOPWA Program by allocating the funds per the previous year’s distribution which includes (a combination of the number persons living with HIV/AIDS, service utilization data, and demonstrated need) as a baseline. The regional grantees establish Grant agreements or directly disperse funds based on the need for a full range of eligible housing services. Each grantee has prioritized needs for its respective region through a formal process reflective of demographic and epidemiological differences. The regional grantees issue Requests for Proposals, to large organizations and smaller grassroots, faith based and other community organizations and the City of Philadelphia, Office of Housing and Community Development Regional Grantee uses a sole source process as it would not be practical to enter into grant agreements with different agencies each year since they would not have the institutional knowledge to manage these services effectively. The following services are provided in Pennsylvania: tenant based rental assistance; short term rent, mortgage, and utility payments; permanent housing placement and supportive services – case management.

How will the proposed distribution of funds will address the priority needs and specific objectives described in the Consolidated Plan?

The immediate issues remain that clientele will continue to struggle with securing safe, sanitary, and affordable housing because of low or inadequate incomes and the limited availability of such housing. The HOPWA funding allocated to each region will help many clients prevent eviction or utility shut-off. Clients will be able to move from temporary living situations to permanent housing. All households receiving HOPWA assistance are required to participate in case management to assure, when possible, that crises are being averted. They work with their case managers to develop a Housing Plan outlining a timeframe and method for stabilizing their living situations and thus, obtaining self-sufficiency.

A formal monitoring and evaluation system has been developed to ensure quality service and appropriate levels of care. Each regional grantee is responsible for the development and maintenance of a needs assessment, prioritization of services, and to monitor project sponsors and oversee the disbursement of funds.

AP-30 Methods of Distribution – 91.320(d)&(k)

Introduction

The following state agencies have the designation of “lead agency” for the state’s federal resources:

Pennsylvania Department of Community and Economic Development (DCED)

- Community Development Block Grant (CDBG)
- HOME Investment Partnership (HOME)
- Emergency Solutions Grant (ESG)
- Neighborhood Stabilization Program (NSP 1 & 3)
- CDBG – Disaster Recovery (CDBG – DR)

Pennsylvania Department of Health

- Housing Opportunities for Persons with Aids (HOPWA)

Pennsylvania Housing Finance Agency

- National Housing Trust Fund (HTF)

Outcomes

In 2016, activities to be carried out through grants under the CDBG, HOME, ESG, HOPWA , NSP and HTF programs further the Commonwealth’s progress toward obtaining the following goals:

Goals:

1. Improve the quality of housing stock through rehabilitation of existing single family and multi-family units.
2. Aid individuals and families with finding affordable living environments through new rental units and rental assistance.
3. Assist individuals and families in obtaining the necessary public services to improve their quality of life.
4. Provide flexibility to local government officials to meet the needs of their municipalities in preserving neighborhoods and communities by providing critical assistance for public infrastructure and community facility projects.

5. Provide the necessary assistance for local government officials to clear and demolish substandard units to rid their communities of hazards to the health and safety of its residents.
6. Provide the necessary rental assistance for persons suffering with HIV/AIDS to be able to find affordable housing.
7. Through coordination with the Continuum of Care, the state will address the housing needs of the homeless and provide necessary supportive services to help them attain stability.
8. Further fair housing and address impediments to housing choice.
9. Develop economic opportunities to improve the economic environment of the state especially in the rural areas.
10. Assist families and individuals to become home buyers and encourage stability in local communities.
11. Build capacity of community-based organizations and local governments to meet the needs of their residents and encouraging planning.

In addition the CDBG-DR has a goal of providing for disaster relief for unmet needs, long-term recovery and restoration of infrastructure, housing, and economic revitalization for households and communities that experienced damage through the Tropical Storm Lee and Hurricane Irene.

Distribution Methods

Table 9 - Distribution Methods by State Program

1	State Program Name:	Community Development Block Grant - Disaster Recovery
	Funding Sources:	CDBG-DR
	Describe the state program addressed by the Method of Distribution.	<p>DCED will allocate funds in the following categories, which may be amended as data from the needs assessment indicates:</p> <ul style="list-style-type: none"> •Housing •Economic Development •Infrastructure •Planning and Services <p>More detailed information on the dollar amounts available per category and estimated outcome in each category can be found in the 2012 & 2013 Action Plans for the CDBG-DR. http://dced.pa.gov Both of these plans are currently undergoing major Substantial Amendments based on new studies completed with updated unmet needs and there will be changes in the Method of Distribution.</p>
	Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	<p>This disaster recovery funding is available to any unit of local government in the Commonwealth, including those that qualify as direct federal entitlement communities or urban counties under the CDBG program that were identified under the Presidential Declaration. The 36 declared counties are: Adams, Bedford, Berks, Bradford, Bucks, Chester, Columbia, Cumberland, Dauphin, Delaware, Huntingdon, Juniata, Lackawanna, Lancaster, Lebanon, Lehigh, Luzerne, Lycoming, Mifflin, Monroe, Montgomery, Montour, Northampton, Northumberland, Perry, Philadelphia, Pike, Schuylkill, Snyder, Sullivan, Susquehanna, Tioga, Union, Wayne, Wyoming and York. DCED is required to allot 80 percent of the allocation for the following five hardest hit counties (Bradford, Columbia, Dauphin, Luzerne and Wyoming).</p> <p>Specific guidelines and criteria for each category are listed in the application kit. The link can be found below.</p>

<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>The Action Plans :</p> <p>2012 – http://dced.pa.gov</p> <p>2013 - http://dced.pa.gov</p> <p>Guidelines and Application: http://dced.pa.gov /Programs and Funding – Choose from tabs.</p> <p>Both of these plans are currently undergoing major Substantial Amendments based on new studies completed with updated unmet needs and there will be changes in the Method of Distribution.</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not applicable to the Community Development Block Grant - Disaster Recovery program</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not applicable to the Community Development Block Grant - Disaster Recovery program</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>Please refer to the 2012 and 2013 Action Plans for CDBG-DR. See #3 above.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>Please refer to the 2012 and 2013 Action Plans for CDBG-DR. See #3 above.</p>

	What are the outcome measures expected as a result of the method of distribution?	Please refer to the 2012 and 2013 Action Plans for CDBG-DR. See #3 above.
2	State Program Name:	Community Development Block Grant Act 179 Formula
	Funding Sources:	CDBG
	Describe the state program addressed by the Method of Distribution.	<p>DCED is authorized to administer this program under the Pennsylvania Law known as the Community Development Block Grant Entitlement Program for Non-urban Counties and Certain Municipalities (commonly referred to as Act 179). DCED provides CDBG funding for the smaller communities and rural areas of the Commonwealth that do not receive HUD funding directly.</p> <p>DCED will administer the CDBG Program by allocating 85 percent of the funds through a formula established by state Act 179. Another 13 percent will be allocated through a competitive process. The balance of the funds (up to 2 percent) will be used for DCED's administrative expenses, including support for the Commonwealth's Section 108 loan initiative. DCED will apply the formulas of Act 179 to determine the exact allocations for each of the 28 entitlement cities, 122 entitlement boroughs and townships and the 50 non-urban counties. There are two eligible townships that have chosen not to take their allocation, as they have no projects eligible and fundable. Appendix A lists all Act 179 entitlement entities and their populations.</p>
Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	<p>Due to PA Act 179, DCED may not implement priorities for its entitlement municipalities outside of the requirements of the program, but efforts are made to direct the municipalities in planning their CDBG eligible activities in the following manner:</p> <ol style="list-style-type: none"> 1. To assist communities in preparing Community Development Plans designed to address significant needs of low and moderate-income people. 2. To assist communities in administering community development projects designed to address a number of significant community development needs identified in their Community Development Plans. 3. To encourage and assist communities to focus upon and address housing and community facility problems; and, 4. To pursue economic development and commercial revitalization activities through public/private investment initiatives that will result in the development and expansion of job opportunities within the Commonwealth. 	

<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>The most current application guideline and toolkit can be found on http://dced.pa.gov Choose the Programs and Funding Tab or in the Federal Resource Library located at: http://dced.pa.gov/library Choose Federal Resource Library/ CDBG/Application/2015</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not applicable to the Community Development Block Grant Act 179 Formula program</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not applicable to the Community Development Block Grant Act 179 Formula program</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>All funding categories are eligible for Pennsylvania's CDBG Entitlement Program grantees. The applicants must demonstrate each project's eligibility, fundability and compliance with one of the three National Objectives of the program in the application stage of the grant process. It is the unit of local government's responsibility to plan for the needs of their communities and allocate the annual funding to those needs.</p>

<p>Describe threshold factors and grant size limits.</p>	<p>The Department's annual allocation of CDBG funds will be sub-allocated, according to Act 179, in the following manner:</p> <ol style="list-style-type: none"> 1. Administration: Act 179 and implementing regulations provide that 2 percent of the Commonwealth's CDBG allocation will be set aside for the state's administration of the program. The Commonwealth may use up to one percent of its current allocation and past allocations to implement a technical assistance component for CDBG and other HUD programs. 2. Cities: The portion set aside for Act 179 entitlement cities is 24 percent of the Commonwealth's allocation that remains after deducting the state's administrative and competitive funds from the total allocation. In accordance with Act 179, the funds set aside for entitlement cities will be sub-allocated to each entitlement city, that is to receive a grant, in the following manner: <ul style="list-style-type: none"> • Each entitlement city to receive a grant will be allocated a minimum grant of \$300,000; ** Note - As the CDBG allocation has been cut by nearly 30% over the last ten years, 24% of the allocation is no longer enough to meet this threshold. Since the 2014 allocation, DCED has been taking 24% of the allocation and equally dividing it between the cities, which for 2016 will be 28 in number. In 2015 the cities received \$274,500 each. 3. Boroughs, Towns and Townships: The portion set aside for Act 179 entitlement boroughs, towns and townships is 38 percent of the Commonwealth's allocation that remains after deducting the state's administrative and competitive funds from the total allocation. In accordance with Act 179, the funds set aside for entitlement boroughs, towns, and townships will be sub-allocated to each borough, town, and township that is to receive a grant in the following manner: <ul style="list-style-type: none"> • Each entitlement borough, town and township to receive a grant will be allocated a minimum grant of \$50,000; ** Note in 2016 the only town eligible for funding previously became a HUD direct entitlement. And • In addition to this minimum grant each Act 179 entitlement borough, town and township will receive an additional amount which will be equal to the sum which is obtained by multiplying the balance of funds available to entitlement boroughs, towns and townships after each receives its minimum grant, by a fraction, the numerator of which shall be each entitlement borough, town and township's population and the denominator of which shall be the total population of all entitlement boroughs, towns and townships.
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	<p>Describe threshold factors and grant size limits. (continued)</p>	<p>4. Counties: The portion set aside for Act 179 entitlement counties, for use to benefit the non-entitlement municipalities, is 38 percent of the Commonwealth's allocation that remains after deducting the state's administrative and competitive funds from the total allocation. In accordance with Act 179, the funds set aside for eligible counties will be sub-allocated to each county that is to receive a grant in the following manner:</p> <ul style="list-style-type: none"> •Each eligible county will be allocated a minimum grant of \$200,000; and <p>In addition to this minimum grant, each eligible county will receive an additional amount which will be equal to the sum which is obtained by multiplying the balance of funds available to eligible counties after each receives its minimum grant, by a fraction, the numerator of which shall be each eligible county's net population (county's population minus the population of all federal and state entitlement entities within the county) and the denominator of which shall be the total net population of all eligible counties.</p>
	<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>The 2016 outcomes expected using the CDBG funding is :</p> <ul style="list-style-type: none"> •Existing Homeowner Rehabilitation -180 units •Public Service (Not ESG) - 7,500 persons benefitting •Public Infrastructure & Facilities - 65,000 persons benefitting •Clearance & Demolition - 75 buildings •Businesses Assisted - 1 businesses •Jobs Created or Retained - 4 •Homebuyers Assisted - 2
<p>3</p>	<p>State Program Name:</p>	<p>Community Development Block Grant Competitive</p>
	<p>Funding Sources:</p>	<p>CDBG</p>
	<p>Describe the state program addressed by the Method of Distribution.</p>	<p>Thirteen percent (13%) of the annual CDBG allocation will be set aside for the Pennsylvania Competitive Program for projects in borough, towns, and townships which are not eligible entitlement entities under the state CDBG program, for urgent need projects, planning projects, economic development projects and other projects eligible under the Housing and Community Development Act; or in eligible state entitlement entities with a population less than 10,000, for the same type of projects listed above. Eligible state entitlement entities applying for competitive funds must allocate 75% of its entitlement allocation towards the proposed project.</p>

<p>Describe the state program addressed by the Method of Distribution. (continued)</p>	<p>DCED will use the following priorities in selecting CDBG Competitive applications for approval. These priorities are listed in order of the weighting given for each priority:</p> <p>1. Seriousness</p> <p>Competitive applications will be evaluated based upon the seriousness of the problem and the potential to resolve that problem. Generally, the most serious problems entail lack of potable water, severely contaminated water systems, malfunctioning on-lot systems (or lack of any wastewater treatment), and other significant risks to health and safety. Applicants must explain how the problem affects people. The Department will determine the degree of seriousness of each identified problem. Consideration will also be given to the degree that the proposed project will best resolve the identified problem. The Department will determine if the proposed project will totally resolve the problem or only part of the problem in consideration of the intended beneficiaries.</p> <p>2. Critical Projects</p> <p>Critical projects facilitating major improvements in which a small infusion of funds will close a funding gap.</p> <p>3. Slum and Blight Removal</p> <p>DCED will consider funding applications in support of Community Revitalization projects that are addressing blight removal that do not meet the National Objective of Low-Moderate Benefit. These applications must include a long term (3-5 year) strategy for the comprehensive revitalization of the neighborhood/community which includes blight removal.</p> <p>4. Housing Rehabilitation</p> <p>Applications for housing rehabilitation projects will be considered as a last priority for the use of CDBG Competitive funds. Additionally, DCED may consider HOME Program application requests for CDBG Competitive funding in order to better manage its use of funds from both programs.</p> <p>DCED also reserves the right to use CDBG Competitive funds for Section 108 loan payments, on an interim basis, for economic development projects for the Pennsylvania Section 108 Loan Program in the event that a business borrower goes into loan default.</p>
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<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Competitive applications will be evaluated based on the seriousness and resolution of the problem to be addressed. Applicants must explain how the problem affects its residents. DCED will determine the degree of seriousness of each identified problem. Consideration will also be given to the degree the proposed project will best resolve the identified problem. DCED will determine if the proposed project will totally resolve the problem or only part of the problem in consideration of the intended beneficiaries. The following criteria will be used for the evaluation. The point value shows the importance of the criteria to funding:</p> <p>Project Need (Maximum of 55 points) - Severity of problem, effect on residents (existing/potential), frequency environmental impact, DEP mandates, economic impact, viability.</p> <p>Capacity and past Performance (Maximum of 15 points) - Describe who and how this project will be administered/implemented; concerns and past performance issues.</p> <p>Completeness/Soundness of Proposal (Maximum 10 points) - Application addresses problem, solution, eligibility and fundability</p> <p>Benefit to Low-Moderate Income (Maximum 20 points) - Based on the number of persons benefitting from the project. The more persons benefitting the points awarded based on a scale.</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>The most current application guideline and toolkit can be found on http://dced.pa.gov Choose the Programs and Funding Tab or in the Federal Resource Library located at: http://dced.pa.gov/library Choose the Federal Resource Library/CDBG/Application/2015</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not applicable to the Community Development Block Grant Competitive program</p>

<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not applicable to the Community Development Block Grant Competitive program</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>There is no set amount of funding per eligible activity under the competitive program. Determination of the amount of funding for each category will be based on the type of projects awarded grants. All applications submitted will be considered for funding but must have a minimum score of 50 or greater to be awarded a grant. Projects receiving the highest score will be recommended for funding first as long as resources are available. DCED reserves the right to fund all or a portion of an application to meet available resources.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>Competitive Program is \$750,000 maximum. Must have an evaluation score of a minimum of fifty (50) points.</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>For the 2016 CDBG Competitive allocation the outcomes will be :</p> <ul style="list-style-type: none"> •Public Infrastructure - 200,000 persons benefitting •Clearance and demolition - 2 buildings
<p>4 State Program Name:</p>	<p>Emergency Solutions Grant</p>
<p>Funding Sources:</p>	<p>ESG</p>

<p>Describe the state program addressed by the Method of Distribution.</p>	<p>Emergency Solutions Grant (ESG) (formerly Emergency Shelter Grant) is federal grant funding for the rehabilitation or conversion of buildings for use as emergency shelters for the homeless, for the payment of certain expenses related to operating emergency shelters, for essential services related to emergency shelters and street outreach for the homeless, and for homelessness prevention and rapid re-housing assistance, HMIS and administration. The intent of ESG assistance is to rapidly transition program participants to stability, either through their own means or through public assistance, as appropriate. Funding provided under ESG is not intended to provide long-term support, nor will it be able to address all of the financial and supportive service needs of individuals and families. All activities are to be an important part of the process for stabilization and should provide a comprehensive approach to eradicating homelessness in Pennsylvania.</p>
<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Based on DCED’s history of administering the Emergency Solutions Grant program, greater funding is requested for homelessness prevention than re-housing activities – with approximately one third being requested for re-housing activities. Further, information received by DCED has indicated that prevention activities are the greater need, especially in rural areas and smaller communities. This most likely reflects their cultural and demographic characteristics of those areas.</p> <p>For all of these reasons, DCED will establish the following priorities for its use of the 2016 allocation of Emergency Solutions Grant funds for Rapid Rehousing and Homelessness Prevention:</p> <p>Despite the preference of the Balance of State Continuums of Care (CoCs) to use the ESG funds for prevention rather than rapid rehousing, it is critical that certain subpopulations of households who are homeless receive priority due to their vulnerability. Therefore, DCED will give greater priority to applicants for rapid re-housing of those who are chronically homeless, homeless veterans, and/or homeless families and children.</p> <p>DCED will seek to use at least 45% of its allocation of ESG funds for Rapid Rehousing and Homelessness Prevention (excluding administration and HMIS) for rapid re-housing, but reserves the right to adjust this as the need becomes evident. To ensure this goal is met, applicants requesting rapid re-housing funds will receive a priority.</p>

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria. (continued)</p>	<p>For applications proposing Renovations to Shelters, DCED has established the following priorities for funding activities based mostly on the urgent need of the shelter and not just cosmetic improvements. Priority will be given to the following documented needs: Code Deficiencies, ADA Compliance, Health and Safety Issues, Increase in Bed Capacity, and Energy Conservation.</p> <p>In order to maintain adequate flexibility in responding to local needs which may vary across the state, DCED will not establish sub-priorities by activity types. Even where an applicant’s grant proposal addresses DCED’s priorities for ESG funding, it must also demonstrate the intent and capacity to fulfill all program requirements.</p> <p>Direct HUD entitlements are eligible to compete for ESG funding but will not be given priority over the non-entitlement applicants. Also DCED will only fund the top priority activities for the Direct entitlements leaving more funding flexibility for the non-entitlements.</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>Though not required of ESG, the guidelines and application kit may be found at: http://dced.pa.gov Choose the Programs and Funding Tab</p> <p>or</p> <p>http://dced.pa.gov/library</p> <p>Choose Federal Resource Library/ESG/Application/2016</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>The Commonwealth of Pennsylvania through the Department of Community and Economic Development (DCED) will accept applications from any general purpose units of local government, including cities, boroughs, townships, towns, counties, home rule municipalities, and communities that desire to apply on behalf of other municipalities. Local governments must apply “on behalf of” nonprofit organizations. Non-profits are not eligible.</p> <p>Applicants should complete the ESG proposal and associated forms and attachments via DCED’s Electronic Single Application, and submit certification and required documentation in accordance with instructions outlined in the guidelines as posted at ; http://dced.pa.gov Choose the Programs and Funding Tab, or</p> <p>http://dced.pa.gov/library</p> <p>Choose Federal Resource Library/ESG/Application/2016</p> <p>The application process is discussed in more detail in Part II – ESG Eligibility and Program Requirements of the document.</p>

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only) (continued)</p>	<p>Eligible activities include all activities listed in the interim rule, published in the Federal Register on December 5, 2011. Emphasis will be placed on the Rapid Rehousing and Homelessness Prevention categories of the program. As prescribed by the program regulations, no less than 40% of the state's grant allocation will be allocated to Rapid Rehousing and Homelessness Prevention. The contract period is being reduced to 18 months to allow for recapture of unused funds and reallocation to successful programs. 50% of the funding must be expended within the first 12 months of the grant even with the shorten contract period. Also the minimum grant an applicant can apply for is \$25,000. This is to allow for smaller agencies with limited match to utilize the funding.</p> <p>All applications will be reviewed for completeness and eligible activities. Then the applications will be evaluated based on a 205 point scale. The evaluation chart has been reviewed and approved by the Balance of State Continuums of Care. Part of the evaluation is based on the participants' involvement in the CoC and CoC's knowledge of the programs or activities of the applicant and/or its vendors. No application will be funded with less than 75 points.</p> <p>Grants allocations may be awarded from recaptured funds if timing allows. These grants may have shorter contract timing depending on the funding year allocation being utilized. The awarded grantee will be made aware of this contract time period in the award letter and through communication with DCED's ESG staff.</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not applicable to the Emergency Solutions Grant program</p>

<p>Describe how resources will be allocated among funding categories.</p>	<p>In accordance with the Interim Rule of December 5, 2011, Emphasis will be placed on the Rapid Rehousing and Homelessness Prevention categories of the program. As prescribed by the program regulations, no less than 40% of the state’s grant allocation will be allocated to Rapid Rehousing and Homelessness Prevention. In addition despite the preference of many of the local Continuums of Care (CoCs) to use the ESG funds for prevention rather than rapid rehousing, it is critical that certain subpopulations of households who are homeless receive priority due to their vulnerability. Therefore, DCED will give greater priority to applicants for rapid re-housing and of those, who are chronically homeless, homeless veterans, and/or homeless families and children.</p> <p>In attempting to keep with the US Interagency Council's request to use the majority of the ESG funding for rapid-rehousing, DCED will seek to use at least 45% of its allocation of ESG funds for Rapid Rehousing and Homelessness Prevention (excluding administration and HMIS), but reserves the right to adjust this as the need becomes evident. To ensure this goal is met, applicants requesting rapid re-housing funds will receive priority funding.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>DCED intends to make grants of \$25,000 or more for the provision of the following ESG components:</p> <ol style="list-style-type: none"> 1. Street Outreach 2. Emergency Shelter 3. Homelessness Prevention 4. Rapid Re-housing 5. Homeless Management Information System (HMIS) 6. Administration <p>Or any combination of components. Applicants must demonstrate that the proposed activities will meet all program requirements and be undertaken in a timely manner. Successful applicants may be required to enter into agreements with local housing and third party contractors to ensure all program requirements are met. The successful sub-recipients will be required to have adequate oversight and monitoring of all housing and third party contractors.</p> <p>DCED is removing its 2-year rule for applying on Shelters</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>The expected outcomes for the 2016 ESG program is:</p> <ul style="list-style-type: none"> • Shelter beds provided - 4300 persons • Rapid Rehousing - 2100 persons • Homelessness Prevention - 1200 persons

5	State Program Name:	HOME Investment Partnerships Program
	Funding Sources:	HOME
	Describe the state program addressed by the Method of Distribution.	<p>The Commonwealth will distribute the FY 2016 HOME Program allocation, in accordance with the priorities outlined in the Plan, the requirements of the National Affordable Housing Act of 1990, and the HOME regulations at 24 CFR 92 and 24 CFR part 91.</p> <p>DCED will administer the HOME Program but will transfer a portion of the Commonwealth’s allocation to the Pennsylvania Housing Finance Agency (PHFA) as a sub-recipient to administer large (ten units or more) rental projects and homebuyer projects. PHFA will not receive more than 50 percent of the 2016 HOME allocation funds for rental housing construction and development, Tenant based rental assistance, and homebuyer programs. Fifteen percent (15%) of the Commonwealth’s allocation will be used for rental housing that is owned, sponsored or developed by Community Housing Development Organizations (CHDO). This CHDO set aside is included in the “not to exceed” 50% housing allotment that will be administered by PHFA. PHFA will also administer a predevelopment loan initiative for CHDOs, making available \$250,000 for feasibility, market analysis and site control costs. PHFA will perform the necessary underwriting reviews on all HOME rental projects and perform all subsidy layering reviews required by the HOME final rule of July 24, 2013. The balance of the HOME funds will be administered by DCED through a competitive application process performed by DCED. The capacity of the applicant, nature of the project, and compliance with the targeting, leverage, and impact requirement will be determining factors in the recommendation for funding. Ten percent of HOME funds may be used for administrative costs. DCED will share these costs with PHFA and the local administrators.</p>

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>DCED utilizes the Targeting, Leveraging and Impact (TLI) priorities, the process for prioritizing how federal funds would be distributed to impact community development and especially housing, which has evolved into a more flexible and truly effective partnership between DCED and local governments. TLI steps beyond what had been a focus on income levels, household tenure types and composition. Those types of approaches, because of the overwhelming needs of housing rehabilitation across the state, which cannot be met with the available funds, often degenerated into a first come-first served approach by the grantees. This approach of scattered funding across large areas such as cities and counties provided for equitable assistance to residents but never provided for the impact of the project to revitalize or stabilize communities in decline. DCED has limited only 25% of a grantee's allocation may go to "first come-first serve" waiting list rehabs.</p> <p>Under the TLI approach, funds can be directed to projects and uses that will have a greater effectiveness and be targeted to truly needy neighborhoods that are in decline. While difficult to quantify, DCED seeks a greater impact through these priorities while still meeting the applicable federal requirements for the use of these funds. Ultimately, the TLI approach provides the opportunity for the applicant to fund better designed projects and the more effective use of the limited HOME funds.</p> <p>In allocating limited HOME resources, the Commonwealth will evaluate each application based on the Targeting, Leveraging and Impact criteria. That criteria includes:</p> <p>A. Meet targeting criteria as outlined in the guidelines. Targeting should consider strategic approaches which includes:</p> <ol style="list-style-type: none"> 1. Tipping point neighborhoods 2. Revitalization areas <p>B. Leveraging other funds, resources and supportive efforts from other programs, which includes community assets such as:</p> <ol style="list-style-type: none"> 1. County seats 2. Higher education institutions 3. Tourism destinations 4. Transit-oriented development 5. Key industry clusters 6. Regional health care facilities <p>C. Demonstrating a significant impact on the quality of life in a community.</p>
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<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Also capacity of the administrating agency will be assessed which includes the number of open grants the agency is contracted to complete or the amount of previous funding still available for use.</p> <p>Starting with the FY 2014 applications, DCED has begun to apply evaluation points to application review (TLIC). The maximum number of points = 100.</p> <p>The scoring criteria is as follows:</p> <ul style="list-style-type: none"> • Targeting = 30 points maximum • Leverage = 20 points maximum • Impact = 5 points maximum • Capacity = 45 points maximum <p>Applications scoring 50 or less points will be deemed “high risk” and will most likely be denied for funding.</p> <p>Due to a substantial decrease in both CDBG and HOME allocations for over the last five years, DCED must prioritize funding for housing in this manner:</p> <ol style="list-style-type: none"> 1. Rehabilitation of existing owner-occupied housing 2. Multifamily rental housing consisting of 10 units or less 3. Homebuyer initiatives
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>Program guidelines may be found</p> <p>http://dced.pa.gov Choose the Programs and Funding Tab, or</p> <p>http://dced.pa.gov/library</p> <p>Choose Federal Resource Library/HOME/Application/2015</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not applicable to the HOME Investment Partnerships Program</p>

<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not applicable to the HOME Investment Partnerships Program</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>The Commonwealth's distribution of funds will be consistent with the needs identified in this Plan. The Department will accept applications for any HOME eligible activity, other than rental housing activities for 10 units and above. Those will be submitted to PHFA as described above. HOME-eligible activities include the following: homeowner rehabilitation; rental housing rehabilitation; the new construction of one to nine rental units; group home projects or single-room occupancy (SRO); security deposit assistance; assistance for homebuyers' down payment and/or closing costs and second mortgages; and assistance for developers undertaking single-family sales housing. Projects can be designed to offer equity investments, interest bearing loans or advances, non-interest bearing loans or advances, deferred payment loans, grants and loan guarantee funds.</p> <p>As in previous years, the Commonwealth will give non-participating jurisdictions first priority. However, because it may be difficult to develop affordable housing in such jurisdictions within legislatively imposed time frames, the Commonwealth reserves the right to distribute funds to other Pennsylvania jurisdictions. Funding levels will be based on individual applications complying with regulatory layering and HOME per unit minimum investment requirements.</p> <p>Units of local government are the only eligible applicants that may submit applications for HOME funds. Applications submitted by a unit of local government may be on its own behalf, another unit of local government without the capacity to administer the program, public agencies, non-profit organizations or private developers. Private non-profit housing organizations that are unable to secure their unit of local government's agreement to be an applicant should contact DCED.</p>

<p>Describe threshold factors and grant size limits.</p>	<p>Because of the complexity of federal regulations and requirements associated with the HOME Program, a minimum application amount of \$50,000 has been established, except for CHDO operating grants and project specific predevelopment loans. HOME has a maximum grant level of \$500,000 for an application covering a single municipality or \$750,000 for assistance for multiple municipalities. DCED reserves the right to increase the contract amounts above this level for warranted reasons, but the level will not be over \$1,000,000.</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>The expected outcomes for the 2016 HOME Program are:</p> <ul style="list-style-type: none"> •Existing & Rental Rehabs - 675 units •Construction of New Units - 140 units •Homebuyer Assistance - 30 households
<p>6 State Program Name:</p>	<p>Housing Opportunities for Persons with AIDS</p>
<p>Funding Sources:</p>	<p>HOPWA</p>
<p>Describe the state program addressed by the Method of Distribution.</p> <p>HOPWA Program</p>	<p>Historically, HOPWA funding for Pennsylvania’s seven Regional HIV Grantees has been distributed in proportion to the number of persons living with HIV/AIDS in each region, service utilization data, and demonstrated need. Distribution of the HOPWA award in Pennsylvania for FY2016 uses the FY2015 funding distribution as a baseline. Regions having and documenting, greater housing needs have been awarded additional funding. Since the overall housing picture in Pennsylvania has not changed significantly over the past year, distribution of HOPWA funds will remain consistent for planning purposes. The Pennsylvania HOPWA award of \$1,315,796 for the year, was applied across all Regions using the funding distribution noted above. The Pennsylvania Department of Health (DOH), Bureau of Communicable Diseases, Division of HIV/AIDS has again decided to allocate less (than entitled) to its administrative expense (0.76%) and thus make additional funding available to the Regional Grantees for housing services. Additionally, the DOH will also serve as grantee and will administer funds of \$ 296,476 on behalf of eligible persons in the designated counties of Carbon, Lehigh, and Northampton in the Allentown, PA EMSA; and the DOH will also serve as grantee and will administer funds of \$296,293 on behalf of eligible persons in the designated counties of Dauphin, Cumberland and Perry in the City of Harrisburg, PA EMSA; and the DOH will also serve as grantee and will administer funds of \$ 524,154 on behalf of eligible persons in the designated counties of Bucks, Chester and Montgomery in the Bensalem Township EMSA.</p>

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not applicable to the Housing Opportunities for Persons with AIDS program</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Each Regional Grantee prioritizes needs for its respective region through a formal process reflective of its demographic and epidemiological profile. The Regional Grantee, will disperse the funds based on the need for the full range of eligible services. Six of the seven regional grantees issue Requests for Proposals, to large organizations and smaller grassroots, faith based and other community organizations and the City of Philadelphia, Office of Housing and Community Development Regional Grantee uses a sole source process as it would not be practical to enter into grant agreements with different agencies each year since they would not have the institutional knowledge to manage these services effectively. In addition, each Regional Grantee has the capacity to distribute patient care funds directly if it is expedient and/or the most cost effective method for service delivery. Sub grantees that are funded for short term rent / mortgage / utility assistance that do have caps in place, have based them on historical usage, the estimated number of clients in need of this service, and the amount typically needed to avoid eviction.</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>Each Regional Grantee provides a detailed response to the six areas delineated in the HOPWA program announcement listed below along with their Outcome measures.</p> <ol style="list-style-type: none"> 1. Estimate the number and characteristics of eligible persons who will be served by the proposed services. Provide a description of how their eligibility for participation in the program will be determined. 2. List the general locations and costs of the proposed services. 3. Describe how the proposed services will address urgent and supportive service’s needs (not currently addressed by available public and private resources) of eligible persons. Include a description of the public and private resources that are to be made available in connection with the proposed HOPWA-supported services. 4. Describe how project sponsors (providers of actual HOPWA services, sub grantees) have been, or will be, selected. If available, include a list of those already selected.

<p>Describe how resources will be allocated among funding categories. (continued)</p>	<p>5. Describe the method used (outreach, referrals, existing shelter network) to inform eligible persons of housing assistance/ services availability. Describe the process for selecting program participants.</p> <p>6. Describe procedures that have been, or will be, implemented to ensure coordination of HOPWA assistance with state and local government agencies responsible for providing services to persons with AIDS or related diseases. Include, where applicable, a description of coordination efforts with Ryan White funded agencies. Describe how community-based, non-profit AIDS services organizations have been consulted and involved in the application planning process.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>Historical usage of HOPWA funding for Pennsylvania’s seven Regional Grantees and in proportion to the number of person living with HIV/AIDS in each respective region. Additionally, service utilization patterns have been factored into this distribution.</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>Outcome measures are the number of Persons / Households that will receive housing assistance based on established goals and objectives. The HOPWA Program will provide decent affordable housing to benefit low income persons living with HIV/AIDS by providing services to 562 households through tenant based rental assistance, short term rent, mortgage and utility assistance, permanent housing placement, and supportive services – case management. This will enable clients to establish and/or maintain a stable living environment in housing that is decent, affordable, safe and sanitary. Thus, through better access to care and support, there is an improved quality of life and increased housing stability for HIV/AIDS clients and their families.</p>
<p>7 State Program Name:</p>	<p>Neighborhood Stabilization Program (NSP) Recapture</p>
<p>Funding Sources:</p>	<p>Recaptured NSP1 funds and Program Income</p>
<p>Describe the state program addressed by the Method of Distribution.</p>	<p>The purpose of the NSP Recapture program is to utilize the remaining recaptured funding from NSP 1 and any accrued Program Income (approx. \$3 million) to address the effects of the housing crisis of 2008 due to subprime mortgage lending which, nationally, resulted in significant numbers of homeowners entering foreclosure and entire neighborhoods becoming vacant or abandoned. Pennsylvania, while above the national average in numbers of subprime mortgage loans, has not experienced the same level of housing foreclosures but did have many successful programs that stabilized viable neighborhoods.</p>

<p>Describe the state program addressed by the Method of Distribution. (continued)</p>	<p>The program will be divided into two components. The first component is those existing grantees that will have more than \$100,000 in program income over the subsequent 12 month period. This will be known as Component A. If program income on-hand at project completion, when combined with projected PI during the next 12 month-period, is less than \$100,000, then the Grantee will be required to remit all PI to DCED for re-allocation. These funds will make up the funds for Component B of this program. This second component will be a competitive funding round for the use of the remaining program income by previous NSP grantees.</p>
<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Component A: Grantees that can demonstrate that it will likely receive a sufficient amount of PI over the subsequent 12 month-period to have a total of \$100,000 or more in PI may retain PI under the following conditions:</p> <ol style="list-style-type: none"> 1. Grantee can document that it has met or has a feasible plan for meeting the LH25% set-aside. Grantee must provide documentation proofing the LH25% set-aside was met. 2. Grantee has other financing in place that may be necessary for project completion. Grantee must provide a total project budget and evidence that all the funding sources to complete said project are committed 3. Grantee can demonstrate a feasible plan that assures the completion of the project not later than 9 months from project approval by DCED. Grantee must provide a realistic project timeline. 4. If the grantee cannot meet these requirements to DCED's satisfaction, the PI must be returned to DCED within 30-days of notification by DCED. <p>Grantees falling into this component must prepare a proposal requesting the use of their remaining program income. In the proposal they must detail the use of the PI; the number of units created or rehabilitated, a project budget, and provide a timeline of expenditures. The project must be completed within nine months.</p>

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria. (continued)</p>	<p>Component B (Recaptured NSP Treasury funds and returned Program Income): DCED will accept proposals to fund additional NSP eligible projects pending the requirements below can be met. Grantees that earned Program Income and returned Program Income will receive priority consideration with their proposal submission. . Interested grantees will have 60 days to submit proposals based on the following criteria:</p> <ol style="list-style-type: none"> 1. Must be existing NSP grantees that are a unit of local government. 2. Must have successfully completed the original NSP contracted projects and met the projected goals. Grantee must show that original NSP goals were met. 3. Proposed project must be completed within 9 months of DCED proposal acceptance. Realistic project timelines will be required. 4. Proposed project must be located in an approved NSP target area. 5. Proposed project will receive greater consideration if it is a project that benefits households at 50% AMI or below. 6. Proposed project will receive greater consideration if other sources of funds are leveraged and committed to the project. Such documentation will be required. 7. Proposed project must be ready to proceed with full financing and environmental clearance within 60 days of DCED’s acceptance of the proposal. Documentation will be required. 8. All the original NSP Program guidelines and requirements still apply.
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>As of the writing of this section the proposal packages had not been developed.</p>

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not applicable to the NSP Recapture program</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not applicable to the NSP Recapture program</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>There is no prescribed allocation of the NSP Recapture funds until all remaining program funds and program income is determined. Allocations for both components will be based on need of the project, other funding leveraged and those secured. Until the proposals are received and reviewed, allocation of resources is unknown.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>There will be no cap on the amount of funds that can be requested. Applicants are asked to modify the request based on what is necessary to complete the proposed project given other sources of funds and the ability to complete the project within nine months of proposal acceptance. DCED will prioritize projects that can utilize a minimum of \$1 million and have a minimum of 15 units.</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>Component A: To date, proposals have been submitted for 52 new rental units that are either new construction or rehabilitated. Component B: Undetermined until actual available funding is determined and proposals submitted.</p>

8	State Program Name:	National Housing Trust Fund
	Funding Sources:	National Housing Trust Fund
	Describe the state program addressed by the Method of Distribution.	<p>The Commonwealth, through the Pennsylvania Housing Finance Agency (PHFA), will distribute the federal Housing Trust Fund (“HTF”) in accordance with federal criteria and regulations at 24 CFR Part 93. PHFA will ensure that at least 80% of the funds made available in each calendar year will support rental housing projects that target households at or below 30% of the area median income. PHFA will underwrite rental housing projects to meet all HTF rental housing requirements and which provide at least 30 years of affordability as evidenced by a deed restriction. PHFA will evaluate the capacity of project owners, nature of housing being funded, leveraging and impact as well as ability to serve extremely low income housing households as determining factors in the recommendation for funding.</p> <p>Ten percent (10%) of the HTF funds may be used for administrative expenses.</p>
	Describe all of the criteria that will be used to select applications and relative importance of these criteria.	<p>PHFA expects all projects and beneficiaries of the HTF will be identified through and participate in or be consistent with the federal Low Income Housing Tax Credit program (“LIHTC”) administered by PHFA. Each year, PHFA adopts an allocation plan (“QAP”) in accordance with a public hearing and approval process established in federal law (Section 42 of the Internal Revenue Code). The QAP prioritizes the geographic location, types of projects, income targeting to extremely low income households, resident supportive services, affirmatively furthering fair housing, green building and energy efficiency features, number of accessible units for households with a disability, leveraging of resources, readiness to proceed and cost. The PHFA will review the applications for HTF, as they would their LIHTC program, and will select among the applicants based on the selection ranking criteria, with priority given to projects which fill a priority need or which best demonstrate an ability to move forward.</p> <p>Specific guidelines and criteria for each category for the current QAP can be found at: http://www.phfa.org/forms/multifamily_application_guidelines/guidelines/2016_03_qap.pdf</p>

<p>If only summary criteria were described, how can potential applicants access application manual or other state publications describing the application criteria?</p>	<p>The Action Plan for the 2016 funding and the application materials for 2016 HTF funding can be located at: http://www.phfa.org/developers/developer/housingapplication.aspx</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not applicable to the HTF program.</p>
<p>Identify the method of selection projects sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not applicable to the HTF program.</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>The funding allocations will be determined by the applications received and upon completion of PHFA review. All the funds will be targeted to very low- income and extremely low- income renters.</p>
<p>Describe the threshold factors and grant size limits.</p>	<p>Each category has its own threshold and grant size limit. Please refer to the application materials located at: http://www.phfa.org/developers/developer/housingapplication.aspx</p>

What are the outcome measures expected as a result of the method of distribution?	Based on an initial federal award of funds in 2016 of \$3,862,285, PHFA anticipates providing funds for the new construction or rehabilitation of approximately four rental housing developments or 25 rental housing units among several properties throughout the Commonwealth.
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AP-35 Projects – (Optional)

Introduction

Because of the nature of state funding under the federal program system, Pennsylvania has not determined the exact projects to utilize the 2016 funding at this time. The Act 179 Entitlement municipalities have been added as has the HOPWA programs but not any of the other funding for the CDBG Competitive program, CDBG-DR, HOME, NSP or ESG. These projects will be added once awards have been made.

With the FY 2015 applications for CDBG, DCED incorporated the criteria that all state entitlement townships or boroughs with less than 10,000 in populations must submit their applications through their respective counties. This reduced the number of grantees submitting application to 87. This will continue in 2016 and beyond to ease the workload of the DCED staff.

Table 10 – Project Information

#	Project Name
1	2016-2018 Commonwealth of PA PAH16F999
2	2016-2018 AIDSNET PAH16F999 (AIDSNET)
3	2016-2018 AIDSNET-EMSA (3 Counties) PAH16F999 (AIDSNET-EMSA)
4	2016-2018 North Central District AIDS Coalition PAH16F999 (NCDAC)
5	2016-2018 AIDS Resource Alliance, Inc. PAH16F999 (ARA)
6	2016-2018 Caring Communities for AIDS PAH16F999 (CCFA)
7	2016-2018 United Way of Wyoming Valley PAH16F999 (UWWV)
8	2016-2018 Wyoming Valley AIDS Council, Inc. PAH16F999 (WVAC)
9	2016-2018 The Wright Center PAH16F999 (TWC)
10	2016-2018 Clarion University of PA PAH16F999 (CU)
11	2016-2018 Family Health Council of Central PA PAH16F999 (FHCCP)
12	2016-2018 Family Health Council of Central PA - EMSA (3 counties) PAH16F999 (FHCCP-EMSA)
13	2016-2018 The Jewish Healthcare Foundation PAH16F999 (JHF)
14	2016-2018 Senior Care Management PAH16F999 (SCM)
15	2016-2018 City of Philadelphia OHCD - EMSA PAH16F999 (COP-OHCD-EMSA)
16	2016-2018 Family Services of Bucks County - EMSA PAH16F999 (FSBC-EMSA)
17	2016-2018 Family Services of Chester County - EMSA PAH16F999 (FSCC-EMSA)
18	2016-2018 Family Services of Montgomery County - EMSA PAH16F999 (FSMC-EMSA)
19	ESG16 Pennsylvania
20	DCED CDBG 2016 ADMINISTRATION
21	Adams County 2016 Entitlement
22	Armstrong County 2016 Entitlement

#	Project Name
23	Bedford County 2016 Entitlement
24	Blair County 2016 Entitlement
25	Bradford County 2016 Entitlement
26	Butler County 2016 Entitlement
27	Cambria County 2016 Entitlement
28	Cameron County 2016 Entitlement
29	Carbon County 2016 Entitlement
30	Centre County 2016 Entitlement
31	Clarion County 2016 Entitlement
32	Clearfield County 2016 Entitlement
33	Clinton County 2016 Entitlement
34	Columbia County 2016 Entitlement
35	Crawford County 2016 Entitlement
36	Elk County 2016 Entitlement
37	Erie County 2016 Entitlement
38	Fayette County 2016 Entitlement
39	Forest County 2016 Entitlement
40	Franklin County 2016 Entitlement
41	Fulton County 2016 Entitlement
42	Greene County 2016 Entitlement
43	Huntingdon County 2016 Entitlement
44	Indiana County 2016 Entitlement
45	Jefferson County 2016 Entitlement
46	Juniata County 2016 Entitlement
47	Lackawanna County 2016 Entitlement
51	McKean County 2016 Entitlement
52	Mercer County 2016 Entitlement
53	Mifflin County 2016 Entitlement
54	Monroe County 2016 Entitlement
55	Montour County 2016 Entitlement
56	Northumberland County 2016 Entitlement
57	Perry County 2016 Entitlement
58	Pike County 2016 Entitlement
59	Potter County 2016 Entitlement
60	Schuylkill County 2016 Entitlement
61	Snyder County 2016 Entitlement

#	Project Name
62	Somerset County 2016 Entitlement
63	Sullivan County 2016 Entitlement
64	Susquehanna County 2016 Entitlement
65	Tioga County 2016 Entitlement
66	Union County 2016 Entitlement
67	Venango County 2016 Entitlement
68	Warren County 2016 Entitlement
69	Wayne County 2016 Entitlement
70	Wyoming County 2016 Entitlement
71	City of Arnold 2016 Entitlement
72	City of Bradford 2016 Entitlement
73	City of Butler 2016 Entitlement
74	City of Carbondale 2016 Entitlement
75	City of Connellsville 2016 Entitlement
76	City of Corry 2016 Entitlement
77	City of Dubois 2016 Entitlement
78	City of Farrell 2016 Entitlement
79	City of Franklin 2016 Entitlement
80	City of Greensburg 2016 Entitlement
81	City of Hermitage 2016 Entitlement
82	City of Jeannette 2016 Entitlement
83	City of Lock Haven 2016 Entitlement
84	City of Meadville 2016 Entitlement
85	City of Monessen 2016 Entitlement
86	City of Nanticoke 2016 Entitlement
87	City of New Castle 2016 Entitlement
88	City of New Kensington 2016 Entitlement
89	City of Oil City 2016 Entitlement
90	City of Parker 2016 Entitlement
91	City of Pittston 2016 Entitlement
92	City of Pottsville 2016 Entitlement
93	City of Shamokin 2016 Entitlement
94	City of St. Mary's 2016 Entitlement
95	City of Sunbury 2016 Entitlement
96	City of Titusville 2016 Entitlement
97	City of Uniontown 2016 Entitlement

#	Project Name
98	City of Warren 2016 Entitlement
99	Coal Township 2016 Entitlement
100	Conshohocken Borough 2016 Entitlement
101	Dunmore Borough 2016 Entitlement
102	Limerick Township 2016 Entitlement
103	Logan Township 2016 Entitlement
104	Loyalsock Township 2016 Entitlement
105	Sandy Township 2016 Entitlement
106	Scottsdale Borough 2016 Entitlement
107	Waynesboro Borough 2016 Entitlement

Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

PA Act 179 dictates the use of the majority of the Commonwealth's CDBG allocation and leaves the units of local governments the responsibility to address the needs of the underserved in their communities. The HOPWA funding is allocated to the same regional programs each year as they are trained to administer the program properly. The CDBG-DR funding is prescribed where the funding may be spent. Only the 36 counties designated as Presidential Disaster Areas during 2011 are eligible for funding. The NSP Recapture program will only allocate funding in areas with current contracts for NSP funding with the state and have completed their existing program and can prove a need for additional funding. The allocation priority for the other programs is part of the method of distribution which can be found in AP-30.

AP-38 Project Summary

Project Summary Information

Table 11 – Project Summary

1	Project Name	2016-2018 Commonwealth of PA PAH16F999
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Administration of the HOPWA Program
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
2	Project Name	2016-2018 AIDSNET PAH16F999 (AIDSNET)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients

	Funding	:
	Description	To provide decent affordable housing to low income HIV/AIDS clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Supportive Services and Administration
3	Project Name	2016-2018 AIDSNET-EMSA (3 Counties) PAH16F999 (AIDSNET-EMSA)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To provide decent affordable housing to low income HIV/AIDS clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Supportive Services and Administration
4	Project Name	2016-2018 North Central District AIDS Coalition PAH16F999 (NCDAC)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Administration for the HOPWA Program in the North Central Region
5	Project Name	2016-2018 AIDS Resource Alliance, Inc. PAH16F999 (ARA)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:

	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Supportive Services and Administration
6	Project Name	2016-2018 Caring Communities for AIDS PAH16F999 (CCFA)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Supportive Services and Administration
7	Project Name	2016-2018 United Way of Wyoming Valley PAH16F999 (UWWV)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Administration of the HOPWA Program for the Northeast Region
8	Project Name	2016-2018 Wyoming Valley AIDS Council, Inc. PAH16F999 (WVAC)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:

	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility, (STRMU) assistance, Permanent Housing Placement (PHP), and Administration
9	Project Name	2016-2018 The Wright Center PAH16F999 (TWC)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Resource Identification (RI) and Administration
10	Project Name	2016-2018 Clarion University of PA PAH16F999 (CU)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), and Administration.
11	Project Name	2016-2018 Family Health Council of Central PA PAH16F999 (FHCCP)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients

	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), and Administration
12	Project Name	2016-2018 Family Health Council of Central PA - EMSA (3 counties) PAH16F999 (FHCCP-EMSA)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), and Administration
13	Project Name	2016-2018 The Jewish Healthcare Foundation PAH16F999 (JHF)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	Administration of the HOPWA Program in the Southwest Region
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Administration of the HOPWA Program in the Southwest Region
14	Project Name	2016-2018 Senior Care Management PAH16F999 (SCM)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:

	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), and Short-Term Rent, Mortgage, and Utility (STRMU) assistance
15	Project Name	2016-2018 City of Philadelphia OHCD - EMSA PAH16F999 (COP-OHCD-EMSA)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	Administration of the HOPWA Program in the South East Region
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Administration of the HOPWA Program in the South East Region
16	Project Name	2016-2018 Family Services of Bucks County - EMSA PAH16F999 (FSBC-EMSA)

	Target Area	
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Supportive Services - Case Management and Administration
17	Project Name	2016-2018 Family Services of Chester County - EMSA PAH16F999 (FSCC-EMSA)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	

	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Supportive Services Case Management and Administration.
18	Project Name	2016-2018 Family Services of Montgomery County - EMSA PAH16F999 (FSMC-EMSA)
	Target Area	HOPWA 6 Regional Coalitions non-entitlement
	Goals Supported	Housing and Services for Persons with HIV/AIDS
	Needs Addressed	Housing for Low Income HIV/AIDS clients
	Funding	:
	Description	To Provide Decent affordable housing to Low Income HIV/AIDS Clients
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Assist with housing support to low income HIV/AIDS Clients: Tenant Based Rental Assistance (TBRA), Short-Term Rent, Mortgage, and Utility (STRMU) assistance, Permanent Housing Placement (PHP), Supportive Services - Case Management and Administration

19	Project Name	ESG16 Pennsylvania
	Target Area	
	Goals Supported	Rental Assistance and Services for the Homeless
	Needs Addressed	Public Facilities Homeless Facilities
	Funding	:
	Description	The 2016 Federal Fiscal Year allocation of Emergency Solutions Grant funds for the state of Pennsylvania are planned to operate a shelter for the homeless, provide utility assistance and emergency rental assistance to prevent homelessness, implement rapid re-housing strategies and for program administration and data collection through the HMIS.
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
20	Project Name	DCED CDBG 2016 ADMINISTRATION
	Target Area	
	Goals Supported	
	Needs Addressed	
	Funding	:

	Description	The Commonwealth's allocation of 2016 CDBG funds is \$37,464,741. In accordance with Pennsylvania Act 179 of 1984, this amount is sub-allocated as follows: \$31,845,030 (85% for Entitlement entities), \$4,870,417 (13% for the Competitive program), and \$749,278 for state administration and technical assistance.
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
21	Project Name	Adams County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Adams County and OBO's Gettysburg Borough and Littlestown Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	
22	Project Name	Armstrong County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Armstrong County and OBO's East Franklin Township, Kiskiminetas Township, Kittanning Borough and Manor Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
23	Project Name	Bedford County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Bedford County and OBO Bedford Township

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
24	Project Name	Blair County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Blair County and OBO's Antis Township, Blair Township, Frankstown Township, Greenfield Township, Hollidaysburg Borough, and Tyrone Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
25	Project Name	Bradford County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Bradford County and OBO Sayre Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
26	Project Name	Butler County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Butler County and OBO's Penn Township, Slippery Rock Township, Summit Township and Jefferson Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
27	Project Name	Cambria County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Cambria County and OBO's Adams Township, Cambria Township, Cresson Township and Jackson Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
28	Project Name	Cameron County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:

	Description	Cameron County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
29	Project Name	Carbon County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Carbon County and OBO's Franklin Township, Jim Thorpe Borough, Lehighon Borough, Mahoning Township, and Palmerton Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
30	Project Name	Centre County 2016 Entitlement

	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Centre County and OBO Bellefonte Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
31	Project Name	Clarion County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Clarion County and OBO's Clarion Borough and Clarion Township
	Target Date	

	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
32	Project Name	Clearfield County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Clearfield County and OBO Clearfield Borough and Lawrence Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
33	Project Name	Clinton County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	

	Needs Addressed	
	Funding	:
	Description	Clinton County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
34	Project Name	Columbia County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Columbia County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	
35	Project Name	Crawford County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Crawford County and OBO Vernon Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
36	Project Name	Elk County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Elk County and OBO Ridgway Borough
	Target Date	

	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
37	Project Name	Erie County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Erie County and OBO's Edinboro Borough, Girard Township, McKean Township and North East Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
38	Project Name	Fayette County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	

	Needs Addressed	
	Funding	:
	Description	Fayette County and OBO's Bullskin Township, Dunbar Township, Georges Township, German Township, Luzerne Township, Menallen Township, North Union Township, Redstone Township and South Union Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
39	Project Name	Forest County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Forest County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
40	Project Name	Franklin County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Franklin County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	41	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
42	Project Name	Greene County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Greene County and OBO's Cumberland Township, Franklin Township, and Waynesburg Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
43	Project Name	Huntingdon County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Huntingdon County and OBO's Huntingdon Borough and Smithfield Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
44	Project Name	Indiana County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Indiana County and OBO's Burrell Township, Center Township, and Indiana Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
45	Project Name	Jefferson County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Jefferson County and OBO's Punxsutawney Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
46	Project Name	Juniata County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Juniata County

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
47	Project Name	Lackawanna County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Lackawanna County and OBO's Archbald Borough, Blakely Borough, Clarks Summit Borough, Dickson City Borough, Jessup Borough, Old Forge Borough, Olyphant Borough, Scott Township, Taylor Borough, and Throop Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
48	Project Name	Lawrence County 2016 Entitlement

	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Lawrence County and OBO's Ellwood City Borough, Shenango Township and Union Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
49	Project Name	Lebanon County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Lebanon County and OBO South Lebanon Township
	Target Date	

	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
50	Project Name	Lycoming County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Lycoming County and OBO's Jersey Shore Borough, Montoursville Borough, and South Williamsport Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
51	Project Name	McKean County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	

	Needs Addressed	
	Funding	:
	Description	McKean County and OBO Bradford Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
52	Project Name	Mercer County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Mercer County and OBO's Brown Township, Derry Township, Granville Township, and Lewistown Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	
53	Project Name	Mifflin County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Mifflin County and OBO's Brown Township, Derry Township, Granville Township and Lewistown Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
54	Project Name	Monroe County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Monroe County and OBO's East Stroudsburg Borough and Stroudsburg Borough
	Target Date	

	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
55	Project Name	Montour County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Montour County and OBO Danville Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
56	Project Name	Northumberland County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	

	Needs Addressed	
	Funding	:
	Description	Northumberland County and OBO's Delaware Township, Milton Borough, Mount Carmel Borough and Ralpho Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
57	Project Name	Perry County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Perry County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	
58	Project Name	Pike County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Pike County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
59	Project Name	Potter County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Potter County
	Target Date	

	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
60	Project Name	Schuylkill County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Schuylkill County and OBO's Butler Township, Mahanoy City Borough, Minersville Borough, Pine Grove Township, Schuylkill Haven Borough, Shenandoah Borough, Tamaqua Borough, Wayne Township and West Penn Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
61	Project Name	Snyder County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Snyder County and OBO's Penn Township and Selinsgrove Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
62	Project Name	Somerset County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Somerset County and OBO's Conemaugh Township, Jenner township, Somerset Borough, Somerset Township and Windber Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
63	Project Name	Sullivan County 2016 Entitlement
	Target Area	
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Sullivan County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	64	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		Susquehanna County

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
65	Project Name	Tioga County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Tioga County
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
66	Project Name	Union County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Union County and OBO's Kelly Township and Lewisburg Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
67	Project Name	Venango County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Venango County and OBO's Honesdale Borough and Salem Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
68	Project Name	Warren County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	69	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		Wayne County and OBO's Honesdale Borough and Salem Township

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
70	Project Name	Wyoming County 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Wyoming County 2016 Entitlement
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
71	Project Name	City of Arnold 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Arnold
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
72	Project Name	City of Bradford 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Bradford
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
73	Project Name	City of Butler 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Butler
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	74	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		City of Carbondale

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
75	Project Name	City of Connellsville 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Connellsville
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
76	Project Name	City of Corry 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Corry
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
77	Project Name	City of Dubois 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Dubois
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
78	Project Name	City of Farrell 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Farrell
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	79	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		City of Franklin

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
80	Project Name	City of Greensburg 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Greensburg
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
81	Project Name	City of Hermitage 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Hermitage
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
82	Project Name	City of Jeannette 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Jeannette
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
83	Project Name	City of Lock Haven 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Lock Haven
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	84	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		City of Meadville

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
85	Project Name	City of Monessen 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Monessen
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
86	Project Name	City of Nanticoke 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Nanticoke
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
87	Project Name	City of New Castle 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of New Castle
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
88	Project Name	City of New Kensington 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of New Kensington
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
89	Project Name	City of Oil City 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Oil City

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
90	Project Name	City of Parker 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Parker
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
91	Project Name	City of Pittston 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Pittston
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
92	Project Name	City of Pottsville 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Pottsville
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
93	Project Name	City of Shamokin 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Shamokin
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	94	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		City of St. Mary's

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
95	Project Name	City of Sunbury 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Sunbury
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
96	Project Name	City of Titusville 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Titusville
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
97	Project Name	City of Uniontown 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Uniontown
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
98	Project Name	City of Warren 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	City of Warren
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	99	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		Coal Township

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
100	Project Name	Conshohocken Borough 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Conshohocken Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
101	Project Name	Dunmore Borough 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Dunmore Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
102	Project Name	Limerick Township 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Limerick Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	
103	Project Name	Logan Township 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Logan Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
	104	Project Name
Target Area		Pennsylvania Act 179 Formula
Goals Supported		
Needs Addressed		
Funding		:
Description		Loyalsock Township

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
105	Project Name	Sandy Township 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Sandy Township
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
106	Project Name	Scottdale Borough 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula

	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Scottsdale Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
107	Project Name	Waynesboro Borough 2016 Entitlement
	Target Area	Pennsylvania Act 179 Formula
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	Waynesboro Borough
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	
	Planned Activities	

AP-40 Section 108 Loan Guarantee – 91.320(k)(1)(ii)

Will the state help non-entitlement units of general local government to apply for Section 108 loan funds?

Yes, DCED maintains a consultant to help its non-entitlement municipalities if they would like to apply for a Section 108 loan from HUD.

Available Grant Amounts

The following are activities that will be considered priorities when allocating limited Section 108 resources

Job Creation - The federal Section 108 Program Guidelines require a minimum of one permanent full-time job equivalent (FTJE) to be created for every \$35,000 of Section 108 loan funds

National Objective - Priority consideration will be given to projects that provide a benefit to low- and moderate-income persons. However, this does not preclude worthwhile projects from being funded under the National Objective of removal of slums and blight.

Infrastructure - This could be related to the redevelopment or reuse of property or in support of an economic development purpose.

Special Economic Development -Financial assistance may be provided for a private for-profit firm under the CDBG guidelines.

Housing -Priority will also be given to proposed projects that involve the rehabilitation of existing housing and/or the construction of housing by non-profit organizations for homeownership. DCED encourages the development of affordable housing for low- and moderate-income home buyers.

Maximum Loan Amounts -The total maximum amount of Section 108 loan financial assistance that an eligible public entity may receive is limited to the following: the amount of a loan that the community's CDBG allocation could support as an annual debt service based on the average amount of the CDBG allocation for the past three (3) years, or \$7,000,000, whichever is less. This same maximum applies to both a single public entity or a joint public entity applicant. In the case of a non-entitlement public entity, the maximum amount of all Section 108 loan funds shall not exceed a total of \$3,000,000. In the case of an entitlement county which applies on behalf of multiple non-entitlement public entities, the maximum aggregate amount of Section 108 loan assistance may not exceed \$7,000,000.

Repayment -It is anticipated that the primary source of repayment of the Section 108 loan amount will be from the projected cash flow as a result of the project, or from other sources of revenue that are pledged specifically for repayment of the Section 108 loan. As a secondary source of repayment, DCED will require additional security to be pledged for loan repayment. The maximum term of the Section 108 loan shall not exceed twenty (20) years.

Acceptance process of applications

Application Dates - Applications may be submitted at any time for the Pennsylvania Section 108 Loan Guarantee Program. Please contact:

Kristina Powell, DCED
Center for Compliance, Monitoring, and Training
400 North Street, 4th Floor-Commonwealth Keystone Building,
Harrisburg, Pennsylvania 17120-0225.
Phone number: (717) 787-5327 TDD - (717)346-0308

prior to any application submission. DCED will provide assistance to potential applicants through their consultant to verify the potential project is eligible for funding. Applications will not be accepted from any candidate without prior review by the consultant.

AP-45 Community Revitalization Strategies – 91.320(k)(1)(ii)

Will the state allow units of general local government to carry out community revitalization strategies?

Yes

State’s Process and Criteria for approving local government revitalization strategies

DCED will allow its jurisdictions' community revitalization strategies that have been approved by HUD and follow HUD's guidance for state CDBG programs as described in CPD-97-01 (February 4, 1997).

AP-50 Geographic Distribution – 91.320(f)

Description of the geographic areas of the state (including areas of low-income and minority concentration) where assistance will be directed

Pennsylvania Act 179 prescribes distribution of 85% of its CDBG allocation each year to 28 cities not directly entitled to funding through HUD or who have opted out of HUD's entitlement formula; 50 counties that are not direct HUD entitlement counties; and 122 boroughs, town, and townships that are greater than 4,000 in population from the latest Census and meet the current UDAG eligibility guidelines. The balance of Pennsylvania's allocation, less 2% set aside for administration under Act 179, is allocated competitively among units of general local government not eligible for funding under the formula distribution or not direct HUD entitlement communities.

For HOME, competitive applications are accepted from all municipalities not entitled to HUD's direct HOME funding. This is a larger group than the CDBG because more municipalities are eligible for direct funding from HUD under the CDBG program, than HOME. The applicant targets their HOME funds as part of the application process.

ESG funds may be used statewide but priority is given to the non-HUD entitlement municipalities first.

HOPWA is also mandated by a required formula which is described in the discussion below.

The CDBG-DR funding is prescribed with where the funding may be spent. Only the 36 counties designated as Presidential Disaster Areas during 2011 are eligible for funding. 80% of funds must be allocated in the five hardest impact counties.

The NSP Recapture program will only allocate funding in areas with current contracts for NSP funding with the state and have completed their existing program and can prove a need for additional funding.

The National Housing Trust Fund will allocate funding based on the PHFA annual QAP. The QAP has identified geographic set-asides for urban (47.50%) and suburban Rural (47.50%). Please refer to their guidelines for an explanation of this process (link below).

http://www.phfa.org/forms/multifamily_application_guidelines/guidelines/2016_03_qap.pdf

Geographic Distribution

Target Area	Percentage of Funds
HOME Non-HUD Entitlement Jurisdictions	100

Target Area	Percentage of Funds
HOPWA 7 Regional Coalitions non-entitlement	100
Pennsylvania Act 179 Formula	85
CDBG-DR	100

Table 12 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

CDBG - PA Act 179
HOME and ESG – Non Entitlements
CDBG-DR – Presidential Disaster Declaration
HOPWA - See below

Discussion

The Department of Health (DOH), Bureau of Communicable Diseases, Division of HIV/AIDS will administer the HOPWA Program by allocating the funds on a formula basis to the seven Regional Grantees. The Philadelphia and part of the Pittsburgh region receive separate allocations directly from HUD. Additionally, the cities of Allentown, Harrisburg and Bensalem Township receive separate allocations directly from HUD. For the current 2016 HOPWA grant year, they plan to request the State of Pennsylvania to serve as the grantee and administer the funds for housing support and related services. DOH presumes that this will be the case going forward and thus the funding is included in the overall amount for the HOPWA program. Within the South West (Pittsburgh) region, the regional grantee receives funding from the Commonwealth for four counties. Within the Northeast Region, Pike County receives funding from the New Jersey grantee. The Regional Grantees establish Grant agreements or directly disperse funds based on the need for a full range of eligible housing services. Each grantee has prioritized needs for its respective region through a formal process reflective of demographic and epidemiological difference that exist within the regions. The formula to allocate these funds is primarily based on the number of persons living with HIV/AIDS in each region. A regional map is below.



Affordable Housing

AP-55 Affordable Housing – 24 CFR 91.320(g)

Introduction

One Year Goals for the Number of Households to be Supported	
Homeless	2,700
Non-Homeless	650
Special-Needs	450
Total	3,800

Table 13 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	1000
The Production of New Units	160
Rehab of Existing Units	665
Acquisition of Existing Units	10
Total	1,835

Table 14 - One Year Goals for Affordable Housing by Support Type

Discussion

The numbers above reflect the numbers associated with Affordable Housing using the ESG, HOME, CDBG, HOPWA and the HTF funding for 2016. These numbers are based on the average yearly benefit in the last five years. Consideration is given for declining grant amount for CDBG and HOME and increase in costs.

The HOPWA Program will provide decent affordable housing to benefit low-income persons living with HIV/AIDS by providing services to a projected 562 households during the 2016 program year. Supportive Services – Case Management will be provided to a projected 240 households. The DOH estimates, excluding administrative costs, that fund will be spent as follows: 96 percent for rental assistance and 4 percent for support services

AP-60 Public Housing - 24 CFR 91.320(j)

Introduction

The Commonwealth of Pennsylvania does not manage public housing authorities, as each have their own charter with HUD. However, DCED maintains partnerships with public housing authorities through:

- Presentations at Pennsylvania Association of Housing and Redevelopment Agencies (PAHRA) Conferences on a variety of subjects of programs administered by DCED
- Ensuring adequate representation by public housing authorities on Commonwealth Regional Housing Advisory Boards and encouragement of all PHA's to be active in the Continuum of Care
- Provide to all PHAs a Certification of Consistency with the Comprehensive Plan for their agency plans.

Actions planned during the next year to address the needs to public housing

The Pennsylvania Housing Finance Agency (PHFA) continues to provide assistance to housing authorities that desire to undertake bond financing to modernize their public housing units or build new units through the Low Income Housing Tax Credit Program, HOME allocation, PHARE program (which includes the HTF).

Actions to encourage public housing residents to become more involved in management and participate in homeownership

This is not a responsibility of the Commonwealth.

If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance

If HUD identifies a troubled public housing agency, the Commonwealth will explore options to assist that agency through the PHFA bond financing initiative and other options available to the Commonwealth.

Discussion

Annually, Public Housing Authority (PHA) must apply to DCED for certification that their Agency Plans are consistent with the Commonwealth Consolidated Plan. In order to be found to be consistent with the Commonwealth Consolidated Plan, a Public Housing Authority must demonstrate that one or more of the following activities are included in its agency plan.

- Rehabilitation of the existing public housing stock in a manner that is sensitive to the need for accessibility to and visitability by persons with disabilities.

- Demolition of obsolete public housing units.
- Conversions of underutilized and less marketable public housing units into unit configurations that is more marketable.
- Development of new lower density public housing that is conducive to neighborhood revitalization.
- Homeownership incentives for public housing residents.
- Resident initiatives, especially those aimed at promoting the economic self-sufficiency of public housing residents.
- Supportive services, especially those that support the aging in place of senior residents.
- Requests for additional Section 8 vouchers from HUD.

The Commonwealth of Pennsylvania has established a policy initiative to expand public awareness of the needs of persons with disabilities and those that are homeless. During the next five years, the State will track the progress of all housing providers in addressing the needs of persons with disabilities and alleviating homelessness.

Starting in the fall of 2016, the Agency Annual Plans and Requests for Compliance with the Comprehensive Plan, besides identifying meeting the goals of Section 504, must also identify how a PHA will be actively participating in the Continuum of Care that covers its service area. In addition, a PHA will be required to describe the actions it is taking to aid in the elimination of homelessness either by setting aside units/vouchers for rapid rehousing and homelessness prevention or through other identified activities. Failure to be so involved may indicate that the PHA is not consistent with the Commonwealth Consolidated Plan and thus not eligible for the certification.

AP-65 Homeless and Other Special Needs Activities – 91.320(h)

Introduction

The Commonwealth is engaged in interagency planning to expand community-based housing opportunities for people with disabilities who are at risk of, or who are currently living in places such as nursing homes, mental health institutions, personal care homes, facilities for people with developmental disabilities, and other forms of congregate residential settings. This planning activity is also directed toward the needs of the homeless or at risk of homelessness, as they face similar issues when finding affordable housing. These individuals face significant barriers to accessing standard housing in the community such as: a lack of affordable accessible housing; difficulties coordinating community-based supportive services; discrimination by public and private landlords due to disabling conditions; and obstacles resulting from criminal histories and insufficient rental histories, often connected to periods of institutionalization and disability. The Commonwealth has a number of organizations within its governmental limitations that deal with the states issues on Homelessness and Special Needs. The organizations setting priorities for the federal funding discussed in this Action Plan are described below. In order to maintain adequate flexibility in responding to local needs which may vary across the state, DCED will not establish sub-priorities by activity types. Even where an applicant's grant proposal addresses DCEDs priorities for ESG funding, it must also demonstrate the intent and capacity to fulfill all program requirements.

Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including

1. Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs

DCED through its Balance of State Continuums of Care, have reorganized the governing boards of the CoC which now includes representation of the homeless population on each board. It is hoped through this interaction the Continuums will better assess the needs of the homeless in their regions and incorporate these needs into their own Work Plans, goals and objectives of the CoC and ESG Programs. This connection should also be carried to the Interagency Council on Homelessness which will concern the needs when making policy that affects all of the state's homelessness programs. DCED in 2013 funded one sub-recipient to carry out a Street Outreach activity using ESG funding. It was a successful program and had some inventive activities to reach the homeless. It is hoped through the experience of this agency, a model can be developed and training provided so other agencies may conduct meaningful Street Outreach and begin bringing these people out of their homelessness and be able to provide them with the proper services to lead them to permanent housing and stability.

2. Addressing the emergency shelter and transitional housing needs of homeless persons

DCED will continue to address the needs of the emergency shelters and transitional housing through its Emergency Solutions Grant program. Transitional housing must have received ESG funding during the calendar year of 2010 to be eligible for these funds. No more than 60% of the state's yearly allocation may be spent for both the street outreach activities and shelter under ESG. Other funding such as the Community Services Block Grant (CSBG) and CDBG may be used to aid emergency shelters.

3. Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again

The 15 Continuums of Care across the state of Pennsylvania are the lead organizations who determine the needs of their areas/regions and direct the use of the CoC funding program and coordinate with DCED in the allocation of the Commonwealth's ESG funding. As prescribed by the ESG program regulations, no less than 40% of the state's grant allocation will be allocated to Rapid Rehousing and Homelessness Prevention.

Based on DCED's history of administering the Homelessness Prevention and Rapid Re-Housing (HPRP), DCED saw greater dollars allocated for homelessness prevention than re-housing activities – with approximately one third of HPRP funds used for re-housing activities. Further, the input that DCED has received in designing the Emergency Solutions Grant Program indicates that prevention activities are the greater need, especially in rural areas and smaller communities. This input likely reflects their cultural and demographic characteristics. Though DCED is also sensitive to the request made by previous HUD Secretary Donovan and URISCH to have the majority of the ESG funding be allocated to rapid rehousing.

For all of these reasons, DCED will establish the following priorities for its use of the 2015 allocation of Emergency Solutions Grant funds for Rapid Rehousing and Homelessness Prevention:

- It is critical that certain subpopulations of households who are already homeless receive priority due to their vulnerability. Therefore, DCED will give greater priority to applications for rapid re-housing of those who are chronically homeless, homeless veterans, and/or homeless families and children.

- DCED will seek to use at least 45% of its allocation of ESG funds for Rapid Rehousing and Homelessness Prevention (excluding administration and HMIS) for rapid re-housing, but reserves the right to adjust this as the need becomes evident. To ensure this goal is met, applicants requesting rapid re-housing funds will receive a priority.

4. Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); or, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs

The Department of Health, Division of HIV/AIDS allocates HOPWA Housing Program funds to seven Regional Grantees. In turn, the Regional Grantees disperse the funds directly or through sub-grantees (project sponsors) based on need for the full range of eligible activities. The Project Sponsors provide decent affordable housing assistance to low income HIV/AIDS clients through the following activities: tenant based or long term rental assistance (TBRA); short term rent, mortgage, and utility payments (STRMU); supportive services – case management; permanent housing placement; and project sponsor administrative expenses.

Discussion

AP-70 HOPWA Goals – 91.320(k)(4)

One year goals for the number of households to be provided housing through the use of HOPWA for:	
Short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family	310
Tenant-based rental assistance	208
Units provided in housing facilities (transitional or permanent) that are being developed, leased, or operated	0
Units provided in transitional short-term housing facilities developed, leased, or operated with HOPWA funds	0
Total	562*

* Includes 44 households placed in Permanent Housing Placement

The Philadelphia and part of the Pittsburgh region receive separate allocations directly from HUD. Additionally, the Eligible Metropolitan Statistical Areas (EMSAs) of Allentown, Harrisburg, and Bensalem Township receive separate allocations directly from HUD. For the current 2016 HOPWA grant year, they have chosen to request the State of Pennsylvania to serve as the grantee and administer the funds for housing support and related services. DOH presumes that this will be the case going forward and thus the funding is included in the overall amount for the HOPWA program.

AP-75 Barriers to affordable housing – 91.320(i)

Introduction

DCED works very closely with its grantees to address barriers to fair housing and promotes efforts for Fair Housing Choice. In 2016 the Commonwealth of Pennsylvania will have updated its Analysis to Impediments to Fair Housing Choice. With this update includes five (5) recommendations to assist the state in eradicating the impediments. They are:

1. Increase Public Awareness of Fair Housing Rights
2. Improve and Better Utilize Financial Assistance for Housing
3. Increase Access to Special Needs Housing
4. Strengthen Linkages between Transportation and Jobs
5. Strengthen Local Zoning Ordinances

Actions it planned to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment

DCED completed its Analysis of Impediments to Fair Housing Choice in December, 2015. The final draft of the AI was submitted to HUD for comment at the end of December and placed on DCED's website for a 30 day comment period from January 6, 2016 to February 6, 2016. DCED is waiting for HUD's comments to the AI before finalizing the document.

Two of the recommendations address this action. The first being providing more education to DCED's grantees on fair housing issues and how they can work within their communities to educate the citizens of their rights and the local leaders as to poor planning policies in terms of affordable housing.

DCED requires an annual report of its sub-recipients on the actions the grantees have completed to address the impediments to fair housing in their communities. The results of these reports are part of the annual CAPER. Non-compliance to this requirement will lead to IDIS privileges being halted until the report is completed and the requirements met.

DCED will contract with a consultant in the spring of 2016 to provide training to the sub-recipients so they are well versed in the Fair Housing Laws and be able to lead their local government leaders in activities that ameliorate the barriers to affordable housing in their municipalities.

Also DCED plans to work with its Center for Local Government, which provides courses on planning and zoning. Through workshops provided by the center with local government leaders on Fair Housing and open discussion with groups such as the Pennsylvania Builders, Pennsylvania Housing Authorities and Redevelopment Authorities, County Commissioners, Pennsylvania State Associations of Townships and Borough, and the PA league of Cities, it is anticipated that leaders in the state that are directly involved in the planning processes of development, especially housing will have more concern over policies that are impediments to Fair Housing Choice.

Discussion

AP-85 Other Actions – 91.320(j)

Introduction

Actions planned to address obstacles to meeting underserved needs

DCED tries to keep their programs as flexible as possible within the regulations of the individual programs to allow the units of local government to decide what are their needs and how best to address them. DCED will continue to provide training on planning so the UGLGs can determine what are their true needs based on demographics and facts and not just assumptions.

With the addition of the National Housing Trust Fund (HTF) to PHFA's arsenal of programs to address the needs of affordable housing, more units can be constructed or rehabilitated throughout the state to meet the needs of the PA citizen

Actions planned to foster and maintain affordable housing

Again DCED allows all types of housing initiatives if they are eligible and fundable to the respective program, so as to allow the local governments the ability to use housing funding in the manner most conducive to their needs. For HOME this is best accomplished through the use of Targeting, Leverage, and Impact concept. DCED in 2014 added the criteria that only 25% of existing housing rehabilitation funding for any one grantee may go to a "first come-first serve basis". This allows for better targeting of diminished funding to areas of the most concern.

With the addition of the National Housing Trust Fund (HTF) to PHFA's arsenal of programs to address the needs of affordable housing, more units can be constructed or rehabilitated throughout the state to meet the needs of the very low- and extremely low-income PA citizen.

Actions planned to reduce lead-based paint hazards

DCED will continue to mandate that all sub-recipients of federal funding for housing purposes (rehab, new construction, shelter, etc.) must comply with Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846) regulations. All sub-recipients sign a Statement of Assurances with the submission of their application that states they will adhere to the Act's requirements when applicable. In addition, since 2010, sub-recipients must comply with EPA's Renovation, Repair and Painting Rule as enacted in 2008. Adherence to this requirement is monitored for the CDBG and HOME programs, as well as with ESG when funding is being used for shelter renovations or conversions. In addition any housing unit being chosen by a homeless or at risk of homeless person is required to have a visual lead based paint inspection done prior to leasing of the unit.

Actions planned to reduce the number of poverty-level families

The Commonwealth of Pennsylvania, through the Pennsylvania Department of Human Services, has established a state plan for Temporary Assistance to Needy Families (TANF). Rather than develop a separate strategy for the Consolidated Plan, the Commonwealth relies on the TANF state plan as its anti-poverty strategy.

Actions planned to develop institutional structure

DCED will continue to work with the CoCs of the state to encourage shelters and vendors receiving ESG funding to be active participants in the governing process of the Continuum.

DCED will also continue to train and provide technical assistance to all of its sub-recipients to build capacity to plan for their communities needs and to be able to carry out a compliant program.

Actions planned to enhance coordination between public and private housing and social service agencies

DCED incorporates in their application for the Certification for Consistency to the Consolidated Plan that Public Housing Authorities must request from the state, that the PHA identify their actions to alleviate homelessness and if they are actively participating in the regional CoC.

Discussion

Program Specific Requirements

AP-90 Program Specific Requirements – 91.320(k)(1,2,3)

Introduction

Below, please find the specific requirements for each of the federal funding program affected by this Action Plan, as asked for by HUD. There are additional requirements on each of these programs, so the reader is directed to the respective Guidelines and Application Kits to make sure they are aware of all priorities, requirements, and needed attachments that are required when applying for the program. The guidelines and application kits may be found on <http://dced.pa.gov>. Choose the Programs and Funding Tab, or <http://dced.pa.gov/library>. Choose the Federal Resource Library and then the program.

Community Development Block Grant Program (CDBG) Reference 24 CFR 91.320(k)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed. <i>Grantees retain program income for use with their programs.</i>	0
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan. <i>All loans are paid to HUD.</i>	0
3. The amount of surplus funds from urban renewal settlements <i>Not Applicable</i>	0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan <i>Recaptured funds are used by other grantees that already have contracts.</i>	0
5. The amount of income from float-funded activities <i>Not applicable</i>	0
Total Program Income:	0

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan. (2012, 2013, 2014)	78.74%

**HOME Investment Partnership Program (HOME)
Reference 24 CFR 91.320(k)(2)**

1. A description of other forms of investment being used beyond those identified in Section 92.205 is as follows:

The Pennsylvania Housing Finance Agency is meeting the required match with the use of Low Income Housing Tax Credits, their own local funds, which may include state housing trust fund dollars. Many sub-recipients, though not required also add to their programs through the use of the local PA Act 137, fees attached to the recording of mortgages, PA Keystone Communities funding, local funds and USDA housing rehabilitation funding.

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:

When HOME funds are used to assist a household in the purchase of a unit, restrictions will be placed on the unit to ensure compliance with the resale and recapture requirements as specified in 24 CFR 92.254(a)(5). Sub-recipients must choose either to recapture HOME funds upon the sale of assisted properties within the affordability period or resale the property to another HOME eligible household. It is a choice of one or the other for the entire program. This decision needs to be in the sub-recipients' application and project guidelines. It also must be stated in the recorded mortgage documents and made clear to the homebuyer before documents are signed at closing. Applicants are directed to the HOME Program Guidelines for an explanation of these actions. DCED's recommended statement on recapture or resale may be found in Appendix A.

3. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:

When HOME funds are used to assist a household in the purchase of a unit, restrictions will be placed on the unit to ensure compliance with the resale and recapture requirements as specified in 24 CFR 92.254(a)(5). Sub-recipients must choose either to recapture HOME funds upon the sale of assisted properties within the affordability period or resale the property to another HOME eligible household. It is a choice of one or the other for the entire program. This decision needs to be in the sub-recipients' application and project guidelines. It also must be stated in the mortgage documents and made clear to the homebuyer before documents are signed at closing. Applicants are directed to the HOME Program Guidelines for an explanation of these actions. DCED's recommended statement on recapture or resale may be found in Appendix A.

- 4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:**

There are no plans to use HOME funds in 2016 for refinancing debt secured by multifamily housing.

- 5. The Commonwealth will use the HOME affordable homeownership limits for the area of the project, as provided by HUD for all its homebuyer and/or rehabilitation of owner-occupied single family housing programs.**

Please refer to Appendix B for the methodology for the use of these limits.

Emergency Solutions Grant (ESG)
Reference 24 CFR 91.320(k)(3)

1. Include written standards for providing ESG assistance (may include as attachment)

Sub-recipients of ESG through the Commonwealth's program must develop and implement standard policies and procedures for the determination and verification of an applicant/family's eligibility for assistance under the Emergency Solutions Grant. These standards must evidence how sub-recipients will prioritize which eligible families and individuals will receive ESG assistance.

Minimum Standards:

- a. Consistency with the definition of homeless and at-risk homeless as stated in 24 CFR § 576.2
Restrictions: Sub-recipients shall not use the risk factor for homeless allowed under paragraph 576.2 related to "otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness."
- b. The record keeping requirements as stated in 24 CFR § 576.500 (b – e) (HUD regulations)
- c. Sub-recipients are encouraged to give preference to families with children for both Homelessness Prevention and Rapid Re-housing assistance, to the maximum extent feasible, keeping the family units intact.

***Note: For applicants applying under the Emergency Shelter Component – the age of a child under the age 18 must not be used as a basis for denying any family's admission to an emergency shelter that uses ESG funding or services and provides shelter to families with children under age 18. All children under 18 must be considered equally for admission in order to prevent involuntary family separations.

2. If the Continuum of Care has established centralized or coordinated assessment system that meets HUD requirements, describe that centralized or coordinated assessment system.

The Balance of State Continuums of Care have not formalized any type of coordinated or centralized assessment system, though both are working toward having a system in place in the near future.

3. Identify the process for making sub-awards and describe how the ESG allocation available to private nonprofit organizations (including community and faith-based organizations).

DCED only allows units of local government to apply for ESG funding. DCED notifies all contacts that

are on its ESG, HOME, and CDBG contact lists when the application round is open. A Notice is also placed in the PA Bulletin. DCED has an evaluation process, which may be viewed in the application packet, and assigns points for the application based on eight different areas. DCED also coordinates the review with the regional CoCs to receive their input on the various programs requesting funding and the agencies participation in the CoC. This coordination will become more formalized once the new CoC governing boards decide on goals and objectives that affect the ESG program.

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

DCED is relying on the inclusion of homeless participation on the Balance of State CoC governing boards to begin the dialogue of developing policies and funding decisions that are the most needed by the homeless population.

5. Describe performance standards for evaluating ESG.

DCED, like HUD, recognizes that performance standards will evolve over the next few years as HUD's ESG regulations are implemented and as sub-recipients improve their program outcomes through the evaluation of HMIS data and through integration of ESG-funded services into their local Continuum of Care systems. To assist in the evaluation of the 2016 ESG applications, DCED is continuing to require all applicants to complete a performance measurement of their previous ESG Programs. These measurements will be a portion of the evaluation used to determine the capacity of the sub-recipient in conducting an effective program under the 2016 ESG Program. Similar measurements will be used in future funding proposals for the ESG Program.

Using these goals as a framework, performance standards for ESG will be measured by the following:

- Number of households served
- Street Outreach - Number of households reaching shelter or permanent housing
- Shelter - Number of households entering Rapid Rehousing Program
- Shelter - Number of households attaining permanent housing and remaining in unit for more than 3 months
- Rapid Rehousing - Number of households attaining permanent housing and remaining in unit for more than 3 months
- Homelessness Prevention - Number of households retaining permanent housing and remaining in unit for more than 3 months
- Mainstream Resources - Number of households utilizing additional resources to assist needs
-

*Performance will also be measured by evidence that the sub-recipient has coordinated with the local Continuum of Care (CoC) to ensure that ESG activities are consistent with CoC's strategies and objectives for preventing and ending homelessness. The impact of ESG funds will ultimately be reported by CoCs through Point-in-Time counts and through other data collected by HUD. In addition, sub-recipients are to ensure coordination with other local organizations that are planning and carrying out activities related to prevention, rapid re-housing and to link participants to other mainstream resources.

Discussion

APPENDICES

Appendix A

RESALE/RECAPTURE

The Commonwealth of Pennsylvania receives an annual allocation of HOME Investment Partnership Program (HOME) funding from the US Department of Housing and Urban Development Department (HUD) as a designated participating jurisdiction. Through the Department of Community and Economic Development (DCED), the Commonwealth of Pennsylvania facilitates the development and preservation of affordable housing. HOME funds are distributed through an annual competitive application process. Each community making application for funding under the HOME program is required to determine and make known in their application, whether a resale or recapture provision is utilized based on the needs of the community. At application, DCED will evaluate the terms of the provision identified to ensure compliance with neighborhood standards, housing market analysis and the expectations detailed below. Grantees must select to enforce either a Recapture or Resale provision that meets the requirements established in 24 CFR 92.254(a)(5)(i) and (ii).

RECAPTURE PROVISIONS

Grantees selecting to RECAPTURE HOME funds in the event of sale within the HOME affordability period will follow the guidance noted here. The Recapture provision permits the HOME-assisted homebuyer to sell their unit at any time during the period of affordability, to any willing buyer, and at the price the market will bear. The Grantee imposes recapture provisions by written agreement and by recorded lien. In the event of a voluntary or involuntary sale during the period of affordability, the grantee must recapture the HOME net proceeds specified under its recapture provisions. Net proceed is defined as the sale price minus loan repayment and closing costs.

The HOME investment amount may be reduced on a pro-rata basis on the length of time the homeowner has owned and occupied the unit measured against the required affordability period. If the net proceeds are not sufficient to recapture the full (or a pro-rata amount) HOME investment plus enable the homeowner to recover the amount of the homeowner's down payment and any capital improvement investment, the recapture provision may allow the net proceeds to be shared proportionally.

The HOME investment subject to recapture is the amount of HOME assistance that enabled the homebuyer to buy the dwelling unit. It includes any HOME assistance that reduced the purchase price from fair market value to an affordable price, but excludes the amount between the cost of producing the unit and the market value of the property (i.e., the development subsidy).

If no HOME funds are subject to recapture or resale, the restrictions apply for the period of affordability. All HOME assistance, whether a direct subsidy to the homebuyer or a construction or development subsidy, is subject to consideration for the purposes of determining the affordability term.

Grantee will identify its method of recapture in their competitive application and maintain a written process in its program files. One of the following models may be used:

- a. Grantee recaptures entire amount;
- b. Pro rata reduction of recapture amount during affordability period
- c. Owner recovers entire investment (down payment and capital improvements) before grantee recaptures HOME investment;
- d. Shared net proceeds in event of insufficient net proceeds; or
- e. PJ developed or modified provisions.

RESALE RESTRICTIONS

Resale provisions preserve the affordability and availability of the HOME-assisted homebuyer unit to low-income households for the entire period of affordability. In an effort to make the property affordable to a reasonable range of low-income homebuyers, the Grantee controls the resale price by establishing an objective methodology for determining a fair return to the original homebuyer. If the established resale price is not affordable to the subsequent low-income homebuyer, the Grantee may be required to provide additional assistance to that homebuyer but may not adjust the sale price as a result.

The unit must be made available for subsequent purchase only to a low income family that will use the property as its principal residence. The original owner will receive a fair return on investment, including any improvements.

Fair Return on Investment

If the unit is sold during the affordability period, the grantee shall guarantee that the price at resale provides the original HOME-assisted buyer a fair return on investment (including the original homebuyer's initial investment and any capital improvements). The value of capital improvements is defined for these purposes as the actual, documented costs of permanent structural improvements or the restoration of some aspect of a property that either will enhance the property value or will increase the useful life of the property. Capital improvements are generally non-recurring expenses such as the cost of an addition, a remodel, or a new roof. Repairs and general maintenance are not considered capital improvements. To be considered, the actual costs of the capital improvement must be documented with receipts, cancelled checks or other documents acceptable to the grantee and DCED.

A fair return on investment will be considered achieved when the original homebuyer (now the seller) receives from the sale a percentage return on investment based on the change in the Median Sale Price for the Metropolitan Statistical Area, as published periodically by HUD with the FHA Mortgage Limits (also known as the "203(b) limits.")

Fair Return = (Initial Investment + Value of Improvements) X $\frac{\text{Median Sale Price (current)}}{\text{Median Sale Price (initial)}}$

The fair return to the homebuyer is paid out of proceeds from the sale of the home; if the home is sold at a loss and no proceeds are available, the homeowner shall not be entitled to any return. If proceeds are insufficient to provide the full amount of the calculated fair return, the homeowner shall receive a return only up to the amount of available proceeds.

Continued Affordability

In addition to ensuring that the HOME-assisted homebuyer receives a fair return on his or her investment, the grantee's resale provisions shall ensure that the housing under a resale provision will remain affordable to a reasonable range of low-income homebuyers. Accordingly, the grantee shall ensure that the sales price of a home resold under the resale provisions is within the maximum mortgage capacity of a target population of potential buyers with incomes ranging from 50% to 80% of the Area Median Income (AMI). More specifically, the grantee defines "affordable to a reasonable range of low-income homebuyers" as housing with a sales price not exceeding three times the low-income limit (80% AMI) for the Metropolitan Statistical Area corresponding to a household size equivalent to the number of bedrooms in the home.

Presumption of Affordability

DCED will not accept presumption of affordability in place of income based determination of eligibility for the resale requirement.

Housing Market Analysis

The housing market in Pennsylvania varies significantly by region. While the Commonwealth fared comparatively better than its neighboring states in terms of foreclosures during the housing crisis of 2008-2009, housing markets have not returned to a normal state of operation. According to RealtyTrac, Pennsylvania has an average foreclosure rate of 0.08%, lower than the national average of 0.09%.

The need for affordable housing has not been met by the existing housing market. . The communities with the greatest problems continue to be the same high growth areas that show significant affordability problems. In general, these areas are in counties that border New Jersey, Eastern New York and Eastern Maryland.

Given the extensive geographic area of the Commonwealth, DCED instructs its grantees to assess and analyze local housing markets in developing project applications. DCED prioritizes projects that are targeted for middle markets (also known as transitional neighborhoods), officially designated redevelopment areas, and locations that meet a strategic need.

Pennsylvania also has an older housing stock on average compared to the nation as a whole. Based on 2012 ACS data, 50% of Pennsylvania's occupied housing stock was built prior to 1940; over 70 years old. Only 31% of the entire U.S. occupied housing stock was built prior to 1940.

Appendix B

New 2015 Limits for HOME Maximum Per-Unit Subsidies

HUD has published the 2015 HOME Maximum Per-Unit Subsidy Limits (Formerly 221(d)(3) Limits) In accordance with Section 206A of the National Housing Act, HUD has adjusted the basic statutory mortgage limits for Multifamily Housing Programs for calendar year 2015. The effective date for the new limits was November 18, 2015. You can view the limits and guidance by clicking on the link below.

[View the 2015 Section 234 limits and guidance on the HOME maximum per-unit subsidy limits.](#)

The 2015 Per-Units Subsidy Limits and or the Section 234—Condominium Housing limits are as listed below;

Bedrooms	Elevator
0	\$58,378
1	\$66,923
2	\$81,377
3	\$105,276
4+	\$115,560

HUD has also Published CPD Notice 15-003 for additional guidance in determining the Maximum Per-Unit Subsidy Limits. Please review the guidance in CPD Notice 15-003 by clicking the link below.

[CPD Notice 15-003: Interim Policy on Maximum Per-Unit Subsidy Limits for the HOME Program](#)

Pa DCED HOME sub-grantees should use the High Cost Percentage **(HCP) of 240% as the multiplier to attain the correct Maximum Per-Unit Subsidy Limit.**

Any questions should be directed to Mike Carpenter, Pa. DCED HOME program manager at micarpente@pa.gov or (717)720-7471.

Methodology for Calculating HOME Maximum Purchase Price or After-rehab Value Limits – FY 2015 (revised March 5, 2015)

The HOME Rules establishes the maximum purchase price a grantee may set for a HOME subsidized homeownership unit as follows:

“If a participating jurisdiction intends to use HOME funds for homebuyer assistance or for the rehabilitation of owner-occupied single-family properties, the participating jurisdiction must use the HOME affordable homeownership limits provided by HUD for newly constructed housing and for existing housing. HUD will provide limits for affordable newly constructed housing based on 95 percent of the median purchase price for the area using Federal Housing Administration (FHA) single family mortgage program data for newly constructed housing, with a minimum limit based on 95 percent of the U.S. median purchase price for new construction for nonmetropolitan areas. HUD will provide limits for affordable existing housing based on 95 percent of the median purchase price for the area using Federal FHA single family mortgage program data for existing housing data and other appropriate data that are available nation-wide for sales of existing housing, with a minimum limit based on 95 percent of the state-wide nonmetropolitan area median purchase price using this data.”

PJs continue to have the option to determine the actual 95 percent of area median value limit for their jurisdiction using the methodology in the regulation [at §92.254(a)(2)(iii)].

AFFORDABLE EXISTING HOUSING

The FY 2015 Existing Housing Limits are based on combining two data sources:

- 1) FHA data on the purchase price of existing homes insured by FHA from October 2006 through June 2014
- 2) Federal Housing Finance Agency (FHFA) data on purchase mortgages securitized by Fannie Mae and Freddie Mac between October 2006 through June 2014. GSE purchase mortgages exceeding the FHA high cost maximum loan limit of \$650,000 are excluded from the file.

For each geographic area (metropolitan area, county within a metropolitan area, or non-metropolitan county), a median purchase price is calculated. The Median purchase price is based on the most recent data that aggregates to 500 or more sales in the specific geography. If there have been 500 or more sales in the most recent 12 months (July 2013 to June 2014), then the median for those 12 months are used. If fewer than 500, then 24 months of sales are used. If fewer than 500 sales over 24 months, then 36 months are used. If fewer than 500 sales over 36 months, then 8 year period is used. The result is the “Unadjusted Median Purchase Price”.

The rule states that there is “a minimum limit based on 95 percent of the state-wide nonmetropolitan area median purchase price”. There are two states and the District of Columbia that have no non-metropolitan areas. As such, HUD made a technical correction in 2013 to the rule that sets this minimum purchase prices as the lesser of the state non-metro or the US non-metro median. HUD calculates for each state its non-metropolitan median purchase price as well as the US non-metropolitan median purchase price. This serves as the “state floor price” for maximum purchase price limits on existing homes.

The HOME maximum purchase price for EXISTING housing is set as follows:

- (1) Calculate the greater of the unadjusted median sales price or the “state floor price”
- (2) This is multiplied times 0.95 and rounded to the nearest thousand to create the 1-unit purchase price limit.
- (3) The 2-unit, 3-unit, and 4-unit limits are a function of the 1-unit limit. Based on FHA standard practice, the following multipliers are used for 2-, 3-, and 4-unit properties: 1.28, 1.55, and 1.92 times the 1-unit limit respectively.
- (4) If a county within a metropolitan area has a higher calculated HOME Limit than the amount calculated for the metropolitan area, the county HOME Limit is used.

AFFORDABLE NEW HOUSING

The FY 2015 New Housing Limits are based only on FHA data on the purchase price of new homes insured by FHA from October 2005 through June 2014.

For each geographic area (metropolitan area, county within a metropolitan area, or non-metropolitan county), a median purchase price is calculated. The Median purchase price is based on the most recent data that aggregates to 50 or more sales in the specific geography. If there have been 50 or more sales in the most recent 12 months, then the median for those 12 months are used. If fewer than 50, then 24 months of sales are used. If fewer than 50 sales over 24 months, then 36 months are used. This process repeats for up to 3 years of sales. If fewer than 50 sales over 3 years, then all records from 2006 forward are used to calculate the median purchase price. The result is the “Unadjusted Median Purchase Price”. The rule states that there is “a minimum limit based on 95 percent of the U.S. median purchase price for new construction for nonmetropolitan areas”. This minimum limit was calculated by HUD using micro data from the Census Bureau data collected on sales price for new homes constructed in 2013 in non-metropolitan areas. In 2013, HUD calculates the non-metropolitan purchase price for a new home in the US as \$210,000. Micro data are available at the Census website:

<https://www.census.gov/construction/chars/microdata.html>

The HOME maximum purchase price for NEW housing is set as follows:

(1) Calculate the greater of the unadjusted median sales price or the 2013 national non-metro median (\$210,000).

(2) If the existing home median for the area exceeds the new home median, the new home median is raised to the existing home median.

(3) This is multiplied times 0.95 to create the 1-unit purchase price limit

(4) The 2-unit, 3-unit, and 4-unit limits are a function of the 1-unit limit. Based on FHA standard practice, the following multipliers are used for 2-, 3-, and 4-unit properties: 1.28, 1.55, and 1.92 times the 1-unit limit respectively.

(5) If a county within a metropolitan area has a higher calculated HOME Limit than the amount calculated for the metropolitan area, the county HOME Limit is used

Appendix C

Program Income and How It's Used By the Programs:

CDBG –

Due to Grant Based Accounting starting with the 2015 applications and in light of HUD's Directive on the recording of Program Income (12-14-2015). DCED is currently reviewing its policy on program income and recapture to be in accordance with the regulations.

HOME –

a. Grantees May Retain HOME Program Income

HOME grantees may retain HOME program income, which must be used for HOME eligible affordable housing activities, including delivery costs, and comply with all applicable HOME Program requirements. HOME grantees may use program income for administrative costs – subject to the 10% cap on administrative costs. Program Income must be used prior to drawing down any HOME funds from IDIS. Program Income must be tracked and logged into IDIS. Program Income must be listed and included on the Annual Fiscal Status Report for each open HOME contract. Each grantee is to report on the program income they have received during the calendar year.

***Caution:** Remember that when HOME Program income is used by for-profit developers or nonprofit housing development corporations for acquisition, construction, or rehabilitation of affordable housing, for either sale or rental, all applicable HOME requirements apply and are required prior to incurring costs to be paid with HOME funds.*

This flexibility in maximizing the use of HOME grant funds provides HOME grantees the opportunity to meet additional affordable housing needs of low and very low income persons. However, with this flexibility comes the responsibility to comply with the HOME statutes and regulations governing program income, as well as ongoing reporting and monitoring responsibilities. Statutory and regulatory references governing the use, disbursement and accounting for program income are found in the National Affordable Housing Act of 1990, as amended, in the HOME Program Final Rule of July 24, 2013, and in other regulations such as 24 CFR Part 85 and 84 and OMB Circular A-87. These requirements are defined in the HUD Notice-CPD-97-9, issued September 12, 1997, which is available on the OneCPD Resource Exchange website found at <https://www.onecpd.info/home/home-cpd-notices/>

b. Summary of HOME Program Income Requirements

A brief summary of each of the aspects of the program income requirements follows.

i. Definition of Program Income

HOME Program income is defined in the Definitions section of the HOME Final Rule at 24 CFR 92.2. Program income means gross income the grantee or sub-recipient receives that is directly generated from the use of HOME funds (including HOME program income) and matching contributions. When program income is generated by housing that is only partially assisted with HOME funds or matching funds, the income shall be prorated to reflect the percentage of HOME funds or match used. Following is a list of examples of program income. (This is not an exclusive list):

- Proceeds received from the disposition by sale or long-term lease of real property acquired, rehabilitated, or constructed with HOME funds or matching contributions.
- Gross income received from the use of rental of real property, owned by the grantee or sub-recipient, that was acquired, rehabilitated, or constructed with HOME funds or matching contributions, less costs incidental to generation of the income. (Note: rental income from property owned by entities other than the grantee or sub-recipient does not constitute program income).
- Payments that are received on the principal and interest of loans that are made using HOME funds or matching contributions.
- Proceeds that are received from the sale of loans made with HOME funds or matching contributions.
- Proceeds that are received from the sale of obligations secured by loans made with HOME funds or matching contributions.
- Interest earned on program income pending its disposition.
- Receipt of any other interest or return on the investment that is permitted under 92.205(b) of HOME funds or matching contributions.
- Interest earned on funds in the grantees' or sub-recipients' HOME account.
- Income generated by a project that is funded with program income is also HOME program income. The Final Rule at 24 CFR 92.2 defines HOME funds as funds made available through allocations and reallocations, plus program income.
- Recaptured Funds: Recaptured funds are HOME funds which are recouped by the participating jurisdiction (or sub-recipient, State recipient or CHDO) when HOME assisted homeownership housing does not continue to be the principal residence of the assisted homebuyer for the full affordability period required by 24 CFR 92.254(a)(4). Recaptured funds deposited in the local HOME account (or sub-recipient, State recipient or CHDO account pursuant to the Written Agreement), become part of the HOME funds available for payment of the next program cost. Thus, recaptured funds must be used for eligible HOME activities in accordance with the requirements of the HOME statute and regulations, in the same manner as program income must be used. However, unlike program income, since recaptured funds represent a return of the original HOME

investment, 10% of the recaptured funds may not be used for eligible administrative and planning costs.

- **Repayments:** Repayments are HOME funds which the participating jurisdiction must repay because the funds were invested in a project which was terminated before completion (either voluntarily or involuntarily), or invested in housing which failed to comply with the affordability requirements specified in 24 CFR 92.252 or 92.254. Repayments also include the repayment of project specific CHDO technical assistance, site control and seed money loans pursuant to 24 CFR 92.301, when the participating jurisdiction does not waive loan repayment and the project is terminated before completion.

NOTE: *If a grantee is no longer a grantee when the program income is received by the grantee or sub-recipient, the funds are not subject to the HOME program income requirements, pursuant to 24 CFR 92.503.(a)(2) and must be returned to DCED.*

ii. Accounting for Program Income and Recaptured Funds

Grantees must maintain records that adequately identify the source and application of their HOME funds (including program income) as part of the financial transactions of their HOME program. The records must be consistent with generally accepted accounting principles and the requirements of 24 CFR part 85.20. Grantees must record program income and recaptured funds in IDIS and maintain a separate log outside of IDIS that distinguishes between program income and recaptured funds since recaptured funds are not eligible for administrative and planning costs.

The grantee is required to identify program income by program funding year. The grantee must also be able to identify which projects, including the amount, generated the program income. The grantee must also be able to anticipate program income for the next program year. The grantee's financial management system must be able to track program income receivable (such as the amount and date of principal and interest due on a HOME loan). 24 CFR 92.508 identifies the records that must be maintained.

iii. Interest Earned on HOME Accounts

The grantees' HOME account must be interest bearing. In accordance with 24 CFR 92.502(c)(2), HOME allocation funds drawn from the U. S. Treasury account must be expended for eligible costs within 15 days from the date the funds are drawn down.

iv. Disbursement of Program Income

To comply with 24 CFR 92.502(c)(3), program income deposited into the local HOME account must be used before additional HOME funds are drawn down from the U.S. Treasury. A grantee

may not draw down HOME funds while allowing program income to accumulate in its local HOME account. Available program income must be used to pay the next eligible program cost (or portion thereof).

v. Sub-recipients

In accordance with 24 CFR 92.503(a) (1), a grantee may authorize a sub-recipient to retain program income for additional HOME projects.

As specified on the Written Agreement, any program income on hand, as well as any future program income (accounts receivable), must be returned to the grantee upon expiration of a Written Agreement.

In accordance with 24 CFR 92.504(a), the grantee retains responsibility for HOME activities that are carried out by its sub-recipients. The grantee must account for the source and application of HOME funds that are received by its sub-recipients. The grantee must ensure that its financial management systems meet the requirements of 24 CFR part 85.20 or 24 CFR part 84.21, as applicable, including controls for the receipt and expenditure of program income. The grantee's Written Agreement with its sub-recipients should clearly identify the procedures that are to be followed.

vi. Use of Program Income

Activities that are assisted with HOME program income are treated the same as those that are assisted with the DCED HOME contract allocation. All HOME Program rules and requirements apply. This includes other federal requirements, such as labor standards (12 or more units), environmental, procurement, fair housing and equal opportunity, etc.

For example, all costs that are financed with program income must be HOME eligible. In addition, the amount of assistance the program income provides must be included when determining compliance with the following requirements:

- 24 CFR 92.250(a) concerning the maximum per-unit subsidy amount.
- 24 CFR 92.250(b) concerning subsidy layering, underwriting.
- 24 CFR 92.250 (b)(2) assessment of market demand for affordable housing.
- 24 CFR 92.252(b) concerning additional rent limitations.
- 24 CFR 92.252(e) concerning applicable affordability periods for rental housing.
- 24 CFR 92.254 concerning applicable affordability periods for homeownership housing.
- 24 CFR 92.254 (a)(3) homebuyers must receive housing counseling.

vii. Program Income and Income Targeting

In accordance with 24 CFR 92.216 “Income Targeting: Tenant-based rental assistance and rental units,” HOME funds that are made available during a fiscal year must be invested so that not less than 90% of all families receiving rental assistance or occupying rental units are families whose annual incomes do not exceed 60% of the median family income for the area. Program income must be included in calculating whether the income targeting requirement has been met. Program income that is used in combination with HOME allocation funds for the same rental assistance or rental units does not require separate record keeping for the program income investment. For such activities, the income targeting requirement is met for the program income investment to the same extent that it is met for the investment of the fiscal year HOME allocation.

When the grantee or sub-recipient funds a rental assistance activity or activities solely with program income, the following documentation must be provided to show that the income targeting requirements have been met:

- A record of all rental assistance activities that are wholly set-up or committed with program income during a fiscal year.
- Upon completion of these activities, a record of the income of the families that are receiving the rental assistance or occupying the rental units.

Combine this data with the data on families who are assisted with the corresponding fiscal year HOME allocation. The combined total of assisted families is used to determine whether the income targeting requirement has been met for the fiscal year HOME allocation plus program income.

When program income for homeownership activities is used in combination with the HOME grant funds for the same homeownership activity, no separate record keeping for the program income is required. When program income funds an entire activity, the grantee must document that 100% of the program income is used for dwelling units occupied by households that qualify as low income families.

viii. Program income, repayments, and recaptured funds, 24 CFR 92.503.8

a.) Program income.

- 1.) Program income must be used in accordance with the requirements of this part. Program income must be deposited in the participating jurisdiction's HOME Investment Trust Fund local account unless the participating jurisdiction permits the State recipient or sub-recipient to retain the program income for additional HOME projects pursuant to the written agreement required by §92.504.

2.) If the jurisdiction is not a participating jurisdiction when the program income is received, the funds are not subject to the requirements of this part.

3.) Program income derived from consortium activities undertaken by or within a member unit of general local government which thereafter terminates its participation in the consortium continues to be program income of the consortium.

b.) Repayments.

1.) Any HOME funds invested in housing that does not meet the affordability requirements for the period specified in §92.252 or §92.254, as applicable, must be repaid by the participating jurisdiction in accordance with paragraph (b)(3) of this section.

2.) Any HOME funds invested in a project that is terminated before completion, either voluntarily or otherwise, must be repaid by the participating jurisdiction in accordance with paragraph (b)(3) of this section except for repayments of project specific community housing development organization loans which are waived in accordance with §§92.301(a)(3) and 92.301(b)(3).

3.) HUD will instruct the participating jurisdiction to either repay the funds to the HOME Investment Trust Fund Treasury account or the local account. Generally, if the HOME funds were disbursed from the participating jurisdiction's HOME Investment Trust Fund Treasury account, they must be repaid to the Treasury account. If the HOME funds were disbursed from the participating jurisdiction's HOME Investment Trust Fund local account, they must be repaid to the local account. If the jurisdiction is not a participating jurisdiction at the time the repayment is made, the funds must be remitted to HUD, and reallocated in accordance with §92.454.

c.) Recaptures.

1.) HOME funds recaptured in accordance with §92.254(a)(5)(ii) must be used in accordance with the requirements of this part. Recaptured funds must be deposited in the participating jurisdiction's HOME Investment Trust Fund local account unless the participating jurisdiction permits the State recipient, sub-recipient, or community housing development organization to retain the recaptured funds for additional HOME projects pursuant to the written agreement required by §92.504. If the jurisdiction is not a participating jurisdiction when the recaptured funds are received, the funds must be remitted to HUD and reallocated in accordance with §92.454.

ESG –

Costs paid by program income shall count toward meeting the recipient's matching requirements, provided the costs are eligible ESG costs that supplement the recipient's ESG program.

APPENDIX D

CITIZEN COMMENTS

Michael, Jody

From: Linda Costal <l_costal@yahoo.com>
Sent: Tuesday, October 27, 2015 1:43 AM
To: DC, CDBG & Home Questions
Subject: Hud housing plan.

A lot more accessible housing is needed for people with disabilities as well as housing for single middle aged adults. Linda Costal

Michael, Jody

From: Diana Myers <diana@dma-housing.com>
Sent: Wednesday, October 28, 2015 5:01 PM
To: Smith, Mary; Snyder, Megan L; DC, CDBG & Home Questions
Cc: Krot, Harry; Leigh Howard
Subject: Comments on Need for the 2016 Consolidated Plan
Attachments: Full Report FINAL REVISIONS 6-18-15.pdf; Executive Summary FINAL REVISIONS 6-18-15.pdf

TO: MJ Smith

From: Diana T. Myers and Associates, Inc.

RE: Comments on Needs for the 2016 Consolidated Plan

The following unmet needs have emerged from our experience with communities throughout the Commonwealth, including work on homelessness and focus groups with persons with disabilities and their family members:

1- 1- A need for additional affordable accessible housing for people with disabilities.

People with disabilities have been identified as a protected class facing significant discrimination in housing. A major barrier to redressing this is the lack of affordable accessible housing in locations of their choice for both younger people with disabilities and for seniors aging in place. The following are needed:

- a. Increased resources for home modifications
- b. Increased subsidies for LIHTC funded units to make them affordable to households with incomes below 30% AMI
- c. Increased rental assistance (possibly through Section 811) for accessible non-LIHTC funded units so that people with disabilities can live in locations of their choice

2- 2- Technical and financial support for planning and implementation of housing for people with disabilities and their family members

Many individuals with disabilities want to explore individual housing options within their communities but lack the technical and financial resources to successfully do so.

- a. Quality housing needs assessment tools, housing models, up-to-date training in housing options (including non-traditional options such as shared housing, ECHO housing and housing cooperatives), need to be available statewide to assist in planning efforts.
- b. Technical and financial assistance must be available to ensure that individuals with disabilities and their family members have the tools needed to implement their desired option.

3- 3- Match dollars for local homeless housing and service programs

In the Balance of State it is becoming more and more challenging to find providers willing to apply for federal funds to undertake additional homeless housing initiatives due to the lack of the required local match. As the Collaborative Applicant for the Balance of State Continuums of Care, DCED needs to work on the state and local levels to bring both match dollars and leveraged resources to the table to ensure the maximum use of these resources.

For your reference, I am also attaching a copy of the report on the Statewide Survey of Housing for People with Disabilities that was done for the PA Developmental Disabilities Council.

Thanks for the opportunity to comment, and please let me know if you have any questions or need additional information.

Diana Myers
Diana T. Myers and Associates, Inc.
215-576-7970, -8650 fax
diana@dma-housing.com
7900 Old York Road, Suite 108B
Elkins Park, PA 19027

Ms. Megan Snyder
Department of Community and Economic Development
Center for Community Financing
400 North Street, 4th Floor,
Commonwealth Keystone Building
Harrisburg, PA 17120-0225

November 9, 2015

VIA Department's mail box at: RA-DCEDcdbg&homequestions@pa.gov

The Centers for Disease Control and Prevention reports that one in four women will have been the victim of severe physical violence by an intimate partner in their lifetime, while one in seven men will have experienced the same form of abuse.¹ In cases of domestic violence, research has found that more than a third of survivors report becoming homeless immediately after separating from their partners.² Housing is one of the primary needs identified by survivors when seeking domestic violence services.³ In just one day in 2014, 1,373 individuals (713 children and 660 adults) found refuge in emergency shelters or transitional housing provided by a network of 60 domestic violence centers serving all 67 counties in Pennsylvania.⁴

In light of the undeniable link between homelessness and domestic violence, the Pennsylvania Coalition Against Domestic Violence appreciates the opportunity to make the following comments on the 2016 Pennsylvania Action Plan to the U.S. Department of Housing and Urban Development (HUD) for federal funds administered by the Commonwealth. PCADV is a private nonprofit organization that provides services and advocacy on behalf of victims of domestic violence and their children. PCADV was established in 1976 and nearly 40 years later, has grown to a membership of 60 organizations across Pennsylvania consisting of shelters, hotlines, counseling programs, safe home networks, legal and medical advocacy projects, and transitional housing projects.

PCADV urges the 2016 Action Plan to be guided by a commitment to victim safety. The following recommendations support victim safety by designing systems and tools that foster communication and collaboration among service providers, prioritizing domestic violence programs continuing to provide transitional housing, and maintaining the highest standards of confidentiality. Domestic violence service providers play too vital a role in ending homelessness for their needs—and the needs of the victims they serve every day—to be marginalized.

¹ Breiding, M.J., Chen J., & Black, M.C. (2014). *Intimate Partner Violence in the United States-2010*. Atlanta, GA: National Center for Injury Prevention and Control, Centers for Disease Control and Prevention.

² Baker, C.K., Cook, S.L., & Norris, F.H. (2003). Domestic violence and housing problems: A contextual analysis of women's help-seeking, received informal support, and formal system response. *Violence Against Women*, 9, 754-783.

³ Lyon, E., Lane, S., & Menard, A. (2008). *Meeting Survivors' needs: A multi-state study of domestic violence shelter experiences*. Washington, DC: National Institute of Justice. Retrieved October 28, 2010, from http://www.vawnet.org/Assoc_Files_VAWnet/MeetingSurvivorsNeeds-FullReport.pdf.

⁴ National Network to End Domestic Violence. (2015). *Domestic Violence Counts 2014: Pennsylvania Summary*. Washington, DC. Available at <http://nnedv.org/downloads/Census/DVCounts2014/PA.pdf>

CONFIDENTIALITY

PCADV Recommendation: Continue to examine and support confidentiality within the context of technology integration and information sharing.

Confidentiality is the cornerstone of victim safety. Unfortunately, leaving an abusive relationship does not always stop the violence. In fact, a victim is most at risk of being killed by an abusive partner when taking steps to leave the relationship.⁵ Many victims are stalked for years after having escaped from their partners. Abusers who stalk their former partners pose the highest lethality risk to their victims.⁶

Due to a fear of retaliatory violence at the hands of an abusive partner, many victims will take extraordinary and desperate steps to hide their location, including fleeing across the state, to seek safety. These measures can be jeopardized if proper confidentiality protections are not in place in the systems designed to serve victims.

A specific concern arises in collecting personally identifying information of a victim in ways that can be accessed by a technology-savvy abusive partner. As a result, significant legal protections for victims' records and information exist under the Violence Against Women Act (VAWA). VAWA-funded domestic violence and rape crisis programs are prohibited from disclosing personally identifying information about any victims served. This includes entering any personally identifying information into Homeless Management Information Systems (HMIS). Due to the uncertainty of where a victim will access services, the shared HMIS data management system continues to concern victim service providers. For example, a homeless shelter that is not a domestic violence center may capture the confidential information of a victim without policies and procedures in place. The following section identifies five measures that can be established in partnership with domestic violence service providers that will promote the confidentiality of victim information across the continuum of care.

SYSTEM DESIGN AND SHARED TOOLS

PCADV Recommendation: Develop assessment tools and procedures that are safe, non-traumatizing, and informed by domestic violence service providers.

Domestic violence service providers must be significantly involved during the design and implementation stages of systems to address homelessness in order to ensure victim safety. From inception, it is imperative that technology integration systems among providers are developed with confidentiality and safety in mind. Once confidentiality is breached, a victim is vulnerable to violence. Feedback from victim service providers on practices that are determined to be unsafe for victims should be used to create an immediate shift in that practice.

⁵ Bachman, R. and Salzman, L. (2000). Bureau of Justice Statistics, *Violence Against Women: Estimates From the Redesigned Survey*.

⁶ Campbell, J. (1995). *Prediction of Homicide of and by Battered Women*, reprinted in *Assessing Dangerousness: Violence by Sexual Offender, Batterers, and Sexual Abusers*.

PCADV recommends developing tools to assess how domestic violence service providers will safely and effectively coordinate with other homeless service providers. For example, communities can develop the following tools and practices to promote communication and collaboration safely and within the context of confidentiality:

1. Develop and share assessment tools and forms that can easily screen for domestic violence.
2. Train intake workers on trauma-informed procedures that guide victims through their options and rights, including giving referrals to and information about local victim services.
 - a. The victim should be given the option to go directly to victim services to complete intake and/or access services.
 - b. Additionally, if an individual identifies as a victim, the intake should be completed at a safe location, either with a victim advocate present at the central intake or by allowing intake to take place at a victim service location.
3. Increase timely communication about availability of resources among all service providers to minimize unmet needs.
4. Streamline the referral process between homeless service providers and victim service providers.
5. Develop waitlists that use non-identifying information.

A purposeful and specific strategy to include domestic violence service providers in the development of these tools and practices will help ensure victims are served with sensitivity to their needs regardless of where they seek services.

TRANSITIONAL HOUSING

PCADV Recommendation: Develop and incorporate a ranking system that awards priority scoring for domestic violence programs offering transitional housing.

Transitional housing has an important role in serving the unique needs of domestic violence victims. Residents are often allowed to stay from six months to two years in transitional housing programs. A longer period of time in transitional housing offers increased stability for victims and their dependent children following emergency shelter. Residents are typically required to establish goals to work toward economic stability while receiving support services that may include childcare, child development programs, financial assistance, clinical therapy, and counseling in life planning and job development. Transitional housing models used by domestic violence service providers support the empowerment of victims to live self-sufficient and safer lives while receiving tools for economic stability from trained advocates and peers.⁷

PCADV appreciates that HUD identifies domestic violence as a policy priority and seeks to address the safety needs of survivors as well as include domestic violence service providers in the Continuum of Care planning process.⁸ However, domestic violence providers offering transitional housing services are in danger of losing vital funding without a scoring preference administered in the application process. PCADV

⁷ Correia, A. & Melbin, A. (2005) Transitional Housing Services for Victims of Domestic Violence: A Report from the Housing Committee of the National Task Force to End Sexual and Domestic Violence. Available at: http://www.vawnet.org/Assoc_Files_VAWnet/TransHousingServices.pdf

⁸ Olivia, A. (2015). HUD Exchange. *SNAPS In Focus: Ensuring Access for Survivors of Domestic Violence*. Available at: <https://www.hudexchange.info/news/snaps-in-focus-ensuring-access-for-survivors-of-domestic-violence/>

urges the 2016 Action Plan to support survivor access to specialized services by ensuring that no domestic violence service provider falls within the lowest funding recipient category. This can be accomplished, for example, by awarding additional points to funding applicants that identify as domestic violence service providers. Currently, there is a similar structure in awarding priority points to nonprofits serving at-risk youth or transition-age youth.⁹ Maintaining funding for domestic violence providers offering transitional housing is especially critical as funding trends move toward permanent housing programs.

Developing and incorporating a ranking system that awards points to domestic violence applicants would help alleviate the danger of these programs being denied vital and shrinking transitional housing funds. Especially since it is unlikely, if not impossible, for transitional housing applicants to reapply for transitional dollars after being denied funding in the present cycle. It is critical that domestic violence service providers remain competitive in accessing vital transitional housing funding that allows them to support victims based on their unique needs.

Domestic violence and homelessness are inextricably linked. Intentional support is needed of survivors seeking safe, stable and affordable housing across the Commonwealth. It is critical that the Pennsylvania 2016 Action Plan promotes safe access to the array of available resources and recognizes the organizations that provide these lifesaving services for victims.

Thank you for the opportunity to offer these comments. Please do not hesitate to contact PCADV at 717-545-6400 or www.pcadv.org should you have any questions.

The Pennsylvania Coalition Against Domestic Violence is a private nonprofit organization that provides services and advocacy on behalf of victims of domestic violence and their children. PCADV was established in 1976 and nearly 40 years later, PCADV has grown to a membership of 60 organizations across Pennsylvania consisting of shelters and transitional housing, hotlines, counseling programs, safe home networks, and legal and medical advocacy services. Our network of domestic violence programs consistently serves nearly 90,000 victims each year and has assisted more than 2.5 million people since 1976.

⁹ U.S. Department of Housing and Urban Development. (October 2014) General Section to HUD's Fiscal year 2015 Notices of Funding Availability (NOFAs) for Discretionary Programs. Available at: <https://www.hudexchange.info/resources/documents/FY2015-NOFA-Policy-Requirements-and-General-Section.pdf>

PHAC Meeting
March 7, 2016
2016 Action Plan Comments

Mike Fisher, SEDA-COG, commented that their HOME program, owner occupied rehab is currently involved with 13 different municipalities and counties with HOME contracts and he finds that the targeting and leveraging criteria used with HOME, is problematic in rural PA. He thinks that this concept works well in urbanized area with high concentration in populations and many different investments going on but in many of the rural counties are now finding that there is still a need for housing rehab but not in concentrated pockets. The need is county wide. The grantees are ignoring the need and looking for the areas there are investments taking place so they are chasing the leverage first and then seeing how that leverage matches up with the need to create a target. The grantees are losing their creativity by doing this process. They are able to satisfy the commonwealth's intent, but now it just doesn't seem to be addressing the true need of the area. They are starting to struggle with trying to match up the various goals.

Mike also added that the rural areas are faced with lack of contractor base. This is one of the biggest hindrances of delivering in a timely fashion. He was not sure of a solution and have tried to streamline the programs process to save paperwork and funds. But that still did help increase the contractor's interest. In Central PA the last 5 or 6 years it's been an issue and not getting any better.

Holly Edinger, Sacred Heart Hospital in Allentown, noted the same as Mike relating to the lack of contractor base.

Rich Kisner, Columbia County Redevelopment and Housing Authority, is facing the same problems. They haven't looked at doing rehab for homeowners for quite some time. Their focus is strictly on accessibility even though the need for regular housing rehab is still there. Leveraging in the small communities is very limited with minimal funding.

Rich asked about the CDBG-DR action plan and when the housing portion would be available. MJ Smith, DCED, replied that the CDBG-DR has their own action plans submitted in 2012 and 2013. They are still under the old action plan process. Rich also asked if the resources available are going to be disclosed. MJ explained that anything over \$1 million will have to go through the process of a Substantial Amendment which will include a public hearing. He will be notified by e-mail when the document would be ready and when the public hearing will be held.

Rich also asked if there were still CHDO set asides. MJ responded that there are 15% set asides for CHDOs. Part of the 38% - 50% that goes to PHFA, is the CHDO set-aside, so PHFA works with them in developing their units. Mike Fisher asked if the CHDO's have increased. Holly Glauser, PHFA responded that no, they are working on doing some outreach and broaden capacity.

Ben Laudermilch, Cumberland County Redevelopment and Housing Authority, mentioned that ESG is problematic in part to ESG not being continuous funding each year. As a direct entitlement to HUD, he knows he gets an annual allocation and can plan on it but on the stateside he's not able to do that because the program is competitive. He mentioned it to keep it on DCED's radar as he has mentioned this in the past.

Diana Myers, DMA and Associates, added that she has experienced the same as Mike and Rich with targeting being a difficult barrier to overcome in some of the rural communities.



an association of not-for-profit senior services

1100 Bent Creek Boulevard
Mechanicsburg, PA 17050

717.763.5724 OFFICE
717.763.1057 FAX

www.leadingagepa.org

Sent Via E-Mail to: RA-DCEDcdbg&homequestions@pa.gov

April 12, 2016

Megan L. Snyder
Center for Compliance, Monitoring and Training
Department of Community and Economic Development
400 North Street
4th Floor, Commonwealth Keystone Building
Harrisburg, PA 17120-0225

Dear Ms. Snyder:

LeadingAge PA is a statewide association of not for profit providers of care and services for older adults. Our members include 200 nursing facilities, nearly 200 personal care homes (PCHs)/assisted living residences (ALRs), 88 sponsors of subsidized housing for the elderly and 189 Continuing Care Retirement Communities (CCRC's). Our members also provide home and community based services including 110 home care providers, 15 LIFE providers as well as adult day and hospice care providers.

LeadingAge PA appreciates the opportunity to provide comments on the 2016 Action Plan of the 2014-2018 Consolidated Action Plan. LeadingAge PA's vision of senior services includes the goal that financial sources and government regulations allow people of various financial means to access a choice of services facilitating their desired quality of life. Consumers should be able to access these services when they need them and, whenever possible, where they would like to receive them. For low-income seniors, affordable, accessible housing is often an essential element of the service package they need. Further, a combination of services is often necessary to help them maintain their tenancy.

Several of our members have built affordable housing as opportunities arose and now provide a significant number of affordable, accessible housing units for Pennsylvania seniors and have developed considerable expertise in developing and managing innovative housing programs using various funding sources. More importantly, since most of their tenants have very limited incomes, our members have expertise in helping seniors to manage chronic conditions and in finding and accessing the community resources available to help residents remain at home while improving their quality of life. These programs tend to be uniquely based on the expertise and interest available in the property and the surrounding community, as well as the resources available to provide needed supports.

In 2013, the U.S. Department of Housing and Urban Development (HUD) devoted an entire edition of its *Evidence Matters* publication https://www.huduser.gov/portal/periodicals/em/EM_Newsletter_fall_2013.pdf to the topic of aging in place. In the document, HUD discussed older persons' expressed preferences to age in place, the increasing number of seniors and the decreasing number of family members available to assist, typical limitations in income, disability status, and other factors that impede seniors from accessing needed housing and services, noting that "Despite the range of available programs and the considerable number of seniors they serve, HUD

Ms. April Leonhard

April 12, 2016

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assistance is insufficient to support all those in need. Only 35.6 percent of all renter households consisting of low-income seniors with no children receive federal rental assistance. These programs, which are unable to meet current demand, will be further pressed as the older population – and their need for services – grows.

LeadingAge PA members have focused primarily on developing multi-family rental units to meet the demand for senior housing in their communities, so our comments will focus on the development and preservation of affordable multi-family units. LeadingAge PA appreciates the goals as stated, especially the priority given to rehabilitation of existing multi-family units and to the development of new rental units and rental assistance, noting that these resources are especially important in assisting low-income seniors to remain and thrive in their communities. There is a significant need in the Commonwealth for affordable housing with services for seniors, which is expected to increase substantially as the number of seniors grows and is also expected to expand in response to the Commonwealth's Community HealthChoices managed long-term services and supports initiative, which is set to begin in 2017. LeadingAge PA encourages the department to allocate a significant portion of housing resources to assist in meeting the housing needs of seniors, in particular by preserving, building or providing rental assistance to make the units affordable to seniors. Many LeadingAge PA members are looking to expand their affordable housing offerings for low-income seniors and would appreciate the departments' consideration of these developments.

In addition, noting that supportive services are especially important in assisting low-income seniors who are striving to "age in place" in their community, we commend the department on its third goal of assisting individuals and families in obtaining the necessary public services to improve their quality of life and urge the Department to continue to work with the Department of Human Services in developing and coordinating programs that provide the housing and services needed by seniors. While LeadingAge PA appreciates the Commonwealth's interagency planning efforts to expand community-based housing opportunities for people with disabilities who are at risk of, or who are currently living in congregate residential settings., we urge the departments to recognize the consumer's current choice of living arrangement and assure that the expanded community-based housing opportunity may be an option in some cases but must not be required from the place the consumer has chosen. Further, it is an absolute necessity that the place where consumer lives must provide or coordinate both housing and services to assure their safety, security and quality of life.

Please know that LeadingAge PA would be most interested in discussing housing and service programs that have been successful in addressing the needs of low-income seniors and how such programs can be encouraged and supported. LeadingAge PA looks forward to working with the department as it continues to develop and implement the 2016 Action Plan and other ongoing planning activities and would be pleased to support the department in continuing to design successful programs that meet the housing and supportive services needs of seniors. If you have any questions about our comments, please contact me.

Sincerely,



Beth Greenberg
Director of Regulatory Affairs
beth@leadingagepa.org

Sent Via E-Mail to: RA-DCEDcdbg&homequestions@pa.gov

June 21, 2016

Megan L. Snyder
Center for Compliance, Monitoring and Training
Department of Community and Economic Development
400 North Street
4th Floor, Commonwealth Keystone Building
Harrisburg, PA 17120-0225

Dear Ms. Snyder:

LeadingAge PA is a statewide association of not for profit providers of care and services for older adults. Our members include 200 nursing facilities, nearly 200 personal care homes (PCHs)/assisted living residences (ALRs), 88 sponsors of subsidized housing for the elderly and 189 Continuing Care Retirement Communities (CCRC's). Our members also provide home and community based services including 110 home care providers, 15 LIFE providers as well as adult day and hospice care providers.

LeadingAge PA appreciates the opportunity to provide comments on the substantial amendment to the 2016 Action Plan and the 2014-2018 Consolidated Plan. LeadingAge PA's vision of senior services includes the goal that financial sources and government regulations allow people of various financial means to access a choice of services facilitating their desired quality of life. Consumers should be able to access these services when they need them and, whenever possible, where they would like to receive them. For low-income seniors, affordable, accessible rental housing is often an essential element of the service package they need. Further, a combination of services is often necessary to help them maintain their tenancy. LeadingAge PA is pleased to learn that the federal Housing Trust Fund monies have been allocated to the states and to learn that Pennsylvania has been awarded more than \$3.8 million from this source. LeadingAge PA supports the application of this funding toward the goal of affordable rental units for very low- and extremely low-income persons (30% below area median income). LeadingAge PA also appreciates that the funding will be used in conjunction with the Low Income Housing Tax Credit program which is a primary funding source used in Pennsylvania to develop affordable housing for seniors and other low-income residents, and has become very difficult to obtain due to high demand. In addition, we were pleased to see that the allocation of HOME funding has been increased slightly.

LeadingAge PA members that provide affordable, accessible housing units for Pennsylvania seniors have developed considerable expertise in developing and managing innovative housing programs using various funding sources. More importantly, since most of their residents have very limited incomes and complex health and social service needs, LeadingAge PA members have expertise in helping seniors to manage chronic conditions as well as finding and accessing community resources to help residents remain at home while improving their quality of life. These programs tend to be uniquely based on the expertise and resources available in the property and the surrounding community. One of the primary challenges of this approach is identifying sustainable, permanent ways to provide both the housing and services needed by low-income

Ms. Megan L. Snyder

June 21, 2016

Page 2

residents. LeadingAge PA supports the Commonwealth's efforts to provide additional services in the community, but notes that this cannot be accomplished without increasing the resources available to meet the growing need for affordable, accessible housing with the supportive services essential to the residents' well-being.

LeadingAge PA members also have significant expertise in operating personal care homes and assisted living residences which are community-based, but are more formally structured to provide a package of needed housing and services. LeadingAge PA encourages the Department of Community and Economic Development to explore funding that would make this important source of housing and services available to low- and very-low income seniors.

As noted earlier, there is a significant need in the Commonwealth for affordable rental housing with services for seniors, which is expected to increase substantially as the number of seniors grows and also in response to the Commonwealth's Community HealthChoices managed long-term services and supports initiative, which is set to begin in 2017. The Department of Human Services Housing Plan also indicates a significant need for affordable housing units to assist seniors and persons with disabilities who may be able to live in the community. LeadingAge PA continues to encourage the department to allocate a significant portion of housing resources to assist in meeting the housing needs of seniors, in particular by preserving, building or providing rental assistance to make the units affordable. Finally, while LeadingAge PA appreciates the Commonwealth's interagency planning efforts to expand community-based housing opportunities for people with disabilities who are at risk of, or who are currently living in congregate residential settings, we urge the departments to recognize the consumer's choice of living arrangement and assure that the expanded community-based housing opportunities may be an option but must not be required. Further, it is an absolute necessity that the place where seniors live must provide or coordinate both housing and services in a way that assures their safety, security and quality of life.

LeadingAge PA would be very interested in discussing housing and service programs that have been successful in addressing the needs of low-income seniors and how such programs can be encouraged and supported. LeadingAge PA looks forward to working with the Department as it continues to develop and implement the 2016 Action Plan and the 2014-18 Consolidated Plan and other ongoing planning activities. If you have any questions about our comments, please contact me.

Sincerely,

A handwritten signature in cursive script that reads "Beth Greenberg".

Beth Greenberg
Director of Regulatory Affairs
beth@leadingagepa.org

Pennsylvania Housing Trust Fund Allocation Plan

August 2016

As Administered by the Pennsylvania Housing Finance Agency

Commonwealth of Pennsylvania

Tom Wolf, Governor

Department of Community and Economic Development

Dennis M. Davin, Secretary

Pennsylvania Housing Finance Agency

Brian Hudson, Executive Director

Pennsylvania

**DEPARTMENT OF COMMUNITY AND
ECONOMIC DEVELOPMENT**

<http://dced.pa.gov>

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Pennsylvania National Housing Trust Fund Allocation Plan

I. GRANTEE INFORMATION

Commonwealth:

FY 2016 HTF Allocation Amount:

Pennsylvania

\$3,862,285

II. CONSOLIDATED PLAN REQUIREMENT

A. Citizen Participation Plan

The consolidated plan regulation at § 91.115 requires the Commonwealth to include HTF in its citizen participation plan. Essentially, before adopting a consolidated plan, the Commonwealth is required to adopt a citizen participation plan that describes the process for providing and encouraging citizens to participate in the development of the consolidated plan, the amendments to the consolidated plan and the performance report (CAPERS). For the purposes of HTF, the Commonwealth is required to make the following information available to the public:

- the amount of HTF assistance the Commonwealth expects to receive,
- the range of activities the Commonwealth may undertake, including the estimated amount that will benefit extremely low-income households, and
- the Commonwealth's plans to minimize displacement of persons and to assist any persons displaced.

Pennsylvania Bulletin Notice Published: May 22, 2016

Citizen Comment Period: May 23, 2016 to June 21, 2016

Public Hearing: June 9, 2016

B. Consolidated Plan Screen(s) Revised

The following screen(s) in the eCon Planning Suite consolidated plan template in IDIS have been revised to include HTF.

- ✓ **ES-05 / AP-05 Executive Summary:** § 91.320(b)- The Executive Summary includes seven narratives: (1) Introduction; (2) Summary of Objectives and Outcomes; (3) Evaluation of Past Performance; (4) Summary of the Citizen Participation and Consultation Process; (5) Summary of Public Comments; (6) Summary of Comments Not Accepted; (7) Summary.
- ✓ **PR-15 Citizen Participation:** § 91.115 and § 91.300(c)- revised this screen to provide a summary of the citizen participation efforts made for HTF, including efforts to broaden public participation, a summary of citizen comments or views on the plan, and a written explanation of comments not accepted and the reasons why these comments were not accepted.

III. STRATEGIC PLAN REQUIREMENTS

The Commonwealth has amended the affordable housing section of the strategic plan to include specific objectives that describe proposed accomplishments the Commonwealth hopes to achieve and has specified the number of extremely low-income families to which the Commonwealth will provide affordable housing to (homeownership- § 93.302; rental- § 93.304) over a specific period of time.

A. Strategic Plan Screen(s) Revised

In addition to updating the affordable housing section of the strategic plan, the following screens in the eCon Planning Suite consolidated plan template in IDIS have been revised to include HTF.

- ✓ **SP-10 Geographic Priorities:** § 91.315(a)(1) - revised this screen to discuss how investments are allocated geographically.
- ✓ **SP-25 Priority Needs:** § 91.315(a)(2) - revised this screen to indicate the general priorities for allocating investment of available resources among different needs.
- ✓ **SP-30 Influence of Market Conditions:** § 93.315(b) - revised this screen to describe how the characteristics of the housing market influenced the Commonwealth's decisions regarding allocation priorities among the types of housing assistance.
- ✓ **SP-35 Anticipated Resources:** § 91.315(a)(4); § 91.320(c)(1) and (2) - revised this screen to identify the federal, Commonwealth, local, and private resources expected to be available to the Commonwealth to address priority needs and specific objectives identified in the strategic plan.
- ✓ **SP-45 Goals:** § 91.315(a)(4) and § 91.315 (b)(2) - revised this screen to summarize the Commonwealth's priorities and the specific goals it intends to initiate and/or complete within the term of the strategic plan.

VI. ANNUAL ACTION PLAN REQUIREMENTS

The Commonwealth has included HTF in its annual action plan and has amended the original submission to include HTF information as required in § 93.320(k)(5). The action plan includes an HTF allocation plan that describes the distribution of HTF funds, and establishes the application requirements and selection criteria of applications submitted by eligible recipients that meet the Commonwealth's priority housing needs.

A. Annual Action Plan Screen(s) Revised

The following screens in the eCon Planning Suite consolidated plan template in IDIS must be revised to include HTF.

- ✓ **AP-15 Expected Resources:** § 91.320(c)(1) and (2) - this screen has been revised to provide a concise summary of the federal resources expected to be available.
- ✓ **AP-20 Annual Goals and Objectives:** § 91.320(c)(3) and (e)- this screen has been revised to

summarize the specific goals the Commonwealth intends to initiate and/or complete within the term of the program year.

- ✓ **AP-25 Allocation Priorities:** § 91.320(d)- this screen has been revised to describe the reasons for the Commonwealth’s allocation priorities and how the proposed distribution of funds will address the priority needs and goals of the strategic plan.
- ✓ **AP-30 Method of Distribution:** § 91.320(d) and (k5)- this screen has been revised to include a description of its method(s) for distribution for the “Other - Housing Trust Fund”.
- ✓ **AP-50 Geographic Distribution:** § 91.320(f)- this screen has been revised to describe the geographic areas of the Commonwealth in which it will direct assistance during the ensuing program year and provide rationale for its priorities in allocating investment geographically.
- ✓ **AP-55 Affordable Housing:** § 91.320(g)- this screen has been revised to specify goals for the number of homeless, non-homeless, and special needs households to be provided affordable housing within the program year.
- ✓ **AP-65 Homeless and Other Special Needs Activities:** § 91.320(h)- this screen has been revised to describe how HTF will help to address the Commonwealth’s one-year goals and actions for reducing and ending homelessness, if applicable.
- ✓ **AP-75 Barriers to Affordable Housing:** § 91.320(i)- this screen has been revised to describe how HTF will help with any actions the Commonwealth’s will take during the next year to reduce barriers to affordable housing, if applicable.
- ✓ **AP-85 Other Actions:** § 91.320(j)- this screen has been revised to describe how HTF will help with any actions the Commonwealth will take during the next year to carry out the following strategies outlined in the consolidated plan:
 - Foster and maintain affordable housing;
 - Evaluate and reduce lead-based paint hazards;
 - Reduce the number of poverty-level families;
 - Develop institutional structure; and
 - Enhance coordination.

In addition, the Commonwealth must identify obstacles to meeting underserved needs and propose actions to overcome those obstacles using HTF funds, if applicable.

B. HTF Funding Priorities – § 91.320 (k)(5)(i)

The Commonwealth is responsible for distributing HTF funds throughout the Commonwealth according to its housing priority needs. In addition to revising the **AP- 30 Method of Distribution** screen in IDIS, the Commonwealth must respond to the following questions:

1. *Will the Commonwealth distribute HTF funds through grants to sub-grantees? If yes, describe the method for distributing HTF funds through grants to sub-grantees and how the Commonwealth will make those funds available to units of general local governments. If no, state N/A.*

N/A, through the Pennsylvania Affordable Housing Act of 1992, the Commonwealth of Pennsylvania has identified the Pennsylvania Housing Finance Agency, as its administrator for the NHTF. PHFA will not fund sub-grantees.

2. *Will the Commonwealth distribute HTF funds by selecting applications submitted by eligible recipients? If yes, describe the eligibility requirements for applicants as defined in § 93.2- definition of recipient. If no, state N/A.*

Yes, PHFA has identified its priority housing needs and has developed the Tax Credit Allocation Plan, made part of this plan, to specifically address those needs. Preferences will be given to projects which best meet the Tax Credit Allocation Plan. Additionally, developments must meet the site and neighborhood standards set forth 24 CFR 93.150.

Applicants must meet the Tax Credit Allocation Plan, PHARE and all requirements set forth in 24 CFR 93.2 to be eligible for funding under the Allocation Plan. Developments must also meet the property standards set forth in the Tax Credit Allocation Plan and in 24 CFR 93.301.

Qualified developments must be affordable to tenants whose incomes do not exceed 30% of the federal poverty line or 30% of the income of a family whose annual income equals 30% of the median area income for the area, as determined by HUD with adjustment for bedroom size.

Selected developments must follow tenant protection and selection procedures set forth in 24 CFR 93.303.

3. *Will the Commonwealth distribute HTF funds by selecting application submitted by eligible recipients? If yes, describe all the criteria that will be used to select applications and the relative importance of these criteria. At a minimum, as required in § 91.320(k)(5)(i), the selection criteria must include:*

- *Priority based upon geographic diversity*
- *Applicant's ability to obligate HTF funds*
- *Applicant's ability to undertake eligible activities in a timely manner*
- *For rental housing, the extent to which the project has Federal, Commonwealth or local*

project-based rental assistance so rents are affordable to extremely low- income families

- *For rental housing, the duration of the units' affordability period*
- *The merits of the application in meeting the Commonwealth's priority housing needs (please describe)*
- *The extent to which application makes use of non-federal funding sources*
- *Other (please describe). Please attach response if you need additional space.*

PHFA will prioritize funding based on geographic distribution, applicant capacity, inclusion of project-based rental assistance in the financing plan, leveraging of non-federal resources, serving lower income and special needs populations, proximity to transit, readiness to proceed, energy efficiency, affirmatively furthering fair housing and sustainability of the development.

- a) PHFA will select applicants submitted by eligible recipients as set forth in the Tax Credit Allocation Plan, made part of this plan and 24 CFR 93.2.
- b) All developments will be evaluated based on the commitment of project based rental housing assistance as part of the overall funding. Projects will be evaluated for committed resources in the form of internal rent subsidy funding to support developments housing extremely low income tenants and other programs designed to provide direct assistance to targeted income eligible households.
- c) All projects will be reviewed to determine their ability to proceed. This review includes environmental clearances, local zoning process review, identification and commitment of all necessary financing to support the development budget, corporate authorization and formal action by governmental authorities. PHFA will determine ability to proceed and will prioritize funding for applicants who demonstrate commitments and financial feasibility and a timeframe consistent with timely completion of the development and meet HTF commitment and expenditure deadlines.
- d) Projects supported with HTF funds will be required to enter into restrictive covenant agreements pledging to maintain the units assisted in the program for a 30 year period. This restrictive covenant agreement will be recorded in the real estate records of the county where the property is located. PHFA will monitor the projects for compliance through the affordability period.

C. Recipient Application Requirements - § 91.320(k)(5)(9)(ii)

1. Will the Commonwealth require that all recipient applications contain a description of the eligible activities to be conducted with HTF funds as required in § 93.200- Eligible activities?

Yes

No

2. Will the Commonwealth require that each eligible recipient certify that housing assisted with HTF funds will comply with HTF requirements?

Yes No

D. Performance Goals and Benchmarks- § 91.320(k)(5)(iii)

The plan must include performance goals and benchmarks against which the Commonwealth will measure its progress, consistent with the Commonwealth's goals established at § 91.315(b)(2).

V. OTHER REQUIREMENTS

A. Maximum Per-unit Development Subsidy Amount - § 91.320(k)(5) and § 93.300(a)

PHFA has established its own maximum limitations on the total amount of HTF funds that can be invested per-unit for development of non-luxury housing. These are based on PHFA's Tax Credit Allocation Plan, which is Appendix A. Indicated below are the maximum per-unit development subsidy limits PHFA will use for its FY 2016 HTF program.

The Tax Credit Allocation Plan sets forth certain limitations on cost of developments receiving PHFA resources. Furthermore, PHFA has evaluated current costs of affordable housing units and local market conditions throughout the Commonwealth and the maximum per unit development award is aligned with Pennsylvania's HOME program limits and are based on unit type:

0 BR	1BR	2BR	3BR	4BR
\$140,107	\$160,615	\$195,305	\$252,662	\$277,344

In 2016, PHFA anticipates providing HTF funds to approximately four developments or assisting 25 rental housing units among several properties throughout the Commonwealth based upon applications received and availability of resources.

B. Rehabilitation Standards - § 91.320(k)(5)(iv) and § 93.301(b)

PHFA has established rehabilitation standards that all HTF-assisted housing undergoing rehabilitation must meet at the time of project completion in accordance with § 93.301(b). The standards provide enough detail on what work is required, how that work should be performed and what materials should be used. Please refer to Appendix B - PHFA Policy and Procedures for the rehabilitation standards.

C. Resale and/or Recapture Provisions - § 91.320(k)(5)(v) and § 93.304(f)

If the Commonwealth intends to use HTF funds to assist first-time homebuyers, it must set forth the

guidelines for resale or recapture and obtain HUD specific, written approval, as required in § 93.304(f).

- ✓ **The Commonwealth will not use HTF funds to assist first-time homebuyers.**

D. HTF Affordable Homeownership Limits - §91.320(k)(5)(vi) and §93.305

HTF funds may only be invested for the provision of modest housing for homeownership. This means the housing has a purchase price for the type of single family housing that does not exceed 95 percent of the median purchase price for the area for newly constructed or standard housing. If the Commonwealth plans to use HTF funds for homebuyer assistance, and does not use the HTF affordable homeownership limits established by HUD, it must determine 95 percent of the median purchase price for single family housing for designated areas across the Commonwealth.

- ✓ **The Commonwealth will not use HTF funds for homeownership housing.**

E. Commonwealth Limited Beneficiaries or Preferences - § 91.320(k)(5)(vii)

The Commonwealth may limit the beneficiaries or give preferences to a particular segment of the extremely low-income population only if described in the action plan. Any limitation or preference must not violate non-discrimination requirements at § 93.350 and the Commonwealth must not limit or give preferences to students. The Commonwealth may also allow rental housing owners to limit tenants or give a preference in accordance with § 93.303(d)(3), only if such limitation or preference is described in the action plan.

- ✓ **The Commonwealth will not limit beneficiaries and/or give preferences to any segments of the extremely low-income population.**

F. Refinancing of Existing Debt - § 91.320(k)(5)(viii) and § 93.201(b)

If the Commonwealth will use HTF funds for refinancing of existing debt, it must establish refinancing guidelines and include them in its consolidated plan. The Commonwealth's refinancing guidelines must describe the conditions under which it will refinance existing debt. At a minimum, the guidelines must demonstrate that rehabilitation is the primary eligible activity and ensure that this requirement is met by establishing a minimum level of rehabilitation per unit or a required ratio between rehabilitation and refinancing. Refinancing of existing debt is only eligible if it is necessary to reduce the overall housing costs and to make the housing more affordable.

- ✓ **The Commonwealth will not permit the refinancing of existing debt.**

VI. GRANTEE CERTIFICATIONS

In addition to submitting an HTF allocation plan, the Commonwealth must submit all the required certifications identified at § 91.225 (for new action plans). If the Commonwealth is amending the action plan to include HTF, it must resubmit the following certification to include HTF:

- ✓ Consistency with plan-

VII. REQUIRED FORMS

In addition to submitting an HTF allocation plan, the Commonwealth must submit and/or complete the following standard forms for its HTF program.

- ✓ Standard form- 424: [Application for Federal Assistance](#) (§ 91.320(a))
- ✓ Standard form- 1199 A : [Direct Deposit Sign up Form](#) - Will be submitted by PHFA directly to HUD as directed in HUD Exchange Notice.

VIII. APPENDICES

A. PHFA TAX CREDIT ALLOCATION PLAN

B. REHABILITATION STANDARDS FOR TAX CREDIT/HTF PROJECTS

Approved by Board – October 8, 2015

**PENNSYLVANIA HOUSING FINANCE AGENCY
ALLOCATION PLAN FOR YEAR 2016
LOW INCOME HOUSING TAX CREDIT PROGRAM**

PROCESSING OVERVIEW AND PROCEDURES FOR 2016

The Pennsylvania Housing Finance Agency (the "Agency") administers the Federal Low Income Housing Tax Credit Program ("Tax Credit Program") in the Commonwealth of Pennsylvania. Pursuant to federal law governing the Tax Credit Program, each year, the Agency adopts a plan (the "Allocation Plan") outlining the allocation priorities and procedures to be followed in distributing Federal Low Income Housing Tax Credits ("Tax Credits") based on the housing needs of the Commonwealth. Adoption of the Allocation Plan requires approval by the Governor after a public hearing.

The Agency intends to review the Applications for Tax Credits ("Applications") it receives and to select among the Applicants based on the selection ranking criteria, with **priority given to projects which fill an object need or which best demonstrate an ability to move forward**. The Selection Criteria has been amended to reflect specific needs and market conditions which may differ based on type of property, targeted populations and housing needs.

The Agency may issue supplemental policy and guideline announcements affecting this Allocation Plan. Please refer to the Agency's website at *www.phfa.org*.

SUBMISSION REQUIREMENTS

All information submitted by the Applicant or requested by the Agency in the review of the Application is the sole property of the Agency and may be made public. The Agency's processing procedures, fee schedules and limitations, and current rent and income limits are set forth in the Agency's 2016 Multifamily Housing Application Package and 2016 Multifamily Housing Program Guidelines (the "2016 Guidelines"), which will be available on the Agency's website at *www.phfa.org*, and may be amended from time to time. It is the Applicant's responsibility to be familiar and compliant with all Tax Credit Program requirements, the regulations, and the Internal Revenue Code (the "Code"), in effect both now and in the future, as applicable to any Application in this Program.

For a development to be considered for a reservation of Tax Credits, the entire Application package, including all exhibits, must be received by the Agency no later than **3:00 p.m. on March 4, 2016 (or such other deadline as may be established by the Agency on its website)**. Applications not received by the closing date of the submission cycle will not be considered (except that the Agency may provide supplemental allocations to qualified projects at any time). **In advance of submitting the entire Application package on March 4, 2016, Applicants must submit an Intent to Submit a Tax Credit Application - Fact Sheet (see 2016 Guidelines for form) and Development Synopsis on or before January 8, 2016.** This submission is a mandatory requirement for the 2016 Tax Credit Program. The Agency will evaluate the Applications based upon the requirements set forth herein and may request additional information from Applicants at any time during the processing of an Application in its discretion. Applications for additional Tax Credits will be accepted at any time awarded on a first-come, first-served basis to feasible Applications until the Additional Tax Credit Set-Aside is depleted.

The entity(ies) identified as an Applicant(s) in the Application must have a general partner interest in the final ownership entity of the development. The Applicant(s) must be actively involved in both the development and ongoing control and management of the development as evidenced in the partnership agreement governing

the ownership entity for the development Applications. Sale, transfer or assignment of an Applicant's interest in the proposed Tax Credit development is prohibited while the Application is pending. For 2016, the Agency may impose a limit of no more than six (6) total per year per entity serving as a general partner, either solely or as a co-general partner, or four (4) Applications per Pool (as further described herein) excluding Applications for Additional Tax Credits. Depending on application volume, the Agency may limit the number or size of awards per developer. Furthermore, the Agency may require an Applicant to submit in a subsequent year any proposed development which is part of a previously approved multiple phase project that has not yet proceeded to a closing. After reservation of Tax Credits, any such transfers, sales and assignments prior to placement in service and issuance of an IRS Form 8609 require prior written approval by Agency staff and may require submission of a new Application, additional processing fees and/or may result in recapture of Tax Credits by the Agency.

The Application package submitted for review must include all of the information in the order set forth in the Application Checklist. **Any material deficiency in the Application or omission from the mandatory submissions set forth in the Application Checklist may result in immediate rejection.** In addition, the Application must meet program eligibility requirements set forth in the Code. Applications and required exhibits may not be submitted via fax or email to the Agency. Any Application which does not contain sufficient information to be reviewed will be returned. The Agency reserves the right to reject or return any Application at any time during the Application processing period.

Any Application, once received by the Agency, may not be altered, amended or modified except as approved by staff during underwriting and program review or except for developments participating in an Agency financing program, which may undergo subsequent substitute processing and ranking by the Agency. Applications will be ranked based only upon the information contained in the Application package. Agency staff will review the development's construction costs, fees, sources of funds, operating income and expenses to determine the development's financial feasibility and long term viability. The Agency may review local and/or state analysis of impediments to fair housing prepared in connection with federal funding programs and **may prioritize Applications which evidence opportunities to affirmatively further fair housing.** Applications that meet all threshold requirements, need and marketability and are financially feasible and viable will then be ranked according to the Selection Criteria. Applications that do not meet threshold requirements, are financially infeasible, do not demonstrate long term viability, or which exceed the maximum number of Applications per Applicant may be returned at any time. The Agency also reserves the right, in its sole discretion, to reject any Application in the event that the costs or fees associated with the proposed development are deemed to be excessive or unreasonable. Additionally, the Agency may discontinue processing any Application if the Agency determines in its sole discretion that the development will not be able to receive a reservation of Tax Credits due to the oversubscription of Tax Credits in any Set-Aside, Pool or Preference.

Upon review of the Application, Agency staff may, but is under no obligation to, advise the Applicant of incongruities, discrepancies or incomplete items and may allow the Applicant to clarify or supplement the original submission. Such requests will be made in writing to the Applicant and response will be required within the timeframe set forth therein, which will generally be no later than five business days from notification by staff. Applicants are urged to review their original Applications carefully prior to submission to the Agency. Corrections allowed during the staff review process will neither include replacement, substitution or amendment of material items used by staff in the ranking of an Application nor remedy the scoring of an Application as an incomplete submission. See the 2016 Guidelines for additional guidance and information about processing Applications.

Notwithstanding the above, Agency staff may take any actions deemed necessary by the Agency to process Applications and administer this program, which may include modifying and adjusting any allocation as it deems necessary to promote housing goals including its goal of creating and enhancing housing choices in areas of opportunity (maximizing leveraging of available program resources, and encouraging geographic distribution), and to respond to specific market needs and/or program objectives.

Furthermore, Agency staff is specifically instructed and authorized to make *de minimis* adjustment to any Application in processing, at any time as deemed appropriate and necessary, to carry out the housing goals of the Agency. (For these purposes, *de minimis* means an adjustment of approximately 5% of the conditional reservation or allocation.)

APPLICATION ELIGIBILITY CRITERIA

In order to be considered for a conditional reservation of Tax Credits, all Applicants must submit an Application. The Agency will not accept or process requests for Tax Credits without the submission of an Application, and will only process Applications meeting all of the following eligibility criteria. Failure to meet any of these eligibility criteria may result in rejection of the Application.

1. Agency staff will review the Tax Credit Program compliance history and performance of the Applicant (or any related entity or material participant) and the management agent of the proposed development. The Applicant must certify that it is in compliance with all Tax Credit Program requirements for each Tax Credit development in which it has a material ownership interest. If the Applicant (or any related entity) or management agent of the proposed development is currently involved in a Tax Credit development that has been reported to the Internal Revenue Service ("IRS") as being out of compliance with any Agency program requirement (or has an outstanding Restrictive Covenant Agreement violation) and said noncompliance has not been brought back into compliance prior to the submission of the Application, the Application may be rejected at any time prior to reservation of Tax Credits. In the alternative (or in addition, as determined by the Agency), attendance and satisfactory completion of an Agency-approved course in the compliance requirements of the Tax Credit Program may be required. The Agency will determine whether a compliance issue is of a material or nonmaterial nature and whether it is of a recurring nature based on the facts and circumstances. Note that while any material compliance issue may result in rejection of an Application, nonmaterial noncompliance issues may result in the adjustment of points during the ranking process. The Agency may reject any Application from an Applicant who fails to submit and maintain timely unit and project information on the Agency's interactive database ("PA Housing Search").
2. If the Applicant (or any related entity or material participant) is involved or has been involved in an Agency funded development that is delinquent in payments to the Agency or has materially defaulted on any of its obligations to the Agency or has misrepresented any material information on a previous application, the Agency may reject the Application.
3. Applications may be returned if the Applicant (or any related entity or material participant) has failed to meet any established program deadline date which resulted in loss or recapture of Tax Credits or potential loss of other financial assistance or funding resources.
4. Applicants (or any related entities or material participants) who have unpaid fees due to the Agency or with outstanding state tax liability may be ineligible to participate in the Tax Credit Program.
5. Developments that have resulted from or will result in the permanent displacement of low income residents will be ineligible for Tax Credit Program participation unless the Applicant provides evidence satisfactory to the Agency that an appropriate relocation plan has been developed. Furthermore, to the greatest extent feasible, all existing low income residents must be offered their choice to either be temporarily relocated until such time, upon completion of the development, as they are able to return to an appropriately sized affordable unit in the development, or receive relocation benefits. Applicants are required to document the efficacy of notice given to residents to the satisfaction of the Agency.
6. Applications for Acquisition Tax Credits will not be accepted for any existing occupied Tax Credit development during its initial compliance period unless the initial compliance period will have expired prior to the end of 2016 and the property meets all other Acquisition Tax Credit rules.

7. Applicant must provide evidence satisfactory to the Agency of its financial and organizational capacity to ensure the completion of the development in accordance with the requirements of the Code. The Agency will consider the total cost and number of projects owned or managed by the Applicant in making this determination. Additionally, the Agency reserves the right to review supporting documentation, including annual audited financial statements, to evaluate the Applicant's financial capacity.
8. Applications for 2016 Tax Credits must demonstrate a commitment to serve low income residents for a period of not less than 30 years or, in the alternative, offer homeownership opportunities to qualified residents after the initial 15 year compliance period. For the commitment to serve low income residents for a period of not less than 30 years, Applicant will certify this commitment in the Application and the Restrictive Covenant Agreement will contain a provision waiving any right to petition the Agency to terminate the extended use term (as described in the Code). If the alternative of homeownership opportunities is selected, proposals must present a financially viable homeownership program for residents who inhabit the units during the compliance period. The program must incorporate an exit strategy, homeownership counseling and a minimum amount of funds (not less than \$1,000 per unit) set aside by the developer to assist the residents with the purchase. This amount may not be included in the project budget. The only types of units eligible for consideration are townhouse and single family attached and detached structures. The Agency may approve other unit types conducive for these purposes if structured as cooperative or condominium ownership. The Applicant will certify this commitment in the Application and the Restrictive Covenant Agreement will contain provisions ensuring enforcement of the related covenants by affected qualified residents. Should the units not be converted to homeownership, the Restrictive Covenant Agreement will contain a provision waiving any right to petition the Agency to terminate the extended use term for all units remaining as rental units. A certification from the design architect verifying the units are townhouse or single family attached or detached structures (or otherwise appropriate for homeownership by tenants as determined by the Agency) will be required as part of the Application.
9. The development team must have sufficient experience, as determined in the sole discretion of the Agency, to effectively own, design, construct, manage and operate a Tax Credit development. The development team members include the Applicant, architect, general contractor, attorney, and the management agent. As appropriate, the experience of a housing consultant (including their ability to secure equity investment) or a housing management consultant may be considered in lieu of the Applicant or management agent, respectively.

In addition to the above threshold eligibility criteria, the Agency reserves the right to take any action it deems appropriate if the Applicant (or any related entity), proposed management agent, or other material participant has been found to be in violation of fair housing, housing accessibility or nondiscrimination laws or has been found to discriminate against Section 8 voucher and certificate holders or recipients of any state or local tenant or project based rental assistance, and such violation or discriminatory actions have not been remedied to the satisfaction of the governmental agency or entity with jurisdiction. The Agency specifically reserves the right to take any appropriate action and to deny any future Tax Credit Application from any Applicant (or related entity) who evicts or terminates the tenancy of low income residents, except for good cause, throughout the entire project compliance period (including the extended use period) applicable to any existing Tax Credit development. Such action may include rejection of the Application, termination of processing, recapture of Tax Credits (if an IRS Form 8609 has not been issued) or, if applicable, issuance of an IRS Form 8823 or notification to the appropriate governmental authorities. As evidence of such finding of violation, the Agency may rely upon its own investigations or may rely upon any order of a court with jurisdiction or upon notice of such a finding from any federal or state agency with investigative or regulatory jurisdiction regarding the subject matter, such as the Internal Revenue Service, U.S. Department of Justice, U.S. Department of Treasury, U.S. Department of Housing and Urban Development, Pennsylvania Human Relations Commission or Pennsylvania Office of Attorney General or may make a determination based upon the failure to report or affirmatively disclose information to the Agency.

“Material participant” for purpose of this section includes any entity who by written agreement may significantly affect, in the opinion of the Agency, the development or operation of the property. Such written agreement may include ground leases, operating subsidies, partnership agreements, management contracts or operating regulatory agreements.

10. Applications must demonstrate that the housing needs of local public housing waiting lists have been met. Applicants may meet this requirement by providing either: (1) a current letter from the local public housing authority stating how the development is specifically meeting the housing needs of residents on the public housing waiting list; (2) a copy of the comprehensive plan outlining the current local public housing authority waiting list and evidence that the development will meet such resident needs; or (3) evidence of receipt of mailing to the local public housing authority prior to the date of the Tax Credit Application a letter which evidences the commitment of the developer to work cooperatively to meet the needs of persons on the local public housing waiting list.
11. Applications must include evidence, satisfactory to the Agency, that an equity investor has been secured for the development at a market pay-in value.

SET-ASIDES, POOLS AND PREFERENCES

In Year 2016, the Agency will provide Tax Credits through several Set-Asides, Pools and Preferences. An outline of these Set-Asides is provided below. Should additional Tax Credits become available for whatever reason at any time in 2016, the Agency will not issue an amendment to this Allocation Plan but will instead make allocations of such additional Tax Credits based upon priorities and preferences set forth in this Allocation Plan as it deems appropriate. The amounts available in each Set-Aside may be adjusted by the Agency to ensure adequate and appropriate funding of the Applicants meeting the Program criteria.

Set-Aside Percentages

<u>Set-Asides</u>	<u>Percentage of Tax Credits to be Allocated</u>
Geographic Set-Aside	
Urban Pool*	47.50%
Suburban/Rural Pool	47.50%
Additional Tax Credits	5.00%
Total	100.00%

* See “Exhibit Urban Areas” for complete list of the applicable municipalities. Fifty percent (50%) of this amount will initially be set aside to fund developments located in municipalities other than Philadelphia.

The Agency has established preferences for certain types of developments in each Pool which include general occupancy, senior occupancy (ages 62 and over), properties furthering the preservation of affordable housing, applications for supportive housing, community revitalization developments, areas of opportunity and Strategic Investment developments (as more fully described herein). **The Agency may also provide a preference to developments using Commonwealth-sponsored pilot programs, developments providing employment opportunities for property or community residents, developments or Applicants evidencing meaningful participation in Section 811 program or meeting specific market needs or Agency housing goals.**

Preferences for certain types of housing have been established as minimum goals by the Agency in meeting certain housing needs of the Commonwealth. Applicants may be considered in more than one category and will have been deemed to have met both for purposes of meeting the stated housing goals. Due to the limited amount of 2016 Tax Credits which may be available, these minimum goals may be adjusted or modified

accordingly. Applicants meeting more than one of these categories may be advantaged during the ranking/scoring process.

1. General Occupancy - The Agency will reserve Tax Credits to, at a minimum, three (3) general occupancy properties in each Pool.
2. Senior Occupancy 62+ with Services - The Agency will reserve Tax Credits to, at a minimum, two (2) senior occupancy developments targeting persons 62 years of age and above in each Pool. Eligibility for this preference will require demonstration that services will be provided to residents to enable them to continue to live independently.
3. Preservation Developments – The Agency will reserve Tax Credits to, at a minimum, three (3) preservation properties in each Pool. To be considered eligible for this preference, existing affordable properties should demonstrate that Tax Credits are necessary to extend the long term affordability and habitability of the development or that there is a likelihood of conversion to market rate housing (which must be supported by a current market study in a form and substance acceptable to the Agency). The Agency will conduct a comprehensive site visit on all preservation properties and will review the capital needs assessment, occupancy and financial reports and supplemental information to identify those properties which demonstrate the greatest need of preservation.
4. Supportive Housing – The Agency will reserve Tax Credits to, at a minimum, two (2) developments in each Pool which promote supportive housing opportunities to targeted populations including persons who are homeless; non-homeless households that require supportive services including those with mental, physical, sensory, or developmental disabilities; persons with substance abuse disorders; persons diagnosed with HIV/AIDs and related diseases; and other special populations approved by the Agency on a case-by-case basis (which may include consideration for the specialized needs associated with affordable housing for veteran households). Designated units must be rented only to the target population (subject to fair housing laws). The Agency may determine to fund only one Supportive Housing development from this preference each pool if the Application has a very high score and the amount of tax credits requested exceeds \$1,200,000. Eligible Applicants may include those which would be eligible to participate in the HUD Section 811 Demonstration Program.
5. Innovation in Design - The Agency will hold a juried competition encouraging demonstrated innovation in housing which could be illustrated through excellence in design, implementation of current and future energy efficient technologies and materials and leveraging community and capital resources and will reserve Tax Credits to the winning development(s). See Checklist in 2016 Guidelines for materials needed to participate in the competition. The selected Applicant will work with the Agency to establish, document and employ the best practices for future housing policies and standards.
6. Strategic Investment – The Agency will reserve Tax Credits to, at a minimum, three (3) Applicants in each Pool which the Agency determines support specific housing economic opportunities (such as areas of housing shortage due to Marcellus Shale, urgent community needs or other unusual economic development pressures) or the overall housing goals of the Commonwealth, as determined by the Agency.

The Agency, in its discretion, may consider any Application for Strategic Investment. The Agency may consider regional distribution, scale of community impact, extraordinary market and population needs, unique funding and leveraging opportunities, (such as HUD's Choice Neighborhoods Initiative), disaster recovery response and competitive rankings of Applications, in making Strategic Investment awards including how the development maximizes the inclusion of affordable accessible units in its design.

7. Community Revitalization/Mixed Income (**Urban Pool only**) –The Agency will reserve Tax Credits to, at a minimum, three (3) developments which support a broader community revitalization program which has the capability of changing fundamentally the character of a neighborhood, enhancing the lives and amenities available to residents of the community, are focused on implementing a "mixed income" strategy,

and/or which seeks to counteract the pattern through which some metropolitan areas are being segregated by income or race.

The Agency will look at how, in measurable terms, the following aspects are associated with the comprehensive revitalization program of which the development is a part:

- Supports the construction and rehabilitation of housing to meet the needs of households of all income types, including the very low income
 - If the development proposes to offer rents at or close to the Tax Credit program maximum (i) the availability of housing choice vouchers to make some of its units affordable to the area's lowest income households and/or (ii) the projected existence elsewhere in the neighborhood of development(s) that can be expected to provide such affordability
 - Access to public transportation
 - Access to public parks and open space
 - Access to community serving enterprises
 - Encourages the reuse and rehabilitation of existing infrastructures
 - Coordination of proposed site amenities that enhance the overall neighborhood
 - Coordination with an overall community revitalization effort
 - Of sufficient size and scope to have a significant and lasting positive impact on the community (including increasing or stabilizing tax base)
 - Expands quality of life and fulfills a need for health care choices and other crucial service opportunities for residents of the community
 - Municipal support articulated in a publicly approved community plan or in the form of significant funding commitments
 - Presence of supporting local neighborhood initiatives
 - Consistent with the local community's plan to affirmatively further fair housing.
8. Areas of Opportunity (**Suburban/Rural Pool only**) - The Agency will reserve Tax Credits to, at a minimum, three (3) developments which expand housing opportunities and design choices in areas suitable for long-term economic growth with an existing or planned infrastructure to support future growth in the area, in order to promote mixed-use and/or mixed-income development within a community setting. These developments will be located in areas of strong schools and employment opportunities and in communities which may have not received representative resources in the past.

Nonprofit Set-Aside

The Agency will continue to encourage development by nonprofits which have demonstrated commitment to improving the living environment, public health, or safety of local populations in Tax Credit developments and will target a minimum of twenty-five percent (25%) of the state per capita allocation amount towards developments involving qualified nonprofit organizations (the "Nonprofit Set-Aside"). To be eligible, all nonprofits must meet the following requirements:

A nonprofit organization will qualify for consideration under the Nonprofit Set-Aside if it is described in paragraphs (3) or (4) of Section 501(c) of the Code, is exempt from tax under Section 501(a) and will materially participate in the Tax Credit development throughout the compliance period. In addition, the nonprofit organization must have the fostering of low income housing as one of its exempt purposes. The nonprofit organization must own (directly or through a partnership) at least a 51% interest in the general partner of the partnership entity in accordance with current laws and IRS regulations throughout the development's compliance period. The nonprofit organization may neither be an affiliate of, nor controlled by, a for profit organization. An opinion of counsel addressing the status of the nonprofit organization and qualification for the Nonprofit Set-Aside may be required.

Priority may be given to nonprofits which have a substantial base of operations within the county or municipality of the proposed development. To show a substantial base of operations, the nonprofit must demonstrate that it has provided quality charitable services to persons in the county or municipality without substantial interruption for at least the last two years, or performed other such activities which demonstrate, to the satisfaction of the Agency, that the organization will further the living environment, public health, or safety of persons in the proposed development. The Agency may require certification of IRS Form 990 filings and evidence of good standing with all nonprofit IRS filing requirements.

Requests for Additional Tax Credits Set-Aside

A Set-Aside of Tax Credits equal to five percent (5%) of the state per capita allocation will target developments that have received an initial reservation of Tax Credits in a prior year and are seeking additional Tax Credits in 2016. Developments that must be placed in service in 2016 will receive preference for the Additional Tax Credits Set-Aside. This Set-Aside is only available for developments which have closed on their equity investment or can demonstrate the capacity to secure an equity investment, satisfactory to the Agency, and qualified Applicants must neither have changed any selection criteria nor made any significant modifications, as determined by the Agency, from the initial Application. Applications will not be accepted for additional Tax Credits due solely to an increase in Maximum Basis Limits.

Such requests may not exceed the lesser of 5% of the initial Tax Credit reservation amount or \$60,000 and shall be made on a first come, first served basis based on availability through September 30, 2016.

Applicants may only request Additional Tax Credits two times subsequent to the initial reservation. Once the Additional Tax Credits Set-Aside is exhausted, the Agency may, in its discretion, reallocate Tax Credits from other set asides in an amount as determined by the Agency to developments which must be placed in service in 2016. All Applicants for Additional Tax Credits should refer to the Checklist of Exhibits in the 2016 Guidelines for resubmission requirements and processing instructions. Applications for Additional Tax Credits will be considered by the Agency upon submission of the Additional Tax Credit Application.

SELECTION OF APPLICATIONS

The Agency will strive to reserve Tax Credits in a manner which results in a geographic distribution statewide. Applications for Tax Credits will be evaluated and ranked based on the Selection Criteria. It is the Agency's intent to follow the preferences established for targeting resources and will award Tax Credits to the highest scoring Applications meeting the stated preferences. Provided Tax Credits are available after the Agency determines that the preferences have been met, the Agency will award Tax Credits to the next highest ranking Application. In the event the Agency determines that an Application has been delayed or faces substantial cost burdens due to some good cause beyond the control and dominion of the Applicant, especially in the event there is a NIMBY or legal challenge to siting of an otherwise viable project, the Agency may provide a preference to fund the Applicant for an alternative viable project which meets similar goals and housing targets in an alternative location (which meets at least a minimum score under the Allocation Plan). The Agency recognizes that lower ranking Applications may be awarded Tax Credits in order to meet the stated preferences, however, the Agency has determined that in order to receive an award of Tax Credits, an Application must meet a minimum point threshold of 85 points.

ADDITIONAL RESOURCES, SUBSEQUENT EVENTS AND SUPPLEMENTAL INFORMATION

The amounts available in each Set-Aside, Pool or Preference may be adjusted by the Agency at any time to ensure adequate and appropriate funding of the Applications meeting the Agency's goals and Program criteria. Should additional Tax Credits or additional resources become available for whatever reason at any time in 2016, especially federal or State funding program opportunities for a specific population such as veterans, emergency response, persons with special needs or persons with disabilities or unique land bank financing opportunities, the Agency will not issue an amendment to this Allocation Plan but will instead make allocations

of such additional Tax Credits or resources based upon priorities and preferences set forth in this Allocation Plan as it deems appropriate.

In the event there are changes in federal law subsequent to the adoption of this Allocation Plan or additional regulatory guidance or clarifications regarding the Tax Credit Program become available, the Agency reserves the right to modify, to supplement or to make conforming amendments to this Allocation Plan and all related documents without formal amendment or additional public hearings. In addition to notifying affected Tax Credit Program Applicants, information about such subsequent changes will be posted on the Agency's website at www.phfa.org.

The amounts available in Set Aside or Pool may be adjusted by the Agency at any time to ensure adequate and appropriate funding of the Applications meeting the Program criteria. Further, the Agency may allocate more than the available Tax Credits in each Set-Aside or Pool in order to fully fund a project reservation which has scored sufficient points to warrant funding but for which funds remaining in the Set-Aside or Pool cannot fund the full credit amount needed for feasibility. For developments returning Tax Credits from a previous or current year's allocation, the Tax Credits may be redistributed at the Agency's discretion.

After the Agency reserves Tax Credits for 2016 Applications, the Agency may allocate such 2016 Tax Credits as may be available to any Application which either did not receive a reservation or which needs additional credits to fully support its financial feasibility. In addition, the Agency may make binding commitments to allocate Tax Credits through a forward allocation process to ensure that it will be able to completely allocate year 2016 Tax Credits prior to the end of the year. Applicants may not apply for or request a forward allocation. The Agency may determine to forward allocate based on geographic distribution, specific project needs, housing goals or program considerations in the sole discretion of the Agency.

Tax Credits are not guaranteed to any party, regardless of the ranking or points achieved through the evaluation process. The Agency will review the geographic location, developers and types of projects to attempt to achieve distribution throughout the Commonwealth. In addition, the Agency may impose a \$1,200,000 per developer per cycle maximum on the Tax Credits or otherwise restrict the amount of Tax Credits to any particular developer or project. Based upon the demand for Tax Credits and development rankings, the Tax Credits reserved for any one Applicant (or related entity or material participant) or development in any specific jurisdiction or within a particular Set-Aside may be limited at the discretion of the Agency. Furthermore, Applications with costs that the Agency deems to be excessive based on the facts and circumstances may be rejected or suspended from processing. Moreover, the Agency reserves the right to amend, modify or waive specific nonmaterial submission requirements or requisite documentation to achieve affordable housing programs or affirmatively further fair housing in the Commonwealth.

MAXIMUM PER UNIT BASIS LIMITATIONS

The Agency has established a maximum basis per unit limit of \$250,000 ("Maximum Basis"). The Agency may consider a waiver of this limit for developments with a significant number of larger bedroom counts. Maximum Basis includes all depreciable costs normally included in the eligible basis determination for rehabilitation or new construction (not including the developer's fee or cost of acquisition). Maximum Basis for the purposes of this calculation may be determined after the deduction for commercial space costs but prior to the pro rata reduction for historic tax credits and other nonqualified financing and costs normally not included in eligible basis.

If the Maximum Basis per unit, as previously described, exceeds the established limits, Agency staff may waive the Maximum Basis per unit for some developments. An Agency waiver of the established limits will be based upon the demonstration of compelling circumstances and justification for the additional basis eligible costs. Compelling circumstances are limited to costs predominately related to the preservation of a designated historic building or necessitated by building in or adjacent to a designated historical district; construction costs attendant to providing supportive services to the resident population that are over and above that typically associated with such housing, including reasonable costs related to the construction of community service

facilities; costs due to structurally unsuitable subsoil conditions; costs associated with environmental remediation of an existing building that will remain in the development; up-front capital expenditures related to energy efficiency systems that exceed threshold requirement and will result in demonstrable savings in utility costs to the development, including solar, geothermal, or other innovative energy savings techniques and costs resulting from local conditions or attempts to exclude affordable housing (this may include excessive impact fees, building code requirements, restrictive zoning, extraordinary litigation costs incurred because of neighborhood opposition and planning requirements). For those properties seeking to exceed limits based on costs due to historic considerations, unsuitable subsoil conditions, costs associated with environmental remediation, or up-front capital expenditures related to energy efficiency systems that will result in demonstrable savings in utility costs evidence must be provided that such costs are in excess of expenditures required for eligibility for Tax Credits. In addition, a detailed cost breakdown must be provided indicating the difference between the costs for these items and those of typically constructed developments. Applicants must provide full explanation of all alternative site considerations and provide adequate justification of the need for the development at the identified location or a full explanation and adequate evidence of cost savings. For Applications affected by local attempts to exclude affordable housing, Agency staff will not approve Tax Credits above 30 percent of the Maximum Basis limitation. For all other circumstances, Agency staff will not approve Tax Credits above 15 percent of the Maximum Basis limitation. A waiver of the Maximum Basis limitation is solely determined by the Agency.

Developments located in a "qualified census tract" or "difficult development area", as established by HUD, may qualify for Tax Credits based on 130 percent (130%) of the eligible rehabilitation/new construction basis.

Tax Credits in an amount up to 130 percent (130%) of the eligible rehabilitation/new construction basis may also be considered where appropriate by the Agency for Applicants which demonstrate that they have excess development expenses and costs related to:

- Their location in areas of the Commonwealth with limited federal, state, local or financial resources; or
- Their provision of general occupancy units in "areas of opportunity", as defined by the Agency or are sited in order to affirmatively further fair housing or in areas that have not received representative resources in the past; or
- Their provision of supportive housing opportunities; or
- Community impact developments with mixed income (of at least 15 percent market rate units) or mixed use components (commercial space of at least 15 percent of the square footage of the development).

Applications for tax-exempt bond volume cap and the associated 4% Tax Credits are ineligible for the discretionary 30% boost of the eligible rehabilitation/new construction basis.

APPLICATION THRESHOLD CRITERIA

The Agency has determined that the following minimum development characteristics will be considered threshold criteria for all developments seeking Tax Credits in 2016. The Agency may waive the requirement of a specific amenity if compelling circumstances exist, or if the inclusion of such amenity adversely affects the financial feasibility of the development or if, due to the nature of the rehabilitation of the development, the inclusion of such amenity is cost prohibitive. The Agency will review the architectural documents submitted with the proposal to confirm the existence of the proposed amenities. A certification from the design architect verifying the inclusion of the amenities in the development must be submitted with the Application. Confirmation from the construction contract administration architect is required with the submission of the cost certification documents. For Applications not requiring the services of an architect, the certifications may be provided by the general contractor. Amenities should be appropriate for the proposed resident population. Verification of the availability of all amenities may be required by the Agency at any time and throughout the development's compliance period.

1. Development Amenities – The following Development Amenities must be included in the proposed development. (Please note that the Applicant should seek independent tax advice as all of the costs of the following amenities may not be includible in eligible basis.)

- On-site Community Room. The community room must be one room and should be of sufficient size to accommodate the residents and services to be provided. The community room in senior housing developments should include a kitchen or kitchenette that will be available to all residents.
 - An on-site community room will not be required for developments with 11 units or less or scattered site properties. Applications which are a continuation of a phased development (or are adjacent to an existing affordable housing property serving the same targeted population group) will be required to provide space sufficient to meet the size requirements below based on the aggregate of the number of units in all phases. (For the cost of a community room or building that is shared with the tenants of multiple phases to be included in Tax Credit eligible basis, it must qualify as a community service facility. Please consult with an accountant or attorney experienced in Section 42 issues for additional information regarding this issue.) The Agency may consider a long term agreement with an existing community facility within walking distance from the development as evidence of meeting this requirement.
 - The community room should contain at least 15 net square feet per unit for properties between 12 and 50 units. Community rooms in developments with more than 50 units should be at least 750 square feet in size. The square footage required shall be in addition to the kitchen or kitchenette, where provided.
 - Laundry Facilities. Common laundry facilities or the provision of individual washers and dryers in each unit are required. If a common laundry is provided in a development that will be converted to homeownership, hook-ups for a washer and dryer must be provided in each unit. If the development contains a common laundry facility, the following requirements must be met:
 - For general occupancy developments: one washer and dryer per 12 units, with a minimum of two washers and two dryers required at each laundry facility.
 - For elderly developments: one washer and dryer per 20 units, with a minimum of two washers and two dryers required at each laundry facility.
 - A minimum of one front load washer and dryer is required for each laundry facility and will be required in accessible units containing a washer and dryer in the unit.
 - All washing machines, whether development owned or vendor owned, must be Energy Star® labeled.
 - Air Conditioning. For new construction or substantial rehabilitation developments, all common spaces (except stair towers, mechanical rooms and storage rooms) must be air conditioned.
 - Preservation or moderate rehabilitation properties may be required to include air conditioning as part of the proposal if financially feasible and deemed reasonable by the Agency.
 - On-site Management Office. An on-site management office will be required for all developments except those containing 11 units or less or scattered site properties. Applications which are a continuation of a phased development with a total of more than 11 units that do not include a management office in the current Application will be required to provide evidence of a management office in one of the prior phases.
2. Unit Amenities – The following Unit Amenities must be included in the proposed development.
- The net area of all dwelling units must fall within the limits listed below. (Net area is measured from the interior finish surface of the unit perimeter walls, and shall include all rooms, corridors, interior walls, storage areas, and mechanical spaces.) Rehabilitation developments may vary from the maximums and minimums by 10 percent. Preservation developments shall strive, but are not

required, to meet this requirement. Accessible units may vary from the maximums as required to provide an accessible route and accessible clearances.

	FLATS	MULTI-FLOOR UNITS
SRO	90 to 200 sq.ft.	
EFF	400 to 600 sq.ft.	
1 BR	550 to 850 sq.ft.	650 to 950 sq.ft.
2 BR	700 to 1,100 sq.ft.	850 to 1,300 sq.ft.
3 BR	950 to 1,350 sq.ft.	1,000 to 1,550 sq.ft.
4 BR	1,100 to 1,550 sq.ft.	1,200 to 1,750 sq.ft.
5 BR	1,300 to 1,750 sq.ft.	1,400 to 2,000 sq.ft.

- Air conditioning shall be supplied to living areas and all bedrooms of each unit. Individual window units will not be considered as meeting this criterion, except in preservation developments.
 - Refrigerators, ranges and ovens will be required in all units except for developments containing SRO units provided that such properties have common cooking facilities containing these appliances.
 - Window treatments in all residential units are required. Window treatments include venetian blinds, vertical blinds, or other opaque blinds. Roller shades will not be considered in this category.
3. VisitAbility – The following dwelling unit types shall meet the VisitAbility requirements: 100% of newly constructed single family homes, townhouses, and units in elevator buildings; all ground floor units in walk-up apartment buildings. Rehabilitation developments should strive for 100% compliance, but at least 25% shall meet the VisitAbility requirements. Properties unable to comply with this requirement due to physical constraints or building type may apply for a waiver from this threshold requirement. To meet VisitAbility design features, the building and units must have at least one zero-step entrance with a 36-inch wide door; all doorways and passages on the entry level floor should have a width of 36 inches; there should be a clear pathway to a bathroom or powder room; such bathroom or powder room should include a minimum 24-inch grab bar beside the toilet on a reinforced wall, which can also serve as a towel bar; and there should be a clear pathway to the living room and dining area of the unit. The VisitAble powder room or bathroom must provide maneuverability clearances in accordance with the Fair Housing Act Design Manual. (Preservation developments are exempt from this requirement but are encouraged to provide VisitAble units where feasible.)
 4. Fair Housing Act - All new construction developments shall be designed in conformance with the Fair Housing Act Design Guide standards, as applicable. Substantial rehabilitation developments shall also be designed in accordance with the Fair Housing Act Design Guide, as applicable, but may seek a waiver from the Agency where existing conditions prohibit 100% compliance. Blocking for future grab bars shall be continuous behind the bar location and sized to accommodate the grab bars required by ANSI A117.1-2009.
 5. Phase I Reports – A Phase I Environmental Site Assessment prepared in accordance with ASTM E 1527-13 and the Agency requirements found in the Submission Guide for Architects is required for all developments. The report cannot be more than 12 months old at the time the Application is submitted. An update report provided by the original report’s environmental consultant may be provided when the original report is between 12 and 24 months old at the time the Application is submitted. Only the executive summary of the Phase I report shall be submitted in the Application. The summary shall be accompanied by a certification from the sponsor stating that any issues raised in the environmental review have been reviewed and budgeted for accordingly in the development budget. For existing buildings scheduled for rehabilitation or preservation developments, the Phase I report must also include the results from the

following tests: lead in water, lead-based paint, asbestos and radon. Cost estimates for any remediation work shall be provided and included with the Phase I executive summary.

6. Development Sustainability and Energy Conservation Measures –

- For 2016, all new construction and rehabilitation developments must meet the mandatory measures outlined in the 2015 Enterprise Green Communities Criteria (see www.enterprisecommunity.com/criteria) which set forth minimum standards for design, location, site improvements, water conservation, energy efficiency, materials beneficial to the environment, healthy living, and operations and maintenance of the development. Preservation developments shall meet the mandatory measures found in the “Design Architect’s/Applicant’s Certification of Threshold Criteria” in the Guidelines.
- Additionally, for new construction and rehabilitation developments, the overall U-value of the exterior building envelope must exceed the requirements of the 2009 International Energy Conservation Code Chapter 4 by 10% for buildings three stories or less in height as verified by a REScheck certificate. Buildings four or more stories in height must exceed the requirements of the 2009 International Energy Conservation Code Chapter 5 by 3%, as verified by a COMcheck certificate. Air sealing of the exterior building envelope and attic plane shall be included. Trade-offs available in the REScheck or COMcheck software for mechanical equipment will not be allowed. (Not applicable to preservation developments.)
- In new construction and rehabilitation developments, all appliances, HVAC equipment with a capacity less than 60,000 btuh, gas fired water heaters, windows, ceiling fans, exhaust fans, range hoods and exit signs shall be Energy Star® labeled when such equipment and appliances exist. (Exceptions: programmable thermostats do not need to be provided, and windows in buildings over three stories in height may comply instead with ASHRAE Standard 189.1-2009.) (Packaged terminal air conditioners (PTACs) and packaged terminal heat pumps (PTHPs) may only be used if it can be proven that they comply with the prescriptive requirements of Energy Star® Version 3.0 for air-source equipment.) In addition, 100% of the permanent room light fixtures in the dwelling units shall be equipped with compact fluorescent, LED bulbs, or high efficiency fluorescent with electronic ballasts; and 100% of the community room and common area corridor and stair lighting shall be fluorescent with electronic ballasts or shall utilize compact fluorescent or LED bulbs.
- In preservation developments, existing refrigerators more than 15 years old shall be replaced with Energy Star® labeled type. Existing heat pumps, air conditioning condensing units, and through-wall air conditioners more than 20 years old shall be replaced with Energy Star® labeled type, when such equipment exists. Existing furnaces and boilers more than 25 years old shall be replaced with Energy Star® labeled type, when such equipment exists. (Programmable thermostats do not need to be provided.) In addition, existing community room, common area corridor and stair lighting more than 15 years old shall be replaced with fluorescent fixtures with electronic ballasts or fixtures that utilize compact fluorescent or LED bulbs. Where windows are scheduled for replacement, replacement should be made with Energy Star® qualified products, except in buildings over three stories in height, where window replacement may comply instead with ASHRAE Standard 189.1-2009.
- All developers must certify that when existing equipment, appliances and products are replaced, they will be replaced with Energy Star® labeled equipment, when such equipment exists.
- All developments must meet the Additional Threshold Green Building Criteria set forth in the 2016 Guidelines.

Please review the Multifamily Housing Application and Guidelines for specific sustainability and energy conservation requirements.

7. Affordability of Units - Developments must provide a financing plan which evidences that at least ten percent (10%) of the low income units in Urban Areas and five percent (5%) of the low income units in Suburban/Rural Areas are affordable to persons at or below twenty percent (20%) of the area median income, adjusted for family size. For developments consisting of all low income units, at least half of these units must be accessible. For mixed income developments containing market rate units, 5% of the units must be accessible. (Existing affordable developments with a demonstrated average occupancy rate of 90 percent or above over last 5 years may be exempt from having to meet the twenty percent (20%) area median income requirement for these units.) The development must evidence a viable plan to charge rents at levels affordable to persons at or below twenty percent (20%) of area median income for these units throughout the compliance period. In the event the plan includes utilization of Project Based Section 8 and appropriation for such assistance is not renewed (provided that non-renewal is not due to the development's default on program obligations), the twenty percent (20%) area median income requirement may be waived with the consent of the Agency for reasons beyond the development's control. An agreement shall be in place with appropriate referring entities (including those supported through programs of the Department of Human Services) to assure that sufficient referrals for tenancy are received from households who are income-eligible and/or in need of the accessibility features. Additionally, the Agency may require additional applicable program restrictions to comply with its award of project-based subsidy from HUD of Section 811 Demonstration Program funds or similar program opportunities. The Restrictive Covenant Agreement will require that the extremely low rents are maintained and that a corresponding number of units are marketed to and set aside for such extremely low income households throughout the compliance period.

APPLICATION SELECTION CRITERIA

General Processing Information

Upon receipt of the Application, the Agency will review the site and market information contained in the Application and will conduct a development site visit if the Agency deems the development to be financially feasible based on the information submitted in the Application. For 2016, the Agency anticipates that the number of Applications will significantly exceed the amount of Tax Credits availability for allocation, therefore, the Agency may use amount of resources available and readiness to proceed and commence construction as factors in making these determinations.

The Agency will review the Application and assign points based on the Selection Criteria. Applications will be underwritten by the Agency at the adjusted gross pay-in provided by the developer in the Application but the Agency may adjust the pay-in during underwriting based upon market conditions, the targeted resident population or investor information. A development must address a substantial number in each of the six categories of Selection Criteria in order to qualify for a reservation of Tax Credits. The Agency has established a minimum point threshold of eighty-five (85) points for Applications during the Year 2016 Tax Credit Program. The Agency reserves the right, at any time, to require submission of such documentation or additional support as it deems necessary to evidence any of the items set forth herein including, without limitation, additional independent market studies, independent appraisals, evidence of property location and accurate deed and title information, investor data, independent capital needs assessments and opinions of qualified tax counsel or certified public accountants and will impose additional documentation or clarifying information as further set forth herein and in the 2016 Guidelines.

All Tax Credit reservations are made based upon the information contained in the Application. Unless specifically directed or approved by the Agency, changes or supplements to an Application during the processing period for ranking are not permitted. Changes to a development made by the Applicant after a reservation is received affecting any of the Selection Criteria features will result in reconsideration of the ranking and may lead to a "rescission" of the conditional reservation. As a reminder, certain Selection Criteria will be incorporated into the Restrictive Covenant Agreement and monitored during the compliance period. Changes in any of the Selection Criteria subsequent to issuance of an IRS Form 8609 may result in

noncompliance, may lead to specific enforcement action against the development and may result in the loss of Tax Credits to the development and its investors.

The scoring and ranking of an Application does not guarantee funding by the Agency. In the event the Agency departs significantly or materially from the ranking and scoring criteria, it shall document such departure if required by the Code. De minimus adjustments, as determined by the Agency, are authorized.

The Selection Criteria are set forth in Exhibit SC2016.

RANKING OF DEVELOPMENTS

Applications will be evaluated to determine the amount of Tax Credits required to make the Application economically feasible and to ensure the Application's long term viability. If two or more developments have the same ranking within a Set-Aside, Pool or Preference and only one Application can be awarded Tax Credits, the Agency will select the Application that has a higher percentage of units available to residents whose incomes are at or below 50 percent of area median gross income as compared to total number of Tax Credit eligible units. If the Applications have the same percentage of units serving residents at or below 50 percent of area median income, the Agency may select the Application that it determines best fits the Agency's affordable housing priorities and achieves geographic distribution. In any instance, the Agency may favor selection of an Application which best evidences an ability to proceed.

The Agency's determination as to the amount of Tax Credits reserved for or allocated to an Application shall not be construed by the developer, lender, or any other interested party to be a warranty of the Application's feasibility and viability, nor shall such determination constitute a representation of compliance with any requirements of the Code.

DEVELOPER'S FEE

The developer's fee, which is meant to compensate the developer for staff time, effort and work involved in the development of the property, includes developer's expenses, overhead, profit and consulting fees or other fees and costs that are above the maximums allowed by the Agency. Development consultant's fees and organizational costs are required to be paid from the developer's fee. These fees may not be listed and shall not be recognized as separate line items on the Application.

The maximum "base" developer fee allowable (except as limited below) is calculated on the lesser of the development's replacement cost (less all costs of acquisition) or the Agency's maximum basis. For developments that have 25 or more units, the developer's fee is limited to 15 percent of the first \$10 million of replacement cost of the development less all costs of acquisition and 10 percent on every \$1 of replacement cost thereafter. For developments of 24 units or less, the developer's fee is limited to 20 percent of the replacement cost of the development less all costs of acquisition.

In determining the maximum base developer fee the following criteria must also be considered:

- The developer's fee to be earned on Applications from existing Tax Credit properties with the same or a related party or affiliated entity as the general partner on the original Application will be limited to 10 percent of replacement cost less all costs of acquisition.
- The developer's fee to be earned on Applications from subsequent phases of a project previously awarded tax credits may be limited to 10 percent of replacement costs less all costs of acquisition.
- For rehabilitation and preservation developments that qualify for Acquisition Tax Credits, a developer's fee will be allowed on a portion of the acquisition cost that is basis eligible. The fee is limited to 10 percent of the purchase price of the property less the cost of the land. The maximum acquisition cost that will be recognized in determining the developer's fee will be the lesser of the actual amount paid for the building or the MAI appraised value. The Agency may limit the acquisition developer's fee to 5

percent if the seller and buyer are related parties.

- The Agency may impose a developer's fee cap of \$1,500,000 per development on the total developer's fee allowable for costs associated with both the rehabilitation and acquisition of the development.
- Additional developer's fee will not be available for Applications requesting Additional Tax Credits.
- Requests for an increase in the amount of the maximum base developer fee after the initial award of Tax Credits will not be accepted.

In addition to the maximum base developer fee, Applicants may request an additional 5 percent developer fee. The 5 percent is determined exclusive of acquisition costs. The Applicant must commit to provide to the development the entire amount of the equity raised for the additional developer's fee to fund an internal rent subsidy for all threshold required units set aside for persons at or below 20 percent of area median income for the initial 15 year compliance period and/or to subsidize rents to persons with income at or below 40 percent of the area median income for the initial 15 year compliance period; or to fund a supportive services escrow for the provision of social supportive services for the benefit of the residents (provided the plan for services is satisfactory to the Agency). Funds deposited in an internal rent subsidy will be limited to the difference between the 20 percent/40 percent rent and the rent at 50 percent of area median income, as applicable. The Agency reserves the right to determine the exact mechanism necessary and appropriate to ensure funding of the internal rent subsidy or supportive service escrow based on specific tax issues and ownership structure. Additionally, during the initial 15 year compliance period, the Agency may review, approve and monitor utilization of the internal rent subsidy or supportive service escrow funds. For developments not receiving Agency financing, Agency staff will only approve an increased developer's fee if the Applicant provides adequate assurances and documentation (including evidence of a third party escrow arrangement) that an amount of funds equal to the increased equity raised from the additional developer's fee is necessary to support financial operations and will be committed to the Project for at least the initial 15 year occupancy period. Whenever an increased developer's fee is allowed, the partnership or operating agreement must provide that the approved developer's fee will, in fact, be paid to the developer from available funds (which may include development sources, operating revenue and additional capital contributions). Additionally, provision of funds for supportive services or to fund various internal rent subsidies will be incorporated in the Restrictive Covenant Agreement.

TAX EXEMPT FINANCED DEVELOPMENTS

All tax exempt financed developments utilizing Tax Credits in their financing plan must submit a Tax Credit Application and must be evaluated in accordance with the 2016 Tax Credit Allocation Plan and the 2016 Guidelines. Developments receiving tax exempt financing for at least 50 percent of the aggregate basis of the property including land are not required to receive an allocation of Tax Credits through competitive allocation from the Agency. The eligible basis of the development would qualify for the Tax Credits without competing through the regular allocation process; however, the Agency may require that the Application meet the threshold criteria and minimum threshold points under the Selection Criteria. Developments receiving tax exempt financing on less than 50 percent of the aggregate basis will be eligible for Tax Credits on only that portion of the eligible basis financed by the tax exempt bonds. For the remaining portion, the owner must apply and compete for an allocation of Tax Credits from the Agency in the established allocation process, but the Agency may establish a lower threshold for qualified applicants.

Only that amount of Tax Credits that is necessary to ensure feasibility and long term viability will be issued on the IRS Form 8609. See the 2016 Guidelines for the appropriate documentation to be submitted and the applicable timeframes.

Because of the competitive nature of Tax Credits, the Agency may require certain applicants to pursue Tax Exempt financing as an alternative to seeking 9% Tax Credits. Specifically, developments which have access to federal resources may be required to provide information regarding the financial feasibility with Tax Exempt financing. Additionally, for developments seeking Tax Exempt financing, the Agency may waive such

timelines, processing and program requirements, in its discretion, to encourage and facilitate such financings. The Agency may also allow costs per unit above Maximum Basis limits and may allow higher developer's fees for developments using this funding source.

SUBSIDY LAYERING REVIEWS

Pursuant to Section 911 of the Housing Community Development Act of 1992, HUD published administrative guidelines concerning subsidy layering review of Tax Credit developments receiving assistance from the HUD's Office of Housing. The guidelines provide for the delegation of subsidy layering reviews for certain programs to Tax Credit allocating agencies. Pennsylvania requested and has been delegated this subsidy layering review responsibility. Section 911 guidelines provide the Tax Credit allocating agencies with standards for evaluating builder's profit, developer's fee, syndicator expenses, and net syndicator proceeds. The guidelines include both a safe harbor standard and ceiling standard for each category. The Tax Credit allocating agency may simply use the safe harbor standards or through the Allocation Plan may raise the safe harbor standards to the published maximum ceiling standards. The Agency has elected to raise the safe harbor guidelines to the maximum ceiling standards established for the Section 911 layering review since the ceiling standards are within the fee and cost limitations already established for the Tax Credit Program.

The Agency has also been approved to conduct subsidy layering reviews for Applications with proposed Section 8 Project-Based Voucher Housing Assistance Payments Contracts, and will conduct these reviews in accordance with the Administrative Guidelines published in the July 9, 2010, Federal Register (or as subsequently amended or supplemented).

Beginning in 2012, the Agency entered into a tri-party Memorandum of Understanding with HUD and the USDA – Rural Development wherein the Agency conducts subsidy layering reviews for Applications with Section 515 program assistance or other federal assistance subject to federal subsidy layering review requirements.

PLACED-IN-SERVICE/CARRYOVER ALLOCATION

All developments receiving a conditional reservation of Year 2016 Tax Credits must either be placed in service by December 31, 2016 or, by November 11, 2016, be eligible for a carryover allocation of Tax Credits pursuant to Section 42 (h)(1)(E) of the Code. All processing deadlines for Carryover Allocations must be met. The Agency reserves the right to update or amend the Carryover Allocation deadlines and processing timeframes and will publish any and all modifications on its website.

To qualify for a Carryover Allocation, an owner must, by the required date, have evidence of ownership of the land or the depreciable real property that is part of the proposed development. The Agency may, in its sole discretion, accept either an Attorney's Opinion Letter or a Certified Public Accountant Letter that certifies that the owner has carryover allocation basis for the development pursuant to the Code; or an owner's certification which includes sufficient identification of the property (i.e. legal descriptions, surveys, title insurance) to assign building identification numbers. In making this certification, the owner accepts full responsibility for all discrepancies, errors or omissions of properties and acknowledges that subsequent adjustments may require Internal Revenue Service approval. Additionally, no later than **November 11, 2017**, owner must incur more than 10 percent of the "reasonably expected basis" in the property, including land. The "reasonably expected basis" is that basis which is expected to be incurred as of the close of the second calendar year following the calendar year of the Carryover Allocation. See the 2016 Guidelines for further details and additional processing deadlines which will be posted to the Agency's website, www.phfa.org.

PROCESSING PROCEDURES

Developments receiving a conditional reservation of Tax Credits in 2016 are subject to the 2016 Guidelines and in the event the initial reservation is modified or amended, the 2016 Guidelines shall remain in force and effect for the property. However, the Agency may amend the 2016 Guidelines from time to time to further comply with Tax Credit Program requirements or to enable Agency staff to better fulfill its administrative duties and such changes would be applicable to the development.

The Agency reserves the right, in its sole discretion upon review and approval of a committee of the Board, to provide an allocation of Year 2016 Tax Credits to a development, without requiring re-ranking under the Year 2016 Allocation Plan. The development must be currently holding a valid allocation of Tax Credits and, due to circumstances beyond its control, be unable to meet Tax Credit program placed in service deadlines. The Year 2016 Tax Credits will be allocated upon release and return of the prior allocation. Such circumstances may include delays caused by local government's opposition to affordable housing; delays due to the failure of the federal government to release funding program guidelines or regulations in a timely manner or due to temporary freezes in federal government budget authority for program activity; or similar extraordinary and compelling basis (and but for such circumstance, Agency program deadlines and requirements would have been met). Notwithstanding the above, developments which need additional Tax Credits to be viable for their equity closing must submit a new Application for funding with the Agency. Said developments will not be considered for substitution of Tax Credits if their Application has substantially changed. Further, the Agency will generally not consider any other Applications for Tax Credits for a new development submitted by the same applicant (or related entity or material participant) during the same or subsequent funding round for Tax Credits if it provides this extraordinary relief due to the Developer's inability to meet placed in service deadlines.

DEVELOPMENTS WITH MULTIPLE BUILDINGS

A development may include multiple buildings if it has similarly constructed units, is located on the same or contiguous tracts of land, is owned by the same federal taxpayer and is financed pursuant to a common plan of financing. A development with multiple buildings that is proposing a mixed income structure must have low-income units in each building of the development. Scattered site buildings on noncontiguous tracts of land may also qualify if the development meets all of the other requirements described above and the development is 100 percent rent and income restricted, however, costs associated with the development of a separate community building may not be eligible for Tax Credits unless the building contains a residential rental unit.

COMPLIANCE

Owners are responsible for ongoing compliance with all requirements of the Code and the Agency's Compliance Program Manual, including such rules, regulations, administrative revenue proclamations and revenue rulings as may be issued from time to time.

Each owner of a Tax Credit development must execute an agreement setting forth allowable occupancy and use restrictions, owner responsibilities and continuing Section 42 qualified development characteristics. This agreement, the "Restrictive Covenant Agreement," must be recorded for the maximum period required by the Code and no Tax Credits may be claimed by a property owner in any taxable year unless the Restrictive Covenant Agreement is in effect and is appropriately recorded on the property in the county land records.

The Agency will monitor each Tax Credit development for compliance with the Code. Such requirements may change from time to time and the protocol for compliance monitoring may be adjusted as deemed necessary or appropriate by the Agency. In addition to monitoring for all federal requirements, developments will be monitored for compliance with the occupancy standards, Selection Criteria and other covenants set forth in the Restrictive Covenant Agreement. A form authorizing the release of compliance information is on the Agency's website, www.phfa.org. However, the Agency may release related information even if no release form is submitted.

The Agency has established an interactive database ("PA Housing Search") for all affordable housing units in developments participating in any of the Agency's multifamily housing programs, to provide a resource for households seeking affordable housing throughout the Commonwealth and to provide a marketing tool to owners. All developments receiving 2016 Tax Credits must participate in this data collection effort, which may also include submission of a resident survey, and will be expected to provide information including, but not limited to unit amenities, household size, household income and move-in information and any ongoing unit vacancies in a secure and timely manner. Owners are reminded that they must comply with the Agency's Accessible Unit Policy (see 2016 Guidelines).

All owners must keep the following records for each qualified low income building in the development for each year of the compliance period: the number of residential units in the building, the number of low income units in building, the number of occupants in each low income unit, the number of bedrooms in each unit, the square footage of each unit, the rent charged on each unit including the utility allowance, the low income unit vacancies in the building and the rentals of the next available unit for each building in the development including when and to whom it was rented. The owner must also keep documentation of the eligible basis and the qualified basis of the building as of the end of the first year of the Tax Credit period. Owners must also keep a record of the annual income certification of low income residents along with documentation to support the certification. (Effective January 1, 2009, Owners with 100% of the units qualified as Tax Credit units do not have to provide annual income certifications but must provide updates on household composition, student status and rent on the Agency's on-line compliance reporting system or on PA Housing Search. In addition, subsequent data collection efforts may be applicable to the Development and each Owner must agree in advance to participate in these data collection initiatives which may include availability and occupancy of accessible units and submission of tenant and project paid utility documentation for the entire development.) Owners renting to holders of Section 8 certificates or vouchers may ask the public housing authority issuing the certificates or vouchers to provide a statement declaring that the resident's income does not exceed the applicable income limit under the Code. Any nonresidential portion of a building included in the eligible basis of the building must demonstrate its availability to all residents in the building at no additional cost to the residents.

Records for the first year of the Tax Credit period must be retained for at least 6 years beyond the due date (with extensions) for filing the federal income tax return for the last year of the compliance period of the building. In all subsequent years of the Tax Credit period, records must be kept by property owners for a minimum of 6 years after the due date (with extensions) for filing the federal income tax return for the year.

The Agency will also review and monitor developments for compliance with required certification submissions. Owners must provide certification at least annually to the Agency, under penalty of perjury, through the Agency's on-line compliance reporting system, as to the following: the development meets the requirements of the elected minimum set-aside test; the applicable fraction, as defined in Section 42(c)(1)(B) of the Code, of each building in the development has not changed, or, if there was a change, a description of the change; owner has received the annual income certification from each low income resident along with supporting documentation; the low income unit is rent restricted under Section 42(g)(2) of the Code; all units are available to the general public and used on a non-transient basis and no finding of discrimination under the Fair Housing Act has occurred for the development; each building is suitable for occupancy pursuant to local health, safety and building codes and meets all habitability standards for the Tax Credit Program; the building's eligible basis pursuant to Section 42(d) of the Code has remained the same (or if there was a change, the nature of the change); and any resident facility in the building is available to all residents in the building on a comparable basis without a separate fee charged to the resident. Furthermore, owners must certify that no low-income resident of a Tax Credit property will be or has been evicted or otherwise had their lease terminated other than for good cause and owner must confirm that all leases state this affirmatively. **The Agency requires a copy of the form of lease with Agency's Lease Addendum to be submitted.** Experience as a victim of domestic violence alone may not constitute good cause for eviction under the terms of the lease (if other occupancy rules are met). Owner must also certify that if a low income unit becomes vacant, reasonable attempts will be made to rent that unit to a qualified low income resident, and while that unit is vacant no units

of comparable or smaller size may be rented to a non-qualified low income resident. If a low income resident's income rises above the limit established in Section 42(g)(2)(D)(ii) of the Code, all available units of comparable or smaller size in that building must be rented to an income qualified resident. Owner must also certify that an extended low income housing commitment, as described in Section 42(h)(6) of the Code, was in effect for all qualified low income buildings in the development. Owner must also certify that a unit lease has not been refused to a Section 8 applicant because the applicant holds a Section 8 voucher or certificate. Owner's certifications of these items must be submitted at least annually or with such greater frequency as may be required by the Agency. The Agency may adjust any and all of its compliance protocols as it deems appropriate throughout the compliance period and the extended use term covered by the Restrictive Covenant Agreement.

The Agency may review the information set forth on the certifications at any time for compliance with the Code. On-site inspections of all Tax Credit developments will be held from time to time, at the sole discretion of the Agency, for compliance with the certification requirements, habitability standards, rent records, lease provisions, supporting documentation and all record keeping requirements in the low income units. Physical inspections of all buildings and at least 20% of all low income units are performed at least once every three years. The Agency will determine which developments and which records it will inspect and how often such inspections will be conducted in its discretion. The Agency retains the right to perform on-site inspections at any time during the compliance period for any Tax Credit development or to conduct more frequent or more detailed site visits if the Agency deems it appropriate. As referenced above, the Agency may also require submission of ongoing data from each property regarding move-ins and vacant units.

Audited financial statements must be submitted annually to the Agency's Compliance Monitoring Department for all properties with twenty (20) or more units. If audited financial statements are not available, a compilation must be prepared and submitted to the Agency's Compliance Monitoring Department. (Applications for Tax Credits in any year may be rejected from organizations or individuals who have not submitted to the Agency the audited financial statements for a Tax Credit development for the preceding tax year.)

As required by the IRS, in the event the owner or the development does not comply with any of the provisions of the Code, the Agency will provide written notice to the owner that specifies a correction period that may not exceed 90 days, unless extended by the Agency in writing. Upon the expiration of the correction period set forth in the written notice to the owner, the Agency must file IRS Form 8823 "Low Income Housing Credit Agency Report of Noncompliance" ("IRS Form 8823") with the IRS to advise the IRS of the existence of an event of noncompliance with an explanation of the nature of the event and whether the owner has corrected the noncompliance. Any change in either the applicable fraction or eligible basis resulting in a decrease in the qualified basis will be treated as an event of noncompliance. In addition, any failure to provide required information to the Agency on a timely basis in accordance with its written request or the procedures established in Agency directives or set forth in its Compliance Program Manual may be treated as an event of noncompliance and may result in the filing of IRS Form 8823. Failure to continually meet the requirements of the use, occupancy and other conditions relevant to the operation of the development, as set forth in the Restrictive Covenant Agreement, may be treated as an event of noncompliance and may result in the filing of IRS Form 8823.

The Agency will assess owners an upfront compliance fee designed to cover administrative expenses associated with the performance of compliance monitoring. Additional fees may be charged, as necessary and appropriate, for any property.

The Housing and Economic Recovery Act (HERA) of 2008 requires each state Credit allocating agency to provide HUD with information on the race, ethnicity, family composition, age, income, use of federal rental assistance, disability status, and monthly rental payments of households residing in each property receiving Housing Credits. All developments receiving Tax Credits must participate in this data collection effort and will be expected to provide the required information in the form, manner and timeframe required by the Agency.

EXHIBIT URBAN

The following urban areas qualify for Application submission in the Urban Pool of the 2016 Program Year.

Allegheny County

City of Pittsburgh

Berks County

City of Reading

Blair County

City of Altoona

Cambria County

City of Johnstown

Dauphin County

City of Harrisburg

Delaware County

City of Chester

Erie County

City of Erie

Lackawanna County

City of Scranton

Lancaster County

City of Lancaster

Lawrence County

City of New Castle

Lebanon County

City of Lebanon

Lehigh County

City of Allentown

City of Bethlehem

Luzerne County

City of Hazelton

City of Wilkes-Barre

Lycoming County

City of Williamsport

Northampton County

City of Bethlehem

City of Easton

Philadelphia County

City of Philadelphia

York County

City of York

**Exhibit SC2016
Selection Criteria**

A. Community and Economic Impact

30 points

It is the goal of the Agency to encourage affordable housing in areas with job opportunities; in areas near strong and stable communities and in areas which demonstrate the capacity for community revitalization opportunities. The Market Study /Needs Assessment must identify the criteria set forth in the Community and Economic Impact Selection Criteria for ranking consideration in this category. To that end, up to 30 points may be awarded to developments located in areas that demonstrate the following relative to the immediate market area:

1. Underserved Areas – up to twenty (20) points

a. General Occupancy - Areas of Opportunity – up to eighteen (18) points

- Low poverty rates
- Limited affordable housing options, both subsidized and non-subsidized
- Limited affordable housing production in past twenty (20) years
- Close proximity to employment
- Strong housing markets
- High owner-occupied markets

b. General Occupancy – School Performance Standards – up to two (2) points

The Agency may award up to two (2) points to those developments located in a school district whose senior high school scores the following Building Level Academic Score set forth in the Pennsylvania State Performance Profile listed at www.paschoolperformance.org:

<u>Percentage</u>	<u>Points</u>
≥70%-80%	1
>80%	2

c. Senior Occupancy Developments –

- Large number of seniors eligible for affordable housing
- Limited affordable housing options, both subsidized and non-subsidized
- Limited affordable housing production in past twenty (20) years
- Close proximity to amenities for the senior population, including health and retail establishments, home health agencies, and hospitals.

AND/OR

2. Community Revitalization

a. For New Construction and Substantial Rehabilitation Properties:

Community Revitalization Plans, Evidence of Municipal and Local Support, Access to Transportation and Existing Infrastructure and Community Resources and Suitability of Site – A critical circumstance is the development's forming an important part of a broader or comprehensive program of neighborhood improvement which has the capability of changing

fundamentally the character of that neighborhood or enhancing the lives and amenities available to residents of the community. Such improvement should include the provision of mixed income housing. A program of neighborhood improvement includes municipal support articulated in a publicly approved community plan or in the form of significant funding commitments, or evidence of substantial major investment in the area that is consistent with a comprehensive plan for neighborhood improvement which may include contributing to a transit oriented design initiative. Such funding commitments or major investments cannot be derived solely from the development of Tax Credit properties and may include proposals participating in: Main Street, Elm Street, Neighborhood Partnership or other programs of the Commonwealth, the Agency's Homeownership Choice Programs; New Markets Tax Credits, the Healthy Village Initiative of the Local Initiatives Support Corporation; the Blueprint Communities Initiative of the Federal Home Loan Bank or similar community support programs. Additionally, the plan should generally include municipal support, private investment and/or private sector commitments to the area or evidence infrastructure in place to support the development. The Agency will consider in its evaluation of community impact the use of existing housing or buildings if the development is not located in a qualified census tract. Up to twenty (20) points may be awarded in this category as follows:

- Community Revitalization Plan – The Agency may award five (5) points for developments contributing to an existing community revitalization plan. To qualify for points in this category, the applicant must submit a letter from an official of the local government explaining how the development will contribute to the community revitalization plan. The letter should be specific to the proposal and must identify the official title of the community revitalization plan along with the year in which it was adopted. The Agency may accept a copy of the community revitalization plan in lieu of a letter from the local government in the event the developer is unable to obtain such a letter. A county or municipal zoning or land use plan does not qualify as a community revitalization plan.
- Significant Funding Commitments and Coordination with Other Housing and Community and Economic Development Programs – The Agency may award up to five (5) points to proposals that demonstrate further coordination between other housing and community and economic development programs stated above and evidence of significant funding commitments as part of the major investment in the area.
- Mixed-Income Housing – The Agency may award up to two (2) points for developments which incorporate market rate units as part of the unit mix. In order to qualify for points, at a minimum fifteen percent (15%) of the units shall be targeted as market rate units.
- Transit-Oriented Design – The Agency may award up to two (2) points to developments located within one-half mile of a completed or planned public transportation fixed route stop.
- Walkability – The Agency may award up to two (2) points for developments which have the following walk scores according to www.walkscore.com (for scattered site projects, a walk score will be obtained for each site and a weighted average based upon number of units at each site will be calculated):

<u>Urban</u>		<u>Suburban/Rural</u>	
<u>Percentage</u>	<u>Points</u>	<u>Percentage</u>	<u>Points</u>
≥80	2	≥70	2
≥70-79	1	≥50-69	1

- Site – The Agency may award up to four (4) points to developments based upon site suitability for the proposed use. Site suitability will be based on the following features: unit size mix, including number of efficiency units; neighborhood amenities; access to site; appropriateness of site for targeted tenant population; availability of sufficient parking; location relative to flood plain; neighborhood nuisances; condition of neighborhood; building on agricultural land; if scattered site, overall impact on the neighborhood; completed project’s improvement to or impact on the neighborhood including, but not limited to, crime reduction.

b. For Preservation Properties:

Developments seeking consideration for the Preservation Preference must demonstrate the need for Tax Credits to extend the affordability period of the existing property to ensure the continued availability of long-term subsidy or to address immediate health and safety concerns of the development. Points will be awarded based upon the following factors: ability to convert to market, loss of long-term subsidy, need for immediate health and safety improvements, good faith compliance with original extended use commitments, financial impact of proposed improvements (including energy efficiency upgrades) and economic impact on the existing community. Additional consideration will be given for those developments which include municipal support articulated in a publicly approved community plan or in the form of significant funding commitments, or evidence of substantial major investment in the area that is consistent with a comprehensive plan for neighborhood improvement which may include contributing to a transit oriented design initiative. Up to 20 points may be awarded in this category as follows:

- Significant Funding Commitments and Coordination with Other Housing and Community and Economic Development Programs – The Agency may award up to three (3) points to proposals that demonstrate further coordination between other housing and community and economic development programs stated above and evidence of significant funding commitments as part of the major investment in the area.
- Risk of Loss Due to Market Conversion or Sale – The Agency may award up to four (4) points to developments which are at risk of conversion to market rate housing. To be eligible for consideration, applications must include evidence that Section 8 project based or similar affordability restrictions expire within twelve (12) months from the date of application. Additionally, evidence of sustained occupancy greater than ninety percent (90%) over the last five (5) years must be provided.
- Risk of Loss Due to Critical Physical Needs – The Agency may award up to four (4) points to developments which are beyond fifteen (15) years of initial loan closing and tax credit placed-in-service date and at least one major physical plant component must be replaced or repaired or there is evidence of the need for an immediate health or safety improvement. Applicants must demonstrate that there has been a good faith effort to keep the property up to Uniform Physical Condition Standards.

- Mixed-Income Housing – The Agency may award up to two (2) points for developments which incorporate market rate units as part of the unit mix. In order to qualify for points, at a minimum fifteen percentage (15%) of the units shall be targeted as market rate units.
- Transit-Oriented Design – The Agency may award up to two (2) points to developments located within one-half mile of a completed or planned public transportation fixed route stop.
- Walkability – The Agency may award upto two (2) points for developments which have the following walk scores according to "www.walkscore.com" (for scattered site projects, a walk score will be obtained for each site and a weighted average based upon number of units at each site will be calculated):

<u>Urban</u>		<u>Suburban/Rural</u>	
<u>Percentage</u>	<u>Points</u>	<u>Percentage</u>	<u>Points</u>
≥80	2	≥70	2
≥70-79	1	≥50-69	1

- Site – The Agency may award up to three (3) points to developments based upon site suitability for the proposed use. Site suitability will be based on the following features,: unit size mix, including number of efficiency units; neighborhood amenities; access to site; appropriateness of site for targeted tenant population; availability of sufficient parking; location relative to flood plain; neighborhood nuisances; condition of neighborhood; building on agricultural land; if scattered site, overall impact on the neighborhood; completed project’s improvement to or impact on the neighborhood.

B. Development Characteristics

25 points

The Agency may award up to twenty-five (25) points for the provision the following development amenities.

- Smart Site Selection – points may be awarded to the following types of properties:
 - up to five (5) points may be awarded to those developments located on a brownfield;
 - up to seven (7) points may be awarded to those developments considered residential infill; and
 - up to ten (10) points may be awarded to those developments consisting of an adaptive reuse of an existing building.
- Achievement of Enterprise Green Communities Optional Points Criteria - Ten (10) points may be given to those developments achieving the following optional 2015 Enterprise Green Communities Criteria points: twenty-five (25) points for new construction and twenty (20) points for substantial or moderate rehabilitation properties (which would include Preservation projects).
- Energy Efficiency Goals –
 - Reduced HERS Index –five (5) points may be awarded to those developments that exceed the requirements of Energy Star® Version 3.0 by achieving a lower HERS

Index as specified in the Guidelines. (Points in this category are not available if seeking points for Passive House.)

- Passive House – ten (10 points may be awarded to those developments which meet Passive House Requirements (nationally or internationally) for energy efficiency. (See Multifamily Housing Application and Guidelines and “www.passivehouse.us” or “www.passivehouseacademy.com” for additional guidance.)

Please review the 2016 Guidelines for specific requirements for the above criteria.

The Agency will review the architectural documents submitted with the proposal to confirm the existence of the proposed amenities. A certification from the design architect verifying the inclusion of the amenities in the development must be submitted with the Application. Confirmation from the construction contract administration architect is required with the submission of the cost certification documents. Amenities should be appropriate for the proposed resident population. The appropriateness and adequacy of the proposed amenities for ranking purposes will be determined at the sole discretion of the Agency. Verification of the availability of all amenities may be required by the Agency at any time and throughout the development’s compliance period.

C. Resident Population and Services

50 points

1. Income and Rent Targeting – The Applicants may be awarded up to twenty (20) points for developments that are designed to be substantially occupied by and affordable to residents with incomes that are at or below 50 percent of the area median income. Points will be considered for the following percentages of units affordable to and occupied by residents whose incomes are at or below 50 percent of area median income:

<u>Percentage</u>	<u>Points</u>
>10-20%	4
>20-30%	8
>30-40%	12
>40-50%	16
>50%	20

2. Designated Populations & Supportive Services – To receive points in this category, the development will provide evidence that appropriate services will be provided for the entire resident population for the duration of the compliance period. Evidence consists of a supportive services plan that:

- Is specific to the development and effectively addresses the anticipated service needs of the target resident population.

General occupancy developments should deliver or coordinate services that: improve building and unit maintenance; stabilize occupancy by improving residents’ ability to uphold their lease obligations; and enhance quality of life through increased self-sufficiency and programs that improve life skills, employment, education, income/asset building, child and youth development, community building, and access to services.

Senior occupancy developments should deliver or coordinate services that: stabilize occupancy by improving residents’ ability to uphold their lease obligations throughout the aging process and enhance quality of life through improved access to services and benefits, health promotion, community building, and socialization.

Developments for populations with special needs should deliver or coordinate services that stabilize occupancy by improving residents’ ability to uphold their lease obligations and enhance quality of life through improved access to services that support the needs of the targeted population.

- Includes sufficient funds to implement the described plan of services. It is recommended that this funding be set aside in a supportive services escrow account. However, funding through the development's annual operating budget, collaboration with a community-based service provider (include letter of intent or Memorandum of Understanding) or funds from other identified sources may be used. If currently committed funds fall short of the cost of services for at least the first fifteen year period, identify how services will be funded for the remainder of the compliance period.
- Utilizes a service provider/coordinator with the capacity to implement described plan of services. The recommended minimum is one hour of on-site dedicated staffing per week for every five units. Services staff should have access to a computer with Internet and email capabilities. There should be sufficient space to carry out the described services, including adequate office and community space.

Satisfactory completion of the above three factors are the minimum requirements for 5 points. Demonstrated commitment of sufficient funds for at least 15 years and meeting or exceeding the recommended minimum on-site staffing may result in an additional 5 points.

Confirmation from the service provider regarding the availability of applicable services at initial occupancy of the development will be required prior to issuing the IRS Form 8609. To ensure the continued provision of supportive services, the Restrictive Covenant Agreement will reflect such commitment.

3. Accessible Units – Consideration may be given to developments where the developer agrees to provide twice as many fully accessible units as are otherwise required (under local, state, or federal mandate, whichever is greater) in the development. All employee units and market rate units must be included in the total unit count when calculating the required number of accessible units. The developer must certify that these units are accessible and that, during initial lease up, the developer will exclusively reserve the units for occupancy by persons needing the accessible units for the first thirty days. Thereafter, the developer will include certain provisions in the lease to allow the units to be occupied by persons who need the accessible features of the units, to the greatest extent feasible. Evidence of enforcement of the lease provisions will be required and implementation and adherence to additional outreach programs to identify and match qualified residents who need the accessible features within the development may be required throughout the compliance period which may include contacting the Agency prior to renting the unit to persons who do not require the accessible features in accordance with the Agency's Accessible Unit Policy.

Terms addressing the accessible units and the subsequent rental of these units will be incorporated in the Restrictive Covenant Agreement. In addition, a certification from the design architect verifying the inclusion of the accessible units in the development will be required at the time of application. Confirmation from the construction contract administration architect will be required with the submission of the cost certification documents. For preservation developments, consideration will be given for points under this category if the development increases the number of fully accessible units which meet current standards in the development by at least 5 percent of the total units available. If an existing development already has twice the federal minimum number of accessible units that meet current accessibility standards, they will be eligible to receive points in this category. (All other requirements applicable to rental and long term occupancy of these units are the same.) (Ten (10) points)

4. Large Families – Up to ten (10) points may be awarded for those developments providing units with three or more bedrooms for large families. High rise developments and senior housing cannot qualify for this category. Points will be considered for developments that include the following percentages of units with three or more bedrooms:

<u>Urban</u>		<u>Suburban/Rural</u>	
<u>Percentage</u>	<u>Points</u>	<u>Percentage</u>	<u>Points</u>
>15-20%	6	>10-15%	6
>20-25%	8	>15-20%	8
>25%	10	>20%	10

A certification from the design architect verifying the number of large family units in the development will be required at the time of application. Confirmation from the construction contract administration architect will be required with the submission of the cost certification documents. For developments not requiring the services of an architect, the certifications may be provided by the general contractor.

D. Development Process

30 points

1. Noncompliance – The Agency may deduct up to ten (10) points from the score for proposals involving either an Applicant (or any related entity) that owns a managing or controlling interest in a Pennsylvania Tax Credit development or a management agent of such development who has unresolved IRS Form 8823 noncompliance issues, has not met the requirements of the Restrictive Covenant Agreement, has failed to submit a timely Placed-in-Service/Cost Certification package which resulted in a loss of Tax Credits to the Agency, or failed to meet the selection criteria for which an allocation of Tax Credits was made.
2. Development Team – Material Participation of Minority, Women’s and Veteran’s Businesses – The Agency may award up to ten (10) points for material participation in the development team by a minority-owned business, woman-owned business, veteran-owned business or service-disabled veteran-owned business which meets eligibility criteria of the Small Diverse Business Program (“SBD”) operated by the Department of General Services. A non-profit entity is eligible to receive points as an Owner/Developer or Management Agent if a minimum of fifty-one percent (51%) of the members of their board are minorities, women or veterans as evidenced by the non-profit’s organizational documents. Furthermore, the Agency encourages business opportunities for new or underutilized small diverse businesses in the development team.

<u>Firm/Entity</u>	<u>1%-4.99% of Total Development Cost</u>	<u>≥5% of Total Development Cost</u>
Professional Services	1 point	2 points
General Contractor	1 point	2 points
Sub-Contractors/Vendors	1 point	2 points

<u>Firm/Entity</u>	<u>Points for Participation</u>
Owner/Developer	3 points
Management Agent - (Minimum 2 year contract)	2 points

3. Ability to Proceed – Points may be awarded for zoning and committed funding sources. As the Agency strives to make resources available to those projects which can quickly and effectively utilize its resources, consideration will be given to those properties which can demonstrate the ability to proceed. A total amount of 20 points may be awarded in this category.

- Zoning (up to ten (10) points)
 - Up to five (5) points will be available for developments which demonstrate that current zoning is in place to allow for the proposed construction or rehabilitation on all sites included in the Application, to the satisfaction of the Agency. Consideration of points in this category will be given to those developments which provide evidence that all variances and special exceptions will be in place on or before November 11, 2016. Failure to submit evidence of full zoning approval by said date may result in negative ranking points assessed to future Applications.
 - Up to ten (10) points will be available for developments that provide evidence that zoning is in place for all sites included in the Application and that all variances/special exceptions have been approved.
- Commitment of Funds (Up to ten (10) points) – The developer must provide evidence, satisfactory to the Agency, that all funding commitments from public and private lenders have been secured. A minimum level of funding as determined by the Agency based upon availability in both Participating Jurisdictions and Non-Participating Jurisdictions will be required for consideration in this category. Evidence of said commitments shall include a firm commitment of funding and shall set forth the terms and conditions of said funding. Points will be awarded as follows:
 - Inclusion of Private Capital and Soft Debt Funds – The Agency may award up to eight (8) points for the inclusion of permanent amortizing debt and soft financing which may include financing from state or local programs, nonprofit organizations, private capital, and permanent funding from foundations and/or federal programs. This category includes equity from historic tax credits and land and/or building donation (subject to verification by a current appraisal). This category does not include a PennHOMES or PHARE Program request that has not been approved. Applications with a donation or a reduction in development-related fees (i.e., tap-in, impact, recreational and/or other development rights by the local government unit/municipality) may also be included. The reduction must be measurable and based upon an existing fee schedule that applies to all developments.

Comparison will be made between total qualifying soft financing and total development costs, with possible points granted as follows:

Participating Jurisdiction Percentage	Nonparticipating Jurisdiction Percentage	Points
5-10%	2-5%	2
>10-20%	>5-10%	4
>20-30%	>10-20%	6
>30%	>20%	8

- Inclusion of Assumed Debt on Preservation or Related Party Financing – The Agency may award up to two (2) points for the existing debt on preservation projects or related party financing on new or substantial rehabilitation projects as follows:

<u>Percentage</u>	<u>Points</u>
≥10-30%	1
>30%	2

- Inclusion of Project Based Unit Subsidy – The Agency may award up to two (2) points for the inclusion of Project Based Section 8 assistance or ACC subsidy for at least fifty percent (50%) of the units in the development.
- Evidence of Tax Abatement – The Agency may award up to one (1) point for developments that provide evidence of receipt of a real estate tax abatement from the municipal taxing authority.

E. Development Cost Savings

10 points

The Agency may award up to ten (10) points to Applications which demonstrate costs less than the median total development costs of the total Applications submitted. The Agency will determine the median total development cost per square foot (less the cost of acquisition, reserves and commercial space) and will award points based on certain ranges as stated below. Preservation Applications and those located in Philadelphia will not be included when determining the median costs in a cycle. The Agency will award points to Preservation and Philadelphia Applications as they compare against each other. For all other developments, the Agency will award points based upon the construction type: single family/townhouse, multi-story multifamily buildings, and adaptive re-use buildings as they compare against each other. In addition to submission of certifications that the building as designed and as constructed will meet/meets all labor and material standards set forth in applicable local or statewide codes (without sacrificing unit size and other building amenities), the Agency reserves the right to require additional certifications from local officials or building design professionals prior to the issuance of an IRS Form 8609 for the building or to conduct its own site visits during construction to ensure that the quality of construction is not compromised by cost savings.

<u>Percentage Below Median Total Development Cost</u>	<u>Points</u>
At least 10%	5
≥15%	10

Total Points Available

145 points

PENNSYLVANIA HOUSING FINANCE AGENCY

REHABILITATION STANDARDS

Sections taken from the Architectural Submission Guide of the Tax Credit Application Kit

Developments receiving Feasibility Approval after January 1, 2016 must follow these standards.

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.

Developments receiving a PHFA loan must comply with these standards.

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. ***All work indicated on the officially executed construction contract documents including addenda at the time of loan closing is the minimum that will be accepted in the field. Any value engineering agreements reached between the Owner, Architect and/or the Contractor that do not appear on the aforementioned closing documents or addenda will not be recognized or accepted by PHFA as part of the work. PHFA will be enforcing the officially executed loan closing documents without exception. No changes resulting from any such value engineering agreements is eligible for funding from the construction contingency. Any and all work performed during construction operations must comply with underwriting threshold criteria as well as criteria for which ranking points were awarded.***

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TAB 1 PHFA POLICIES AND PROCEDURES

DEFINITIONS

Preservation Developments – Existing affordable housing stock that has come to a point in its life where it is in need of moderate or substantial renovation or is in danger of converting to market rate housing. The Agency wishes to preserve this housing as affordable and will provide funding to perform the renovation work necessary to give the buildings a new lease on life for a minimum of 20 years.

Substantial Rehabilitation – Conversion of an existing structure from its original use to housing. This can also be called adaptive reuse. Existing buildings used for housing may be defined as substantial rehabilitation if the building is being completely gutted and/or reconfigured. The Agency reserves the right on a case-by-case basis to decide if the Scope of Work proposed qualifies as substantial rehabilitation.

Moderate Rehabilitation – Complete replacement of two or more major components of an existing building used for housing. Components can include boilers, windows, finishes, kitchen cabinets, appliances, bathroom fixtures, etc. The Agency reserves the right on a case-by-case basis to decide if the Scope of Work proposed qualifies as moderate rehabilitation.

Renovation – Partial replacement of components in an existing building used for housing. Components can include boilers, windows, finishes, kitchen cabinets, appliances, bathroom fixtures, etc. The Agency reserves the right on a case-by-case basis to decide if the Scope of Work proposed qualifies as renovation.

SECTION 1.01
OUTLINE FOR TECHNICAL SERVICES PROCESSING

1.01.1. PRE-FEASIBILITY (Initial Site Inspection) – (Conducted by PHFA personnel and the Sponsor’s Development Team at the site visit.)

- A.** Technical overview of site(s) for new construction and/or site(s) and structure(s) for rehabilitation developments including, but not limited to:
1. Availability and location of existing utilities (electric, gas, water, sewage, etc.).
 2. Appropriateness of site topography for the proposed development.
 3. Access to site.
 4. Potential and existing environmental hazards.
 5. Structural adequacy and suitability for adaptive re-use for existing structures proposed for rehabilitation.
 6. Compatibility with existing neighborhood.
 7. Study Accessibility/VisitAbilitycm* issues.

1.01.2. ARCHITECTURAL SUBMISSION REVIEWS – 3 Stages

- A.** Separate drawings must be submitted for the site, architectural, structural, mechanical, plumbing, and electrical work for each submission.
- B.** The use of notes, cross-referenced by number or letter designation, will not be accepted unless they are on the same page as the drawings.
- C.** When responding to the Technical Services review letters, a written response is required as well as making the necessary changes to the drawings and specifications.
- D. Schematic Submission Review** – including, but not limited to:
1. Schematic Site Plan, Floor Plans, Elevations, Typical Wall Section and Outline Specification
 2. Schematic Design Construction Cost Estimate (use form provided).
 3. Schematic Design Requirements Checklist.
 4. The Schematic Review may be waived, at the discretion of the Technical Services Division, if adequate information is submitted with the Application.
- E. Design Development Submission Review** – including, but not limited to:
1. Design Development Drawings and Specifications (90-100% complete Contract Documents).
 2. Estimated Utility Costs.
 3. PHFA Checklists: (1) Development Requirements, (2) Development Security and Maintenance, (3) Site Utilities, (4) Mechanical, (5) Electrical, (6) Development Tabular Schedule.
 4. Design Development Construction Cost Estimate (use form provided).
 5. Survey, Surveyor’s Report and Legal Description.
 6. Contractor’s Qualification Statement (AIA Form A305) and description of previous experience if not included in the Application.
 7. Subsoil Investigation Report.

8. Structural Engineer's Report (for rehabilitation developments only, this requirement may be waived upon request depending on the state of the building to be renovated).

F. Contract Document Submission Review – including, but not limited to:

8. Contract Drawings and Specifications – 100% complete.
9. Any unresolved or outstanding items from previous review stages.
10. Final Construction Cost Breakdown – based on 100% completed Drawings and Specifications (use form provided).

NOTE: At each stage, a review letter is sent to the Architect with copies to the Sponsor and the PHFA Housing Development Officer.

1.01.3. INITIAL LOAN CLOSING

- A. A Closing date will be scheduled by PHFA legal staff after a loan commitment has been granted.
- B. Drawings and Specifications must be signed by the Owner, Architect, Contractor, and other parties if applicable (e.g., Housing Authority for moderate rehab developments). A minimum of two (2) sets of hard copies and one (1) electronic copy (PDFs on a CD) of all closing Contract Drawings and Specifications including any Addenda and Value Engineering Lists are required.
- C. Copies of Building Permit, Insurance Certificates for Architect and Contractor, Final Construction Cost Estimate, Architect's Certification, and Architect's Accessibility Certification must be provided.

1.01.4 CONSTRUCTION PHASE

- A. The construction of the development is monitored by the Technical Services Representative for conformance to Drawings and Specifications, general quality of construction, and percentage of completion in relation to the construction schedule and monthly draws.
- B. Shop Drawings, Catalog Cuts, and Field Change Orders are reviewed by the Technical Services Representative assigned to the development and PHFA's Architects and Engineers as appropriate.

SECTION 1.02
ACCESSIBILITY REQUIREMENTS

Design and Construction of all PHFA developments must conform to *the Fair Housing Amendments Act of 1988*, the *Pennsylvania Uniform Construction Code* and *Section 504 of the Rehabilitation Act of 1973*, as amended.

The site, building(s), and dwelling units must conform to the *Uniform Federal Accessibility Standards (UFAS)*, the *ANSI A117.1-2009*, and/or the 2010 ADA Standards for Accessible Design, as applicable.

The Owner and Architect of the development shall be responsible for the design of the development to meet all applicable accessibility requirements. The following is not intended to include all requirements for meeting accessibility design requirements, and PHFA does not intend the use of this information to be construed as the only accessibility requirements that must be met.

1.02.1. SECTION 504, ANSI A117.1-2009, AND UNIFORM FEDERAL ACCESSIBILITY STANDARDS REQUIREMENTS

For developments with federal funding and subject to the Uniform Federal Accessibility Standards (UFAS), note that HUD allows conformance with the 2010 ADA in lieu of UFAS, with a few limitations (see <http://nlihc.org/article/alternative-accessibility-standards-issued> for details).

A. New Construction

2. A minimum of 5% of the total dwelling units (or at least one unit) must be accessible by persons with mobility impairments.
3. An additional 2% (or at least one unit) must be accessible by persons with hearing or vision impairment.

This must include the following at a minimum:

- a. Strobic visual signal wired to the dwelling unit smoke detectors, visible in all rooms of the dwelling unit including the bathroom.
 - b. Strobic visual signal wired to the central fire alarm system (if one is required by code), visible in all rooms of the dwelling unit including the bathroom. This signal must be distinguishable from that in paragraph "a", above.
 - c. A doorbell at the dwelling exterior or corridor entrance door with a visual signaling device.
 - d. TTY capable telephone in the unit.
 - e. In buildings with a common entrance, a means for a hearing impaired individual to identify visitors without leaving his/her dwelling unit.
4. For Items 1 and 2, Federal, State or Local Authorities may prescribe a higher percentage or number upon request by an affected recipient or by a State or Local Government Agency or Authority. Certifications made in the application may increase the number of units required under Item 1.
 4. Building(s) and site facilities provided for the use of the tenants must be accessible to persons with disabilities. Parking spaces must be provided for mobility impaired tenants and visitors. The parking spaces must be designed in accordance with the Uniform Federal Accessibility Standards, ANSI A117.1-2009 and ADA. A minimum of 5% of the parking spaces (no less than two spaces) must be designed for persons in wheelchairs. If parking spaces are provided for each unit, accessible spaces must be provided for each accessible unit.
 5. The accessible dwelling units must be distributed throughout the building(s) and site in a sufficient range of sizes and amenities to allow a choice of living arrangements for persons with disabilities, generally comparable to that of other persons.

6. In accordance with ANSI A117.1-2009, an accessible route shall be provided to all bedrooms in accessible units.

B. Rehabilitation – General

2. If the development contains 15 or more dwelling units and the cost of alterations is 75% or more of the replacement cost of the completed development, the New Construction Requirements (Section A above) apply.
3. Otherwise, alterations shall be made to be readily accessible to and usable by individuals with disabilities. Once 5% of the units in a development are readily accessible and usable, no additional dwelling units or portions thereof are required to be made accessible, unless otherwise certified in the application.
4. Alterations to common areas or parts of facilities that affect accessibility of an existing development are required if it does not impose undue financial and administrative burdens on the operation of the development.
5. Rehabilitation developments shall strive to meet the requirements of the Fair Housing Act, to the greatest extent possible.

C. Rehabilitation – Historic Buildings – (Buildings listed or eligible to be listed in the National Register of Historic Places or similarly listed pursuant to a State, County, or Local statute or ordinance).

1. The requirements of Section B above apply unless it can be documented (e.g., by the *State Historic Preservation Office*, or other jurisdictional authority) that providing accessibility would substantially impair the historic features of the property or result in undue financial and administrative burdens. Documentation must be submitted to PHFA.
2. For developments containing 15 or more dwelling units where the cost of alterations is 75% or more of the replacement cost of the completed development and a historic designation precludes providing accessibility for persons with disabilities (e.g., ramps for wheelchairs), two percent (2%) of the dwelling units must be designed to be accessible and usable by persons with hearing or vision impairments. The number of units may be increased if indicated by need assessments conducted by local bodies.

It is the responsibility of the design professionals to design the development to meet the most restrictive requirements of all disability guidelines and codes applicable to the development.

D. Preservation Developments

1. Preservation developments are encouraged to modify at least 5% of the dwelling units to meet the current accessibility standards and provide adaptable and visitable features wherever possible.

1.02.2. PHFA SUPPLEMENTAL ACCESSIBILITY REQUIREMENTS – Supplement to the Uniform Federal Accessibility Standards, ANSI A117.1-2009 and Section 504.

A. Dwelling Units & Common Areas Designed for Mobility Impairments:

1. A full width kick plate must be provided on both sides of all exterior entrance doors, all unit entrance doors, and all common area doors that permit tenant access.
2. Wall corner guards (textured, vinyl 1-½" X 1-½" minimum) must be provided at all outside wall corners in all common areas.
3. All developments must be designed with 5% minimum accessible units and an additional 2% minimum hearing/vision impaired units.
4. All accessible units shall conform to the requirements for ICC/ANSI A117.1-2009 "Type A Units", with the following provisions:

- a. A full width kick plate must be provided on both sides of all interior doors that permit passage and on one side of all other doors.
- b. Wall corner guards (textured, vinyl 1-½" X 1-½" minimum) must be provided at all outside corners within accessible units.
- c. Grab bars must be installed at all required locations
- d. A minimum of 50% of the accessible units shall include a bathroom with an accessible shower. (Not applicable to dwelling units in general occupancy developments with only one bathing fixture). All accessible showers shall have a maximum curb height of ½". The remaining accessible units may have an accessible bathtub/shower. A removable seat, as shown in ANSI Figure 610.2, shall be provided in all accessible tub/showers. (The above information is recommended but not required on preservation developments)
- e. All bathrooms with ½" curbed showers shall have a floor drain provided in the bathroom floor outside of the shower.
- f. Accessible showers must be provided with a folding seat firmly secured to the shower walls, shower controls and a hand held shower head within reach of the seat and a compressible dam at the shower entrance threshold.
- g. Shower heads and mirrors in accessible units shall be mounted to permit use by those with mobility impairments and those without.
- h. Due to the requirement for knee space beneath the kitchen sink and work counter, and the minimal accessibility of wall cabinets, adequate accessible storage space must be provided in kitchens by means of additional base cabinets or pantry cabinets/closets.
- i. Removable kitchen base cabinets may be installed at the areas requiring knee space. These cabinets must be removable without disconnection of any plumbing lines. The walls, floor and sides of adjacent cabinets must be finished and wall base installed during the initial construction.
- j. Protection on drain and water piping beneath kitchen sinks and bathroom lavatories must be installed, even if removable cabinets are installed at these locations.
- k. Refrigerators should be located to allow doors to open 180 degrees.
- l. A 30" work surface with knee space (or removable cabinet) beneath must be provided beside the oven in all accessible kitchens.
- m. All bedrooms in an accessible unit must be accessible. Accessible bedrooms must have a minimum 30" access aisle on both sides and at the foot of the bed. The primary bedroom must accommodate a queen size bed. All other bedrooms must accommodate a twin size bed.
- n. At the exterior entrance to an accessible, adaptable or visitable unit, an overhang or porch roof is required to protect the entrance door from rain and snow.
- o. A minimum of (1) accessible parking space must be provided for visitors.

B. VisitAbilitycm*:

- 1. All developments should be designed implementing "VisitAbilitycm*" access methods to the greatest extent possible. See *Section 1.09, VisitAbilitycm* Guidelines*, of this TAB.

The **UNIFORM FEDERAL ACCESSIBILITY STANDARDS** (UFAS) may be obtained from the Architectural and Transportation Barriers Compliance Board, Washington, D.C. 20202, 1-800-872-2253.

The **2010 ADA Standards for Accessible Design** may be obtained on the Department of Justice ADA website (www.ADA.gov).

The **ICC/ANSI A117.1-2009 STANDARDS** can be obtained from the American National Standards Institute, Inc., 11 West 42nd Street, New York, NY 10036, (212) 642-4900.

SECTION 1.03
PROFESSIONAL FEE SCHEDULE

1.03.1 Architect's Fees

The maximum allowable Architectural Fees for both design and construction administration are computed as a percentage of the "improvement cost" of the development. "Improvement Cost" is defined as the sum of the subtotal for structures and includes overhead and profit, general requirements, site work, payment and performance bonds and contingency funds. The exact amount of the allowable fee must be determined by interpolation based upon the following chart. The design fee shall not exceed 75% of the total fee; the construction contract administration fee shall not be less than 25% of the total fee. For Applications following the construction management form of product delivery, the same fee breakdown must be followed. For Applications with a separate Landscape Architect, the combined fee is subject to the limitations set forth below. Job conferences must be held a minimum of once every two weeks. When not needed, job conferences may be canceled with approval of the Owner, Architect and PHFA representative. All reimbursable expenses must be included in the Architect's fee.

TOTAL CONSTRUCTION COST (Including Contingency)	REGULAR DEVELOPMENTS	COMPLEX DEVELOPMENTS	SUBSTANTIAL REHAB DEVELOPMENTS
\$ 100,000	9.50	10.00	10.50
1,000,000	7.31	7.53	7.91
3,000,000	6.57	6.72	7.01
5,000,000	6.04	6.19	6.50
7,000,000	5.50	5.65	5.93
10,000,000	4.83	4.98	5.23
15,000,000	4.63	4.78	5.02
20,000,000	4.42	4.59	4.82
25,000,000	4.27	4.46	4.68
Over 25,000,000	To be negotiated and approved by PHFA		

Professional fees must be based on the construction cost budget established and submitted with the Application, including contingency funds.

"Regular Developments" is defined as townhouses, walk-up flats, cottages, duplexes and single family homes.

"Complex Developments" is defined as low-rise, mid-rise, high-rise, elevator buildings and buildings with central heating and hot water heating systems, etc.

“Substantial Rehabilitation Developments” is defined as buildings that are being converted from another use into housing or a major renovation/rehabilitation of an existing building currently used for housing.

Preservation Developments will typically be considered “complex developments”; however, the Agency reserves the right to adjust the Architect fee for these projects based upon the Scope of Work associated with the development and the services being provided.

The architect is responsible for the production of Drawings and Specifications for all architectural, structural, interior design, mechanical, plumbing, sprinkler and electrical work as required by the AIA B-101 or B-108 and Agency Addendum to the same, and AIA Document A201 as amended by *Agency Supplemental General Conditions*. (See TAB 3 for the Agency Addenda) Contract administration duties shall include site visits at a minimum frequency of once every two weeks.

Design-Build contracts are not allowed.

The Agency may consider increased fees for additional services such as energy conservation consultant’s certification, historical reviews and approvals, detailed or extensive conditions surveys.

Professional fees for site development must be established by a separate prime contract between the Civil Engineer and the Owner. The Architect and Civil Engineer must fully and completely coordinate their design work and documents. During construction, the Civil Engineer must make site visits as needed and be present at each monthly pay-out meeting where payment for site work is requested. Civil Engineer professional fees must include fully executed Land Development Planning Documents approved by the governing municipality and Construction Documents at sufficient detail to construct the development in conformance with the approved Land Development Plan and PHFA requirements.

1.03.2 Engineering Fees

On new construction developments, civil engineering fees shall not exceed 20% of the total of Sitework and Offsite Improvements costs listed on the Construction Cost Estimate and the Development Budget in the Multifamily Housing Application. Higher fees may be allowed by the Agency if a waiver request is submitted with a detailed justification for the increased fee.

SECTION 1.04

PROFESSIONAL FEE RETENTION

1.04.1. DESIGN

- A.** The Design Architect, Construction Administration Architect, Construction Manager, Landscape Architect and other professionals (if any) will have 2½% of their fee (but not less than \$1,600) retained at Initial Closing.
 - 1. If PHFA is satisfied with the performance of the design professionals at the end of the construction period, the retainage will be paid. Acceptable and complete Record (As-Built) Drawings and all maintenance and operating manuals must be in the possession of the Owner and PHFA before payment will be made.
 - 2. One thousand six hundred dollars (\$1,600) will continue to be withheld from the Construction Administration Architect’s Fee to be used to pay for their attendance at Quarterly Guarantee Meetings.
 - 3. The Construction Administration Architect’s or Construction Manager’s \$1,600 retainage will be paid in installments specified under TAB 5 of this *Guide* after acceptable completion of each of the required guarantee meetings. The Construction Administration Architect or Construction Manager must invoice PHFA after each quarterly guarantee meeting to receive payment of the retainage.

SECTION 1.05
ELEVATOR POLICY

Elevators must be provided in PHFA-funded developments under the following conditions:

1.05.1. AN ELEVATOR IS REQUIRED IF:

- A. General Occupancy Developments** – The building is 4 stories or greater in height.
- B. Elderly Developments** – The building is 2 stories or greater in height.

1.05.2. A SECOND ELEVATOR IS REQUIRED IF:

- A. General Occupancy Developments** – The development is 5 stories or greater in height **and** 50 or more bedrooms are located on and above the fourth story.
- B. Elderly Developments** – The development is 3 stories or greater in height **and** 30 or more bedrooms are located on and above the second story.

NOTES:

1. For purposes of this policy, a story shall be any floor in a building that contains a dwelling unit or common area for the use of the tenants. The lowest level with units or common areas will be considered the first floor.
2. For all developments with more than one elevator, it is recommended that one elevator be connected to an auxiliary generator.
3. For elderly developments, at least one elevator must be large enough to accommodate a stretcher (i.e., 5'-8" ± X 7'-3"±). Submit information confirming a stretcher will be accommodated by the elevator.
4. For elderly developments, adequate space for seating must be provided at lobby and hallway areas directly adjacent to elevators.
5. A comprehensive, preventative maintenance and repair contract must be obtained through an Elevator Manufacturer's Certified Service Representative for all elevators.

SECTION 1.06
MINIMUM INSULATION STANDARDS

- 1.06.1** All developments up to three stories in height shall meet or exceed the requirements of Chapter 4, "Residential Energy Efficiency" of the *International Energy Conservation Code*, (Edition currently adopted by the PA UCC). All developments over three stories in height shall meet or exceed the requirements of Chapter 5, "Commercial Energy Efficiency" of the *International Energy Conservation Code*, (Edition currently adopted by the PA UCC).
- 1.06.2** New construction and substantial rehabilitation developments up to three stories in height shall exceed the Insulation and Fenestration Requirements of Chapter 4 of the IECC by at least 10%, as verified by submission of a REScheck certificate.
- 1.06.3** New construction and substantial rehabilitation developments over three stories in height shall exceed the Building Envelope Requirements of Chapter 5 of the IECC by at least 3%, as verified by submission of a COMcheck certificate.
- 1.06.4** All piping and heating/cooling ductwork must be located within the conditioned space, (i.e., on the dwelling unit side of the air barrier on the interior of the exterior wall and roof/ceiling assemblies).
- 1.04.5** Blown-in type insulation will be checked for proper depth/thickness at the Final Guarantee Meeting. Should the required total depth/thickness of the insulation at that time be found less than that which is specified, the Contractor must provide additional insulation in order to satisfy the requirements at no additional cost.

- 1.06.6 All roof trusses with insulation located along the bottom chord of the truss shall be “energy” or “raised heel” trusses which allow for the roof/ceiling insulation R-value to remain consistent to the face of the exterior wall.
- 1.06.7 All interior basement wall insulation shall be foil-faced rigid foam insulation board rated for an exposed installation, or unfaced rigid foam insulation board covered with gypsum board, plywood, OSB, etc. per code. All joints in the insulation board shall be air sealed. Fiberglass or cellulose insulation will not be allowed.
- 1.06.8 Rim joists shall be air sealed and insulated with unfaced rigid foam insulation with edges sealed with closed cell spray foam insulation or entirely with closed cell spray foam insulation.
- 1.06.9 The foundation insulation at all slab-on-grade construction shall begin at the top of the slab and extend the code required depth below grade. The top of the insulation may be beveled at a 45 degree angle per the 2009 International Energy Conservation Code.

SECTION 1.07
INSURANCE REQUIREMENTS DURING
DESIGN AND CONSTRUCTION CHECKLIST

Evidence of Insurance, per the following requirements, must be provided to PHFA before Initial Closing can take place on a development. Insurance must be placed with companies carrying a minimum A.M. BEST rating of B+ (very good) or better. The limits set forth in the Insurance Requirements Checklist are minimums required by PHFA. Parties to the development contract must individually determine if higher limits are appropriate to protect their interests.

1.07.1. OWNER INSURANCE REQUIREMENTS

The property must be insured with acceptable Property and Liability Insurance policies and meeting the requirements described below. The Named Insured in each policy must be the Owner, also known as the Partnership Name.

Evidence of Insurance must be provided to PHFA before Initial Closing can take place. Evidence may be in the form of a binder (Acord Form 75-S 2/93) or Evidence of Property Insurance (Acord Form 27) until the policy is issued. A complete original or certified copy of the policy, including coverage parts, must be provided to PHFA once it is issued.

The property must be covered by the equivalent of a Fire Policy endorsed to include all the extended coverage perils, plus vandalism, malicious mischief, theft, or other broad form perils. In addition, the policy must include the following:

- ___ **A.** The Named Insured of the property must be Owner, General Contractor, and any Subcontractors, as their interest may appear.
- ___ **B.** Builder’s Risk Coverage – completed value form.
- ___ **C.** All Risk or Special Coverage.
- ___ **D.** Standard Mortgagee Clause naming “Pennsylvania Housing Finance Agency” as Mortgagee. *Note – For all FHA INSURED LOANS; the Federal Housing Administration must also be listed as Mortgagee on property policies.*
- ___ **E.** Building Coverage to be carried at 100% of completed value. *The Contractor and Subcontractors are responsible for insuring stored materials not permanently incorporated into the development.*

- ___ F. Property deductible of \$10,000 or less. Insurance policies with deductibles greater than \$10,000 must include proof of a self-insured retention fund established for the payment of property deductibles.

Examples of proof: (a) Trust Fund Agreement that includes payment of property deductible; (b) Third-party Administrator (TPA) Agreement or Insurance Company Agreement with specific funds contractually set aside for deductible; (c) Self-Insurance Surety Bond in an amount approved by PHFA.

In no event may development operating funds be used to fund the self-insured retention fund.

- ___ G. Business Income Coverage (rental value) for 100% of annual projected rental value.
- ___ H. Permission for Partial Occupancy Endorsement is required for developments that are to be staged, have scattered locations, or multiple buildings.
- ___ I. An endorsement that states in the event of cancellation, reduction in coverage, or non-renewal, that a 60-day written notice will be sent to the Mortgagee (PHFA) and General Contractor.

If a development is occupied by tenants during the entire construction period, in addition to all of the above, the following are also required:

- ___ J. Acknowledgment on the policy that *“the Insurance Company hereby acknowledges that the building(s) is/are under renovation”*.
- ___ K. Replacement Cost Endorsement.

1.07.2. OTHER REQUIRED COVERAGE WHERE APPLICABLE

- ___ A. Contents Coverage (lobby and office furnishings) where applicable.
- ___ B. Flood Insurance – If the property is located in a 100-year flood zone, flood insurance must be purchased and evidence submitted to PHFA.
- ___ C. A general Boiler and Machinery Policy is required where steam boilers, pipes, turbines, engines, or other pressure vessels are in operation on the property. The policy must be in an amount equal to 100% of the full replacement cost of the building(s) housing the equipment. The coverage must be comprehensive. Named Insured to include Owner and Contractor.
- ___ D. Mine Subsidence/Earthquake Insurance is required on those properties in areas that are prone to the exposure.

1.07.3. COMMERCIAL GENERAL LIABILITY INSURANCE - OWNER

- ___ A. Commercial General Liability Insurance is required with a minimum limit of \$1,000,000 per occurrence and \$2,000,000 general aggregate per location (CG 2504). Liability coverage must provide for claims to be made on an occurrence basis.
- ___ B. PHFA named as Additional Insured as Mortgagee, Assignee, or Receiver.
- ___ C. Business Automobile Liability – *ONLY for developments with development-owned vehicles*. Minimum limit of \$500,000 per accident for bodily injury and property damage, including coverage for hired and non-owned autos.
- ___ D. Umbrella (Excess) Liability – Necessary amount of coverage to increase general liability aggregate limits to a minimum of \$2,000,000. Follow form coverage to apply.
- ___ E. Garage Keeper's Legal Liability – *ONLY if garage facilities are provided with the property or attendants are employed for outdoor parking facilities*.

1.07.4. GENERAL CONTRACTOR INSURANCE REQUIREMENTS

Certificate of Insurance indicating a minimum of the following categories:

- ___ **A.** Commercial General Liability specific to the development including: (1) premises and operations, (2) product/completed operation with permission for partial occupancy, (3) personal injury, (4) contractual liability (5) explosion, collapse and underground hazards coverage – Minimum limit of \$1,000,000 per occurrence and \$2,000,000 aggregate liability per development (CG 2503). Coverage must provide for claims to be made on an occurrence form.
- ___ **B.** Business Automobile Liability - \$1,000,000 minimum limit per accident for bodily injury and property damage.
- ___ **C.** Workers' Compensation – Statutory limits.
- ___ **D.** Umbrella (Excess) Liability – Necessary amount of coverage to increase underlying general liability aggregate limits to a minimum of \$2,000,000. Follow form coverage to apply.
- ___ **E.** Owner, Architect, Architect's Consultants, PHFA, and agents and employees of any of these entities, named as Additional Insured for this development on General Liability and Umbrella policies.
- ___ **F.** All Risk Property Coverage for on-site stored material that is not the property of the Owner and not permanently incorporated into the development.
- ___ **G.** Certificates must indicate Owner and PHFA as the Certificate Holder.
- ___ **H.** Certificates must include a 60-day Notice of Cancellation or Nonrenewal to Owner and PHFA.

1.07.5. ARCHITECT'S INSURANCE REQUIREMENTS

A Certificate of Insurance is required with PHFA listed as the certificate holder. A 60-Day Notice of Cancellation is required, and the following coverage:

- ___ **A.** Architects Professional Liability Insurance in an amount no less than \$1,000,000 per claim. The policy must be kept in place for one year following construction completion. (Applies to design and contract administration architects)

SECTION 1.08 **VISITABILITY^{CM*} GUIDELINES**

VisitAbility^{cm*} is a design criteria that affords all persons basic access to residential buildings. The VisitAbility^{cm*} standard is lower than full accessibility. Therefore, VisitAbility^{cm*} is not the same as Americans with Disabilities Act (ADA) compliant accessibility. ADA compliant dwellings will automatically be VisitAble; however, VisitAble dwellings are not necessarily ADA compliant.

All newly constructed single family houses, townhouses, units in elevator buildings, and all ground floor units in walk-up apartment buildings shall be visitable. Rehabilitation developments should strive for 100% visitability, but a minimum of 25% of the units shall be visitable, unless it is unfeasible due to structural or other existing conditions that cannot be readily corrected.

1.08.1. DESIGN FEATURES

- A. Zero-Step Entrance** – For a unit to be VisitAble, it must provide at least one zero-step entrance with a 36" wide door. A zero-step entrance is one with no step at the exterior door and with less than 1/2" difference between the inside and outside surfaces, or with a threshold with less than a 1/2" rise. When selecting sliding doors, choose those with the lowest bottom track and providing at least 32" clear opening.

The methods of achieving a zero-step entrance include consideration of grade when planning the site. Grading an accessible route flush with the entrance of a unit is typically less costly than constructing a ramp, and often less than installing steps. At the zero-step entrance to a unit, an overhang or porch roof is recommended to protect the entrance door from rain and snow.

- B. Wider Doors** – All doors, doorways and passageways on the accessible entry-level floor of a unit should be 36” wide (minimum). A 34” door will provide approximately 32” clear opening, which is marginally adequate. Wider doorways make movement of people, furniture and assistive devices such as wheelchairs, walkers and crutches safer and easier;
- C. Convenience Facilities** – A 36” clear path of travel to the bathroom or powder room and a clear floor space within the room and at the plumbing fixtures in accordance with the Fair Housing Act Design Manual is required.
- D. Grab Bars** – A 24” minimum grab bar shall be provided beside the toilet for visitability. The grab bar can be used as a towel bar in ground floor bathrooms or powder rooms and placed so they can double as grab bars for visitors who may need them. Walls behind grab bars must have reinforcement (¾” plywood or OSB over studs [preferred] or at least 2” X 8” blocking between studs). Blocking should be centered at 34” above the floor. Grab bars must be rated to hold at least 250 lbs. of static weight, stand away from the wall 1½” and be 1¼” to 1½” diameter.
- E. Accessible Routes** – Make hallways as wide as possible; 36” is the minimum (42” is preferable). Exterior accessible routes should be considered when designing the site. Care should be taken to locate VisitAble units in close proximity to access to services without congregating them together. Also, locate these units where they have easy access to neighboring units that have incorporated VisitAbilitycm* features in their designs.

* VisitAbility^{cm} is used by permission of Concrete Change.

For more information, please contact:

VisitAbilitycm* in Pennsylvania
 (c/o) Life and Independence for Today
 503 Arch Street Extension
 St. Marys, PA 15857-1779
 814-781-3050 (Voice)
 800-654-5984 (PA Relay/TTY)
 814-781-1917 (FAX)
<http://www.liftcil.org/visitability.htm>

The Center for Universal Design
 NC State University
 Box 8613
 Raleigh, NC 27695-8613
 913-535-3802 (V/TTY)
 800-647-6777
 Email: cud@ncsu.edu
www.ncsu.edu/design/cud

IMPORTANT DIMENSIONS

- 1. **Wheelchair clear floor space.....30” X 48”**
- 2. **Preferred door widths 36”**
- 3. **Typical grab bar height from floor or bottom of tub33-36”**
(Bathroom walls should be reinforced at this height for safe future installations)
- 4. **Preferred width of hallways.....42” min.**
- 5. **Maximum safe slope for a graded walk or ramp1:12**
(Requires handrails)
- 6. **Preferred slope for graded walk or ramp1:20**

SECTION 1.10
WAGE RATE DETERMINATION POLICY

1.10.1. GENERAL WAGE RATE INFORMATION

- A. Developments receiving Federal funding from any source are generally subject to the Davis-Bacon Wage Rate requirements (29 CFR §1.5 and §1.6).
- B. Developments receiving other public funds (State) may be subject to Pennsylvania State Wage Rate requirements. Federal Wage Rate requirements supersede State requirements.
- C. PHFA will monitor developments that receive Federal HOME Program funds through the Agency. If Federal funds are acquired through a Participating Jurisdiction and not through PHFA, the PJ is responsible for providing and monitoring the wage rate determinations.
- D. The Architect, Owner or Contractor must supply, in the space provided on the PHFA Design Development Construction Cost Estimate and Final Construction Cost Breakdown forms, the date of the wage rate determination used for pricing the work.
- E. The Architect must bind the printed wage rate determination into the Specifications for the job. The date on this determination must coincide with that on the PHFA Construction Cost forms.

1.10.2. FOR DEVELOPMENTS RECEIVING FEDERAL FUNDS THROUGH PHFA (Non-PJs)

- A. The Owner, Architect or Contractor shall request a wage rate determination from PHFA.
- B. If a wage determination is not used during its effective period, it is void. If it appears that a determination may expire before the "Start of Construction," a new determination shall be requested.
- C. Ninety (90) days prior to the anticipated date of the start of Construction, PHFA will issue a Davis-Bacon Wage Rate Determination to the Owner through the Compliance Officer.

For purposes of this policy, the HUD definition of "Start of Construction" shall be utilized (as may be amended or modified by HUD). "Start of Construction", as that term is used in connection with labor standards and wage requirements, means the beginning of initial site clearance and preparation, provided those activities are pursued diligently and are followed without appreciable delay by other construction activity. (www.hudclips.org 7-14)

SECTION 1.11
MODULAR HOUSING CONSTRUCTION REQUIREMENTS

The following must be met for all developments using Modular and/or manufactured building products:

- a. Submit a financial statement of both Modular Manufacturer and General Contractor for review.
- b. Modular Contractor shall be a Subcontractor to the General Contractor hired by the Owner.
- c. The contract between the Modular Manufacturer and General Contractor shall be submitted for review.

- d. Modular Manufacturer's construction drawings shall be submitted for review.
- e. A 100% payment and performance bond or an unconditional and irrevocable letter of credit in the amount of 25% of the contracts covering modular construction and site construction must be submitted.
- f. Submit Evidence of Insurance Coverage for the Modular Manufacturer (PHFA is not requiring to be named as an insured but requires evidence that the manufacturer is adequately covered).
- g. Follow normal PHFA required insurance coverage for the site construction (General Contractor).
- h. Follow normal PHFA development contingency fund requirements.
- i. Follow normal PHFA construction contingency requirements.
- j. Follow normal PHFA retention requirements.
- k. The General Contractor must fund the normal upfront modular construction deposit. The General Contractor will be reimbursed for the deposit from the Owner's equity at Initial Loan Closing.
- l. Payment (less retention) shall be made to the Modular Manufacturer when boxes are delivered and installed on foundations, made weather tight and inspected and approved by PHFA.
- m. On-site inspection and written acceptance of foundations by the Modular Manufacturer prior to delivery and installation of boxes is required.

SECTION 1.12
DESIGN ARCHITECTS CERTIFICATIONS
FOR SELECTION AND THRESHOLD CRITERIA

At the Application phase, it is not necessary for the Design Architect to have completed more than a Schematic Design for the development. Detailed amenities and features intended to be incorporated into the design need not be shown as part of the Schematic Design. The Design Architect may elect to certify that s/he has or will design the features into the development at a later date. The Developer/Applicant must also sign off on these certificates to make sure all parties are aware of the intent of the certifications and that the costs are incorporated in the construction budget.

Failure to incorporate certified features and amenities into the development construction will result in non-compliance with PHFA requirements.

A summary of all certifications made by the architect in the loan application must be included on the cover sheet of the drawings.

SECTION 1.13
ENERGY CONSERVATION MEASURES

The following are energy conservation requirements for all developments:

1. Energy Star Equipment

- a. **New Construction and Rehabilitation Developments:** All appliances, HVAC equipment with a capacity less than 60,000 btu, gas fired water heaters, windows, ceiling fans, exhaust fans, range hoods and exit signs, shall be Energy Star® labeled. (Exception: Windows in buildings over three stories in height may comply instead with ASHRAE Standard 189.1-2009) (Packaged terminal air conditioners (PTACs) and packaged terminal heat pumps (PTHPs) may only be used if it can be proven that they comply with the prescriptive requirements of Energy Star Version 3.0 for air source equipment.) In addition, 100% of the permanent room light fixtures in the dwelling units shall be equipped with compact fluorescent, LED bulbs, or high efficiency fluorescent with electronic ballasts; and 100% of the community room and common area corridor and stair lighting shall be

high efficiency fluorescent with electronic ballasts or shall utilize compact fluorescent or LED bulbs.

- b. **Preservation Developments:** Existing refrigerators more than 15 years old shall be replaced with Energy Star® labeled type. Existing heat pumps, air conditioning condensing units, and through-wall air conditioners more than 20 years old shall be replaced with Energy Star® labeled type, when such equipment exists. Existing furnaces and boilers more than 25 years old shall be replaced with Energy Star® labeled type, when such equipment exists. In addition, existing community room and common area corridor and stair lighting more than 15 years old shall be replaced with fluorescent fixtures with electronic ballasts or fixtures that utilize compact fluorescent or LED bulbs. All illuminated exit signs shall be replaced with Energy Star® labeled fixtures. Where windows are scheduled for replacement, they shall be replaced with Energy Star® qualified products, except in buildings over three stories in height, windows may comply instead with ASHRAE Standard 189.1-2009.
- c. **Developer Certification:** By signing the certification form in the loan application, the developer certifies that when existing equipment, appliances, and products are replaced, they will be replaced with Energy Star® labeled products, when such products exists.

2. Exceeding Energy Code Requirements:

- a. New construction and substantial rehabilitation developments up to three stories in height shall exceed the Insulation and Fenestration Requirements of Chapter 4 of the IECC (Edition currently adopted by the PA UCC)_by at least 10%, as verified by submission of a REScheck certificate. Trade-offs available in the REScheck software for mechanical equipment will not be allowed.
- b. New construction and substantial rehabilitation developments over three stories in height shall exceed the Building Envelope Requirements of Chapter 5 of the IECC (Edition currently adopted by the PA UCC)_by at least 3%, as verified by submission of a COMcheck certificate. Trade-offs available in the COMcheck software for mechanical equipment will not be allowed.

3. Green Building, Energy Efficiency and Sustainability Criteria: All new construction and substantial rehabilitation developments must meet the mandatory measures outlined in the 2015 Enterprise Green Communities criteria, or any subsequent updates (see www.enterprise.com/criteria in addition to the following PHFA Green Building Criteria:

- a. No piping shall be located outside of the interior finish of the insulated building envelope. (Not applicable to existing piping in preservation developments)
- b. All domestic water pipes except for PEX piping shall be insulated (Not applicable to concealed piping in preservation developments)
- c. Termite shields or borate based wood treatment shall be provided with low VOC caulking at all floor joints and penetrations to prevent insect infestation. Chemical soil treatment or bait stations shall not be used. (Not applicable to existing buildings)

SECTION 1.14

ON-LOT WELL AND SEPTIC SYSTEM REQUIREMENTS

1.14.1. WELL REQUIREMENTS

- A. Prior to Loan Commitment the Sponsor must demonstrate compliance with *PA DEP Guidelines* and *Pennsylvania's Safe Drinking Water Code* (PA Code Title 25, Chapter 109).
- B. Evidence that all Local Government requirements have been met must be submitted to PHFA. This may be achieved by submitting a copy of all permits and approvals for use of the system to PHFA. If there are no local regulations, please state such. PHFA requires that evidence be submitted indicating adequate quantity and quality of the water before the well is put into use.
- C. Design Development Site Plan must show proposed location of the well indicating all "Setbacks" and/or restricted areas.

- D. Floor Plans must include a mechanical room showing the design of the pumps, pressure tanks, filters and treatment systems, etc.
- E. PHFA recommends the Developer consult a Geologist to locate the well and assist with the process of bringing the well on line.

1.14.2. SEPTIC REQUIREMENTS

- A. Prior to Loan Commitment, the Sponsor must obtain a permit for an on-lot sewage system.
- B. Evidence that all Local Government requirements have been met must be submitted to PHFA. This may be achieved by submitting a copy of all permits and approvals for use of the system to PHFA. If there are no Local regulations, please state such.
- C. Design development site plan must show location of on-lot system.
- D. PHFA recommends the Developer consult with an Engineer specializing in on-lot septic system design.

SECTION 1.15
POLICY FOR NEW CONSTRUCTION
OF BUILDINGS IN FLOOD-PRONE AREAS

In order to avoid the loss of lives and property due to flooding, buildings proposed for construction in or near flood-prone areas must meet the following requirements:

- 1.15.1. **LOCATION** – Each site will be evaluated utilizing a Federal Emergency Management Agency (FEMA) Flood Insurance Study Map. Sites that are located within a floodway, a 100 year floodplain, or a coastal high hazard area will be rejected. Sites that are located within areas adjacent to the floodplain will be evaluated based upon their proposed elevation, occupancy and design. Sites will also be studied to determine if they would become inaccessible from dry land during flood events.
- 1.15.2. **ELEVATIONS** – FEMA Flood Insurance Studies provide Flood Insurance Rate Maps and profiles for area rivers and streams. These maps and profiles show how high the river or stream would rise at a given location under floods of various magnitudes. The lowest floor (including basements) of all proposed structures must be located at least one and one-half feet (1'-6") above the elevation of the 100-year flood at the site location. Letters of Map Amendment (LOMA) and Letters of Map Revisions (LOMR) may be issued by FEMA. Refer to www.fema.gov/fhm/otlmreg.htm for more information.
- 1.15.3. **PROPOSED OCCUPANCY** – The type of housing occupancy being proposed will be considered and the possible impact of flooding upon the residents will be assessed. Flood risk will be given special scrutiny when elderly, frail elderly or assisted living facilities are proposed.
- 1.15.4. **DESIGN** – Each proposed development will be reviewed for design features which may mitigate the impact of flooding. These include installing electrical, heating and mechanical components above expected flood levels, the anchoring of heating oil tanks, LPG tanks, and light frame buildings to prevent flotation and provision for access to and from buildings during flood events.

Questions Regarding Finding Floodplain Maps – <http://store.msc.fema.gov>

SECTION 1.16
POLICY FOR REHABILITATION OF BUILDINGS
IN FLOOD-PRONE AREAS

Buildings located in flood plains and proposed for rehabilitation will be evaluated based upon both the potential threat to health and safety and the potential for economic loss. The following criteria will be utilized:

1.16.1. LOCATION – Each site will be evaluated utilizing either a Federal Emergency Management Agency (FEMA) Flood Insurance Study Map or other authoritative floodplain delineation map for the area.

Existing Non-Residential Buildings: Developments which are located within a floodway, 100-year floodplain or coastal high hazard area are not eligible for Low Income Housing Tax Credits or PennHOMES funding.

Existing Multifamily Residential Buildings: Existing developments which are located within a floodway are not eligible for Low Income Housing Tax Credits or PennHOMES funding. Existing developments which are located within a 100 year floodplain or a coastal high hazard area will be evaluated on a case by case basis, based upon elevation, proposed occupancy and design. Sites will also be studied to determine if they would become inaccessible from dry land during flood events.

1.16.2. ELEVATIONS – FEMA Flood Insurance Studies provide flood profiles for area streams. These profiles show how high the stream would rise at a given location under floods of various magnitudes. All buildings proposed to be rehabilitated will be evaluated to determine how high a 100-year flood would rise above their lowest damageable floor and lowest living floor elevations. The potential economic loss and disruption of resident's lives will be considered. The cost of flood insurance will be included as an annual expense.

1.16.3. PROPOSED OCCUPANCY – The type of housing occupancy being proposed will be considered, and the possible impact of flooding upon the residents will be assessed. Flood risk will be given special scrutiny when elderly, frail elderly or assisted living facilities are proposed.

1.16.4. DESIGN – All dwelling units must be located a minimum of one and one half feet (1'-6") above the level of a 100-year flood and must allow egress during a flood on dry land.

Each proposed rehabilitation development will also be reviewed for design features (existing and proposed) which may mitigate the impact of flooding. These include: (1) components such as furnaces, heat pumps, water heaters, electrical panels, and transformers installed above expected flood levels, (2) specification of less damageable materials such as ceramic tile, vinyl, and masonry products, and (3) the anchoring of heating oil tanks, LPG tanks, and light frame buildings to prevent flotation.

1.16.5. INSURANCE – All buildings located within a 100-year floodplain are required to be covered by Flood Insurance.

Questions Regarding Finding Floodplain Maps – <http://store.msc.fema.gov>

SECTION 1.17

LEAD-BASED PAINT HAZARD REDUCTION POLICY

Lead is a highly toxic metal which produces a range of adverse health effects, particularly in children, infants, and unborn children. Because it was widely used as a paint pigment for years, most older buildings contain some, often undetected, Lead-based Paint Hazards (LBP). The most common definition of LBP is derived from the Department of Housing and Urban Development (HUD) and includes paint or other surface coating that contains lead equal to or exceeding 1.0 milligrams per square centimeter or 0.5 percent by weight or 5,000 parts per million (ppm) by weight.

The Federal Government through HUD has issued regulations outlining notice requirements, testing requirements and acceptable protocols for LBP Hazard Reduction Activities. These regulations have been in effect since 1992. (See the Residential Lead-based Paint Hazard Reduction Act of 1992 and accompanying regulations.)

As of June 21, 2004, new regulations became effective governing notification, evaluation, and reduction protocol, practices and standards for LBP hazards in housing receiving various forms of Federal assistances and in Federally owned residential properties. These new regulations are found at *24 CFR Part 35* and are hereinafter referred to as the “**Final Rule**”.

The Pennsylvania Housing Finance Agency (PHFA) will require compliance with all aspects of the Final Rule as well as applicable Local standards in all PHFA financed properties. Applicable laws will govern the protocol for assessing LBP hazards, providing notices to residents of affected properties, remediation methodology and practices, testing and clearance procedures, and ongoing maintenance and safety standards and practices for all LBP affected properties.

The *Final Rule* may be downloaded from the HUD webpage at www.hud.gov/offices/lead or by calling **1-800-424-LEAD**. You are urged to obtain a copy of the *Final Rule* and to review the requirements with all members of your Development Team as early as possible in the PHFA financing Application process.

You may obtain additional information on HUD’s website www.hud.gov/offices/lead and by contacting the PA Department of Labor and Industry at www.dli.state.pa.us.

Specific compliance requirements for LBP Hazard Reduction under the *Final Rule* will vary depending upon the type of property, the level of LBP hazards detected, and the nature of the reduction activity, etc. You will be responsible for all aspects of compliance with the *Final Rule*, and the Agency will require that you and your Development Team members certify to such compliance as a condition to receiving Agency financing or assistance. In addition, we urge you to consult with your Development Team to ensure that your proposed activity is compliant with all Local and State laws and regulations. Some communities have requirements governing LBP which are more stringent and restrictive than the *Final Rule*. In all instances, PHFA will require certification that you are in compliance with the most restrictive requirements applicable to the property and the proposed activity.

In addition the Environmental Protection Agency’s “Renovation, Repair and Painting” rule will apply to any residential unit built before 1978 that may house children less than 6 years old. For information, see: <http://www.epa.gov/lead/pubs/renovation.htm>.

For a comparison of the requirements between the EPA and HUD rules, see: http://www.hud.gov/offices/lead/enforcement/lshr_rrp_changes.cfm.

PHFA also encourages Owners to consider the future occupancy of the development when reviewing and planning for the implementation of LBP hazard reduction requirements. Development Owners need to be aware that change in occupancy status may ultimately trigger different LBP requirements that could impose significant financial burdens on the development. For instance, should an Owner decide to change the occupancy status from housing for older persons age 62 and older to housing for older persons age 55 and older, the new LBP hazard reduction requirements could be triggered.

1.17.1. SPECIFIC PROPERTIES IMPACTED BY FINAL RULE

Please note that, in general, each of the following types of properties will be impacted by the *Final Rule*:

- A.** Developments containing ANY building that was constructed before January 1, 1978; or
- B.** Developments involving rehabilitation, adaptive reuse or renovation of any building (or part of a building) that was constructed prior to January 1, 1978; or
- C.** Developments receiving Federal subsidy or assistance each year. (This includes properties receiving Section 8 through housing assistance payments or through resident vouchers or certificates.)

1.17.2. SPECIFIC TIMEFRAME FOR LBP HAZARD REDUCTION ACTIVITY AND PHFA PROCESSING REQUIREMENTS

The following is an outline of processing information required by PHFA during its review of a development for financing. PHFA reserves the right to require additional information as necessary at any time during the processing of a Development for financing.

- A. ALL developments seeking PHFA financing must complete the *LBP HAZARD REDUCTION SURVEY FORM*, see Page 1.51.
- B. Any property with existing occupants which has been identified to have potential LBP hazards must comply with all resident notices and temporary relocation requirements of the *Final Rule* during all phases of the PHFA Application process.
- C. All properties must submit a **Phase 1 Environmental Site Assessment** as soon as possible after Feasibility Approval is granted by PHFA. The Phase 1 Assessment must specifically address the assessment protocol and findings for LBP.
- D. If identified on the Phase 1 Assessment, a **Phase 2 Environmental Site Investigation** addressing LBP hazards must be completed (prior to Commitment) following the testing standards and protocol outlined in the *Final Rule*.
- E. If identified on the Phase 2 Environmental Site Investigation, a **LBP Hazard Reduction Implementation Plan** (Scope of Work) (See Guideform, Page 1.41), must be submitted (prior to Commitment) incorporating all *Final Rule* protocol and budgeting for insurance and safe work practices, relocation, all testing procedures and utilizing an approved trained and/or Certified LBP Entity. Such LBP hazard reduction activity specified in the implementation plan must be incorporated into the construction budget and the construction timeframe and must provide adequate time for all testing and clearance activity. Additional requirements regarding liquidated damages for delays and required posting of security during the completion of LBP hazard reduction activity may be imposed by PHFA at its discretion.
- F. **PHFA Closing Documents** will require **certification** from members of the Development Team that they have undertaken or will undertake (and that they have a continuing obligation to comply with) all necessary evaluations, notices, protocol and processing in accordance with the *Final Rule* and with any other applicable Federal, State or Local law, code, ordinance or regulation governing the treatment of LBP hazards.
- G. All LBP hazard reduction activity must be conducted by qualified workers must comply with all safe work practices and must meet all CLEARANCE CERTIFICATIONS set forth in the *Final Rule*.
 - 1. **Clearance Certification** must be provided for all LBP hazard reduction work by a qualified Lead-based Paint Inspector, Risk Assessor or Clearance Technician. Such Clearance Certification must be provided to PHFA as soon as possible after the completion of LBP hazard reduction work.
 - 2. In developments involving rehabilitation, there may be a requirement to obtain Clearance Certification after the LBP hazard reduction work is completed (prior to beginning general construction), AND again, prior to occupancy. Development Sponsors are encouraged to refer to the *Final Rule* for clarification and guidance.
- H. **A Preventative Maintenance Plan** (to be included with the management plan) must be submitted upon completion of the LBP hazard reduction work and prior to occupancy. This Preventative Maintenance Plan must:
 - 1. Be kept with the management plan on site at the property;
 - 2. Address any ongoing notice and maintenance requirements that may be required by the *Final Rule* after the LBP Clearance Certification has been issued;
 - 3. Provide ongoing management staff with a specific floor plan identifying any remaining areas of the building which may have any LBP present after Clearance Certification; and

Provide guidance to the development's on-site management staff about any ongoing notice requirements for residents that may be triggered by the Application of the *Final Rule*.

PHFA LEAD-BASED PAINT HAZARD REDUCTION SURVEY

Development Name: _____

PHFA No.: _____

1. CRITERIA THAT TRIGGER COMPLIANCE WITH 24 CFR PART 35:

- 1.1 Any of the buildings comprising the development were constructed before January 1, 1978.
- 1.2 The development is a rehabilitation, adaptive re-use or renovation of a building constructed before January 1, 1978.
- 1.3 The development receives Federal subsidy each year.

2. THE DEVELOPMENT IS EXEMPT FROM COMPLIANCE WITH 24 CFR PART 35 IF:

- 2.1 The development does not fall into any of the above criteria.
- 2.2 The occupancy of the building will be limited exclusively to persons 62 years of age and older.
- 2.3 The occupancy of the building will be limited exclusively to persons with disabilities.
- 2.4 The building is for single room occupancy tenants only.
- 2.5 The building consists of efficiency apartments only.
- 2.6 The building is certified Lead-Free by a Certified Lead-based Paint Inspector (Attach a copy of the certification).

3. EXEMPTIONS FROM 24 CFR PART 35 ARE NULLIFIED IF:

- 3.1 A resident under the age of six occupies a unit. (The occupied unit and all common areas shall comply with the *Final Rule*.)
- 3.2 The occupancy of the building is changed or will be changed from occupancy by persons at 62 years of age or older to a lower age bracket, (i.e., 55+).

Signature: _____ Date: _____

Type Name: _____ Phone.: _____

Ownership Entity: _____

GUIDEFORM
LEAD-BASED PAINT HAZARD REDUCTION
IMPLEMENTATION PLAN

(For PHFA Funded Developments)

Development Name: _____ **PHFA No.:** _____

Development Address: _____

THIS GUIDEFORM MUST BE COMPLETED AND SUBMITTED FOR ALL DEVELOPMENTS ASSISTED WITH PHFA DEVELOPMENT FUNDS AND IMPACTED BY THE NEW LEAD-BASED PAINT HAZARD REDUCTION REQUIREMENTS (24 CFR Part 35).

Consistent with the requirements specified in *Requirements for Notification, Evaluation and Reduction of Lead-based Paint Hazards in Federally Owned Residential Property and Housing Receiving Federal Assistance* (24 CFR Part 35), the development Owner will take the following steps to ensure that current and/or future tenants, especially young children, will not be exposed to the hazards of lead-based paint in housing funded by PHFA:

1. Develop a plan for tenant notification, testing activity, remediation and clearance procedures which comply with the *Final Rule* protocol. Be sure to address the provisions for occupant protection, safe work practices and ongoing maintenance and re-evaluation. *Provide a detailed explanation of staging plan.*

2. Develop a financing plan to demonstrate how the costs of meeting all *Final Rule* protocol will be covered. Incorporate a budget line item for insurance and relocation, if applicable. You may need to engage an Environmental Consultant to assist with setting a cost estimate for the reduction work. *Provide a detailed explanation of the financing plan, including associated costs, if applicable and financing sources to cover the costs of the staging plan.*

Signature of Owner

Title

Date

INSTRUCTIONS FOR GUIDEFORM
LEAD-BASED PAINT HAZARD REDUCTION IMPLEMENTATION PLAN

Read the Guideform and these Instructions before preparing your plan.

1. **Applicability** – All Owners of developments that will be impacted by the new Lead-based Paint Hazard Reduction Requirements, 24 CFR Part 35, must prepare and adopt a Lead-based Paint Hazard Reduction Implementation Plan.
2. **Timing of Plan Submission** – Development Owners must prepare and submit the plan to PHFA prior to receiving Commitment.
3. **Development Name** – Enter the development name as stated in the PHFA Multifamily Rental Housing Loan Application.
4. **Development Address** – Enter the development address as stated in the PHFA Multifamily Rental Housing Loan Application.
5. **PHFA Number** – Enter the PHFA number assigned to the development by PHFA.
6. **Staging Plan** – Provide a detailed explanation of how the development Owner will comply with the following types of lead-based paint requirements:
 - A. Distribution of lead hazard information pamphlet.
 - B. Evaluation of lead-based paint hazards.
 - C. Hazard reduction activities including occupant protection and safe work practices.
 - D. Notice to occupants of evaluation and hazard reduction activities.
 - E. Clearance.
 - F. Ongoing monitoring and re-evaluation.
 - G. Record-keeping.Owners must also provide a description of who they will contract with to conduct the evaluation, reduction and clearance of LBP hazards.
7. **Financing Plan** – Provide a detailed explanation of the financing plan, including associated costs (e.g., insurance, relocation) and financing sources to cover the costs of the staging plan.

SECTION 1.18
GUIDELINES FOR RADON PROTECTION

Radon is a colorless, odorless, radioactive gas which results from the natural decay of uranium, primarily in soil and bedrock. It is now felt to be a significant health hazard in many parts of the United States. In fact, the Surgeon General has warned that radon is the second leading cause of lung cancer in the United States today.

- The U.S. Environmental Protection Agency predicts that structures in most areas of Pennsylvania (49 counties) will have an indoor radon level greater than 4 picocuries per liter of air (pCi/L) which is the EPA recommended “Action Level.”
- Radon levels above the 4 pCi/L “Action Level” have been found in buildings in all Pennsylvania counties for which data exists.
- Radon rates vary widely with geographic areas, and there is no reliable method of estimating levels before a structure is built.

- It is relatively inexpensive to incorporate radon resistant construction techniques during construction but technically more difficult and costly to undertake radon reduction activities after a building is built.

1.18.1. **NEW CONSTRUCTION**

- A. For the above reasons, the Agency requires that radon resistant construction techniques be incorporated into all new construction. This requires the installation of a “passive” sub-slab depressurization system, vented through the roof. Architects should refer to the EPA publication, Building Radon Out_EPA/402-K-01-002, for direction.
- B. Because the incidence of radon in a building cannot be determined prior to construction, sub-slab depressurization systems need not have exhaust fans installed prior to occupancy of the building. When the building is complete, radon tests must be made in every ground floor or basement apartment and community space to determine the need for installation of exhaust fans. These tests must be performed after construction completion and prior to occupancy for all developments. All costs of testing are the responsibility of the Owner. Results of tests proving no hazard from radon contamination must be submitted to the Agency for approval. Any dwelling units or common areas with test results above the action level must install exhaust fans on the radon venting system and retest or modify the system until satisfactory results are obtained. Contractor must, as part of the original contract work, provide a common house (non-tenant) power source in close proximity to vents for installation of fans if required. All costs associated with the purchase and installation of the fans is the responsibility of the Owner.

1.18.2. **REHABILITATION DEVELOPMENTS**

- A. Existing buildings proposed for rehabilitation must be tested for radon as a part of the Phase I Environmental Site Assessment process and in accordance with Multifamily Housing Application and Guidelines. Tests must be conducted by DEP listed testing firms. A copy of their report must be submitted to the Agency. If tests indicate radon levels exceeding the EPA recommended “Action Level” of 4 pCi/L, Architects must incorporate radon reduction techniques in the rehabilitation plans. All ground floor or basement apartments and community spaces must be tested after rehab work is completed and prior to occupancy. Any dwelling units with test results above the action level must install exhaust fans on the radon venting system and retest until satisfactory results are obtained. Most buildings are more air-tight after rehab than before, and a building with acceptable pre-construction levels may have higher radon levels after construction completion. Therefore venting systems in rehab developments should be considered to avoid costly retrofit installations later if high levels of radon are found.

Architects must refer to the following EPA publications for technical guidance:

1. *Radon Reduction Methods, A Homeowners Guide* RD-681; and*
2. *Radon Reduction Techniques for Existing Detached Houses* EPA/625/R93/011 for guidance.*

*These publications may be obtained from the Bureau of Radiation Protection, Department of Environmental Protection, P.O. Box 8469, Harrisburg, PA 17105-8469, (1-800-237-2366). See also www.dep.state.pa.us, by subject – *Radon Protection*.

1.18.3. **TESTING**

- A. Unless specifically stated otherwise by the Architect in the specifications, the costs for all radon testing and remediation shall be paid for by the Owner. All ground floor or basement apartments and community spaces must be tested for radon prior to occupancy and found to be below the “Action Level.” If levels are above the “Action Level,” an active mitigation system must be installed as necessary to achieve acceptable radon levels upon retesting.
- B. **Note:** Firms providing radon testing, laboratory work or mitigation services for PHFA developments must be certified by the Pennsylvania Department of Environmental

Protection. Contact DEP Bureau of Radiation Protection in Harrisburg for a listing of certified firms. Evidence of this certification must be submitted to the Agency.

SECTION 1.19 **HISTORIC PRESERVATION**

In cooperation with the policy of the Federal Government, Federal and State laws, and Local regulations which require that all developments receiving Federal funds (HOME funds) from PHFA having a potential to affect historic or archeological resources must be reviewed by the *State Historic Preservation Office*.

To prevent a duplication of efforts with other Commonwealth Agencies, political subdivisions, and municipal authorities, the *Pennsylvania Housing Finance Agency* is responsible for monitoring compliance with these regulations for developments that are requesting HOME funds from the Agency. The Sponsor of the development is responsible for acquiring from the *State Historic Preservation Office* the requisite review letter (SHPO letter) covering the historic and archeological status of their development.

Architects are advised to verify with the Sponsor if the development being undertaken falls under these requirements, whether in a Non-Participating Jurisdiction or not. The Architect is responsible for addressing historic and/or archeological issues in their design documents. Cost estimates submitted to PHFA must include costs for meeting the requirements of any historic and/or archeological issues associated with the development.

Resources:

1. National Historic Preservation Act 1966, as amended through 2000.
2. 36 CFR Part 800.
3. Title 37, the History Code.
4. Pennsylvania Municipalities Planning Code, Act of 1968, No. 247 as re-enacted and amended.
5. Pamela Reilly – DCED Historic Preservation Specialist 717-720-1441 preilly@pa.gov

SECTION 1.20 **SOUND LAND USE**

PHFA relies upon Local Comprehensive Plans and Zoning Ordinances in the implementation of its program. Developments must comply with and be approved by Local Authorities governing these land use requirements.

The *Governor's Executive Order 1999-1* and the *Governor's Executive Order 2003-2* (Agricultural Land Preservation Policy) establishes statewide policy for sound land use and development. PHFA is committed to this statewide policy and encourages Developers to comply with the policy. Sound land use may include but is not limited to efforts to preserve farmland, minimize urban sprawl, alleviate traffic congestion, reduce environmental degradation, and contribute to more efficient long-term economic growth while preserving Pennsylvania's historical, cultural and education resources.

PHFA encourages the use of the "Standards for Residential Site Development" developed by the Pennsylvania Housing Research Center, wherever possible. These standards are available for downloading at www.engr.psu.edu/phrc.

The following land use related approvals are required to be in place prior to PHFA Commitment of Funds. Architects must coordinate procurement of these documents and approvals with the Sponsor:

1. Final Zoning approval.
2. Final Subdivision Plan approval.
3. Final Land Use Plan approval.

4. Utility capacity and availability letters.
5. Flood Maps.
6. Market Study.
7. *State Historic Preservation Office* review letter (Developments in Non-Participating Jurisdictions Only)

SECTION 1.21
ENVIRONMENTAL SITE ASSESSMENT GUIDELINES

1.21.1. GENERAL

Every development site is required to undergo an Environmental Site Assessment to determine if the site is negatively impacted by environmental factors. *ASTM E 1527-13 Standard Practice for Environmental Site Assessments: Phase I Environmental Site Assessment Process* shall be followed. Preservation and rehabilitation developments shall have tests made for asbestos-containing materials; lead-based paint, radon and lead in the water (See the Multifamily Tax Credit/Loan Application for specific test requirements). The Sponsor is responsible for procuring the assessment, and the Architect and Site Engineer are responsible for implementing the recommendations of the assessment as they pertain to the construction and site development. Assessments will be reviewed in terms of procedures used and findings made. Each study must receive PHFA approval prior to Commitment. The following procedures, consisting of a phased approach to accomplishing the needed Environmental Site Assessment, are suggested as a method of addressing PHFA's concerns. If a Phase II Assessment is warranted, it shall be stated in the report including a cost estimate for the report and any anticipated testing needed.

When working with your environmental consultant that will be performing your required Phase I ESA, make sure that they are following the ASTM E 1527-13 standard, as well as the requirements listed below.

While there are number of changes that came with the new ASTM E 1527-13 standard, the most noteworthy are:

- 1) New definitions for a Recognized Environmental Condition (REC), a Historical Recognized Environmental Condition (HREC), a Controlled Recognized Environmental Condition ((CREC), and a De Minimis Condition
- 2) A greater focus on when regulatory file reviews should be conducted by the Environmental Professional (EP)
- 3) The change in definition of migration to include hazardous waste or petroleum products in any form, including vapor; along with this change comes the requirement that a Vapor Encroachment Survey be performed in accordance with ASTM E 2600-10 as part of the Phase I ESA

Guidance from the ASTM Manual on *Technical Aspects of Phase I/II Environmental Site Assessments* (ESA) states that, "Considering the nature of potentially rapid change in the conditions of the subject property, the shelf life of a report could be perceived as extremely short. The Phase I ESA report could literally be considered obsolete by the time it is written. Recognizing the problem, the standard establishes some ground rules for the continued viability of the Phase I ESAs. Broadly speaking, Phase I ESAs are considered valid for six months (180 days).

For new applications, the Phase I ESA cannot be more than 12 months old at the time of the application submission. For an application that was unsuccessful in the previous year and is resubmitted, the developer may choose to have an update report provided by the environmental consultant that performed the original Phase I ESA rather than having a completely new report prepared. An update report is allowed only for a development whose Phase I ESA is between 12 and 24 months old at the time of the application submission. An update report will not be acceptable for a report older than 24 months and a new report must be

provided. The update letter from the Environmental Consultant must certify that the (5) actions listed as items (i-v) under Section 4.6 Continued Viability of Environmental Site Assessment of the ASTM E 1527-13 Environmental Site Assessment Standard have been met. Developments whose Phase I ESA or update report will be approaching 24 months old at the time of loan closing may be requested by PHFA to have the report updated.

1.21.2. **PHASE I – ENVIRONMENTAL SITE ASSESSMENTS**

A Phase I Environmental Site Assessment must be performed prior to the submission of the loan/tax credit application to determine the presence or likely presence of hazardous substances, petroleum products, or hazardous building/construction materials on a site or located off the site under conditions which may pose a risk to the site. Only the Executive Summary is required to be submitted in the loan application. If Feasibility Approval is granted, the full ESA must be submitted within three month after the approval. However, if the Phase I recommends further testing or remediation, the cost of these items should be included with the Executive Summary in the loan application.

The following are typical elements of a Phase I Environmental Site Assessment:

A. Documentation Review – Each site must be identified on a *U.S. Geological Survey (USGS) 7.5 Minute Topographic Map*. A site plan must also be provided.

A review of documents relating to former ownerships and former uses will identify activities which may have resulted in contamination and may provide clues for the site assessment. A number of sources (both current and historical) can provide information on ownership, site activities, and soil/geologic conditions which could enhance the transmission of hazardous substances. These sources include, but are not limited to:

1. County Recorder of Deeds records.
2. Geological Survey Topographic Mapping.
3. Municipal Building Maps.
4. Fire Insurance Maps.
5. City Atlas and Street Directories.
6. County/Municipal Land Use Mapping, Zoning/Land Use Records and Building Department Records.
7. Municipal Business License and Permit Records.
8. U.S. Department of Agriculture, County Soil Surveys.
9. PA Bureau of Topographic and Geologic Survey-General and County Geology Reports.
10. Aerial Photography (current and historic).
11. Well or Boring Logs.

B. Site Inspection – A Physical Inspection, following ASTM procedures, of the site must be conducted. The site inspection must establish the existing use of the property and adjoining properties as well as possible prior uses. It should focus on the visual and physical determination of site conditions and the existence or likely existence of hazardous substances or conditions including substances, which might migrate to the site. Not only must all required environmental hazards like Storage tanks, Odors, Pools of Liquid, Drums, and PCBs be looked for but PHFA requires that the following ASTM W 1527-13 non-scope items be looked for as well:

1. Asbestos or asbestos-containing materials.
2. Lead or lead-based paint.
3. Lead in water.
4. Radon gas (in existing buildings).
5. Mold.
6. Wetlands.
7. Floodways and Floodplains.
8. High Tension Electric Lines/Towers and Cell towers

9. Agricultural chemicals.

C. Interviews with Site Personnel and/or Residents – Owners, Managers, Employees, and former Employees of existing commercial or industrial properties must be questioned about materials and processes used, where activities took place and how wastes were disposed. Employees may also have knowledge concerning the location of site features such as underground storage tanks, wells, dumps, etc. The name, title, and length of service of interviewed employees should be recorded. Persons living on or near a site can frequently provide information about activities that took place on the property. Long-term residents can help fill gaps in site documentation.

D. Regulatory Review – A number of Governmental Agencies have environmental functions involving registration, regulation and cleanup activities. The record databases of these agencies should be reviewed as appropriate to determine if the site under study or a nearby site is included on a database, the nature of the listing, the distance from the site and the possible impact on the site.

1. **Federal Database Records**

- a. National Priorities List.
- b. Comprehensive Environmental Cleanup Liability Information System (CERCLIS).
- c. Open Dump Report/Inventory.
- d. Civil Enforcement Docket.
- e. Resource Conservation and Recovery Information System (RCRIS) – Large and Small Quantity, Generators and Treatment, Storage or Disposal (TSD) Facilities.
- f. Emergency Response Notification System (ERNS).
- g. EPA Facility Index System (FINDS) list.

2. **State Database Records**

- a. State Priority List.
- b. State Hazardous Waste Sites.
- c. Solid Waste Facilities/Landfills.
- d. Underground Storage Tanks (UST).
- e. Leaking Underground Storage Tanks (LUST).

These Governmental records may be reviewed directly or by utilizing a commercial service which provides access to them.

E. Conclusions and Recommendations – A summary of findings, conclusions and any recommendations must be provided. At a minimum, the following should be included:

1. Listing of all findings and environmental conditions.
2. Assessor's opinion regarding the significance or impact of the conditions.
3. Any recommendations for further investigation, analysis or remedial action, with an estimate of the costs.
4. Recommendation for a Phase II Environmental Site Assessment, if necessary, with an estimate of its cost.
5. A cost estimate for any recommended remediation.

If the Phase I Environmental Site Assessment reveals no reason to expect the presence of contamination, the assessment process will conclude. The Owner will be required to properly remediate any minor conditions disclosed during the Phase I Environmental Site Assessment. If additional contamination is detected during construction, it must be evaluated and remediated.

If a Phase I Environmental Site Assessment indicates possible contamination or the need for further investigation, on-site sampling of air, water, soil, and building materials and laboratory analysis may be required, followed by a plan for remediation of any confirmed hazard.

1.21.3. PHASE II – ENVIRONMENTAL SITE ASSESSMENT

If the Phase I Environmental Site Assessment confirms the existence or likelihood of hazardous substances or conditions, it may conclude that further study is needed. If extensive on-site sampling and laboratory analysis is needed, this may involve Phase II activities. (Alternately, the Phase I Environmental Site Assessment may recommend a quantification of hazardous substances and/or conditions and preparation of a Plan for Remedial Design and Implementation. These various elements may be done separately or combined into one process/report.)

Phase II Environmental Site Assessment activities involve in-depth investigation and analysis of air, water, soil or building materials either on-site or in a laboratory. If Phase II activities confirm the presence of hazardous materials, a plan for remedial design and implementation is required.

1.21.4. PLAN FOR REMEDIAL DESIGN AND IMPLEMENTATION

If hazardous substances or conditions are found to be present following the completion of the Environmental Site Assessment (Phase I or Phase II), a plan for remedial design implementation is required. The following must be included:

- A. Quantification of hazardous materials and/or conditions.
- B. Remedial procedures to be undertaken.
- C. Estimated cost of remedial work and source of funding.
- D. Identification of the firm or firms which will perform the work.
- E. Time schedule for completion of the work.

1.21.5. REQUIRED QUALIFICATIONS

Phase I Environmental Site Assessments must be performed and attested by qualified environmental professionals. The following are qualifications of an environmental professional (EP):

- A. The EP must:
 - 1. Hold a current P.E. or P.G. license and have the equivalent of 3 years of full-time relevant experience, or
 - 2. Hold a current registration from a state, tribe, U.S. territory or Puerto Rico and have the equivalent of 3 years of experience, or
 - 3. Be licensed or certified by the Federal government, state, tribe, U.S. territory, or Puerto Rico to perform environmental inquiries and have the relevant 3 years of full-time experience.
- B. A person who does not hold a relevant license or certificate may qualify as an EP if he/she has a Baccalaureate or higher degree from an accredited institution of higher education in a discipline of engineering or science and have the equivalent of 5 years of full-time relevant experience.
- C. A person who does not have a relevant license or degree and does not hold a university degree in a discipline of engineering or science can qualify as an EP if he/she has the equivalent of 10 years of full-time relevant experience.
- D. ASTM E 1527-13 states that the site assessment must be performed by the EP or *conducted under the supervision or responsible charge* of the EP. However, in the Federal Register for the final AAI rule, EPA recommends, but does not require, that the onsite visual inspection be conducted by an individual who meets the definition of an EP.

Firms undertaking Phase II Environmental Site Assessments, Quantification of Hazardous Substances and/or Conditions or Plans for Remedial Design and Implementation should meet the requirements for Phase I work, as well as the following:

- A. Guidance and standards developed by American Society of Civil Engineers.
- B. Meet all Federal and State licensing and certification requirements for sampling and identification of each of the suspected toxic materials (i.e., radon, asbestos-containing materials, and lead-based paint).
- C. Analysis must be done in laboratories certified by Federal and State Governments (wherever applicable) to analyze each specific material.
- D. Persons undertaking the work must be professionally trained in an appropriate discipline (i.e., geology, hydrology, chemistry, hydrogeology, geophysics, and geochemistry) with a minimum of three (3) years' experience with similar developments.

1.21.6. ENVIRONMENTAL REMEDIATION MONITORING PROGRAM

If a Phase I ESA, Phase II ESA, or any additional environmental testing report finds any environmental issue(s) that needs to be corrected through remediation, this remediation monitoring program must be followed.

- A. PHFA's Environmental/Site Specialist will notify all interested parties that an environmental issue(s) exists and that remediation is required. These interested parties may include the Owner, the Architect, the General Contractor, and other Divisions of PHFA.
- B. The Environmental/Site Specialist will coordinate with all parties to make sure that either he or the Technical Services Representative assigned to the project is present on-site at least once during the environmental remediation work to verify that the required work is being performed.
- C. An Environmental Closure or Final Clean-Up Report must be submitted to the Agency showing that any and all environmental issue(s) have been remediated in the proper manner and that the site is environmentally "clean". This report will be performed by an entity certified in the environmental issue(s) in which the remediation took place. The findings of this report will be verified on-site to the best of their ability by either the Environmental/Site Specialist or the Technical Services Representative assigned to the project.

Resources:

- 1. ***Technical Aspects of Phase I/II Environmental Site Assessments*** ASTM Manual, by Zdenek Hejzlar.
- 2. ***Environmental Site Investigation Guidance Manual***, American Society of Civil Engineers.

SECTION 1.22 **KITCHEN CABINET MINIMUM STANDARDS**

For General Occupancy Developments:

- 1. Kitchen cabinets must meet or exceed *ANSI/KCMA A161.1* Standards, HUD's Extreme/Severe Use Criteria, or the specifications listed below.
- 2. Metal cabinets are not permitted.
- 3. Low pressure vinyl and low pressure laminate finishes are not permitted.
- 4. A catalog cut (or sample upon request) must be submitted to PHFA for approval.

5. All cabinet face frames must be $\frac{3}{4}$ " minimum thick, kiln dried, solid hardwood. All joints must be mortised and tenoned. All gluing and stapling to be done under pressure. No butt joint face frames will be accepted. Stiles to be 1- $\frac{1}{4}$ " wide. Mulls 3" wide. Rails 1- $\frac{3}{4}$ " wide. Stiles and top and bottom rails dadoed to receive ends, bottoms, and tops.
6. All base cabinets must have nominal $\frac{1}{2}$ " thick exterior hardwood bottoms let into end panels, front rails and installation cleats supported by $\frac{3}{4}$ " thick solid lumber braces 24" o.c. running front to rear of cabinet. All wall cabinet bottoms to be $\frac{1}{2}$ " thick exterior hardwood plywood let into dadoes in ends, installation cleats, and front frames, glued and stapled under pressure.
7. End panels to be $\frac{1}{2}$ " thick, 5-ply exterior hardwood plywood, dadoed a minimum of $\frac{1}{4}$ " deep to receive shelves, bottoms and tops. Ends shall be let into dado in face frame. All end panels either fully or partially exposed shall have a factory finished surface.
8. Backs of cabinets to be $\frac{1}{4}$ " thick 2-2 grade exterior hardwood plywood. Securely glued and stapled under pressure to ends, 3- $\frac{1}{2}$ " cleats and shelves.
9. All drawers shall be same material as doors. Sides and backs to be minimum 11/16" thick "C" grade solid lumber with sides dovetailed into fronts. Backs to be dadoed into sides. Drawer bottoms to be minimum $\frac{1}{4}$ " hardwood exterior plywood let into fronts, sides, and back. All drawer parts must be glued and stapled together under pressure. All drawers to be mounted on a pair of 100 lb. capacity side mounted metal guides that have built-in stops, self-closing and stay-closed features. Cabinet member of guides attached at rear $\frac{3}{4}$ " solid lumber hanging rail.
10. Doors and drawer fronts must be solid hardwood or plywood. Profile may be either "panel-in-frame" or flush panel.
11. Finish of all exposed surfaces to be factory applied consisting of stain, sealer and top coats, lightly sanded between applications. Sealer and top coats to be oven dried. All interior cabinet surfaces must have a smooth finish. Wood species and stain color to be selected from full range available.
12. Shelves must be $\frac{1}{2}$ " thick exterior grade hardwood plywood with wood banded front edge let into dadoes of end panels and braced behind mulls. Intermediate shelf supports must be provided for any cabinet exceeding 24" in width.
13. Heavy duty, self-closing, corrosion resistant semi-concealed wrap-around hinges are required.
14. All (matching) trim, filler strips, etc., required for a finished installation must be included.
15. Installation cleats must be a minimum of $\frac{3}{4}$ " x 3- $\frac{1}{2}$ ", S4S, "C" grade, kiln dried solid lumber running full length of wall cabinets at top and bottom. Base cabinets to have a 7- $\frac{1}{4}$ " cleat at the top and 3- $\frac{1}{2}$ " cleat at the bottom.
16. Toe kicks must be a minimum of $\frac{3}{4}$ " solid lumber. Toe kicks to be painted (factory or field) in color selected by Architect.
17. Countertops must have continuous backsplashes at the rear and all ends, and must be scribed and fit to adjacent wall(s) surface(s), with remaining gap slicked-in with fine bead of silicone caulk to match counter or protective wall backsplash color. All countertops must be finished using a Euro Wrap (180 degree bullnose) detail on all exposed drip edges. The substrate for all countertops shall be constructed of industrial grade, high density (48 lb. minimum) particleboard.
18. Loop or lever type hardware must be provided on all doors and drawers in accessible units. All other units may have knob type hardware or door and drawer designs that do not require hardware, at the Owners option.
19. Installation must be in accordance with the manufacturer's recommendations. It is a requirement that all wall cabinets be mounted directly to structural framing otherwise solid wood blocking in wall behind cabinets is required. Wall cabinets to be mounted using appropriate fasteners thru the top and bottom hanging rails and spaced no farther apart than the framing members of the wall on which they are being mounted.
20. Wall cabinets that have their top edge mounted against a ceiling or bulkhead shall have those top edges scribed to fit tight against that surface, or shall have a finished piece of wood molding matching cabinet finish provided at that same intersection. Scribe fit installations should have remaining gap slicked-in with fine bead of paintable latex caulk.
21. Composite woods used in cabinetry shall be free of added urea formaldehyde or be encapsulated by a durable low VOC sealant that complies with SCAQMD Rule #1113. Cabinetry with KCMA Environmental Stewardship Program (ESP) certification shall be deemed to satisfy this requirement. (At existing buildings, this applies to new composite woods only)

For Elderly Developments:

1. Kitchen cabinets must meet or exceed ANSI/NKCA 161.1 Standards.
2. Metal cabinets are not permitted.
3. Exterior cabinet finishes must be wood veneer. Low pressure (vinyl wrap and laminate) exterior cabinet finishes are not permitted.
4. A catalog cut (or sample upon request) must be submitted to PHFA for approval.
5. All cabinet fronts must be $\frac{3}{4}$ " minimum hardwood or 48 lb. particleboard. All joints must be mortised and tenoned. No butt joint face frames will be accepted.
6. Doors and drawer fronts must be hardwood or 48 lb. particleboard with plastic laminate on both sides and all edges.
7. Exposed ends of cabinets must be $\frac{1}{2}$ " finished plywood or particleboard to match the fronts of the cabinets. Unexposed ends must be $\frac{1}{2}$ " plywood or high density particleboard.
8. All interior surfaces must have a smooth finish. Particleboard shelf edges must be vinyl banded or nosed with hardwood.
9. Shelves must be a minimum of $\frac{1}{2}$ " thick. Intermediate shelf supports must be provided for any cabinet exceeding 24" in width. Bottoms may be less than $\frac{1}{2}$ " thick only if they are supported every 12 inches maximum.
10. Where particleboard is used, it must be 48 lb. minimum density.
11. Metal, wood, or plastic corner bracing must be provided on all cabinets.
12. Self-closing hinges are required.
13. All (matching) trim required for a finished installation must be included.
14. Installation strips must be a minimum of 1" x 2" (nominal).
15. Toe kicks must be a minimum of $\frac{1}{2}$ " wood or $\frac{3}{4}$ " particleboard and must be manufactured of moisture resistant material.
16. Countertops must have continuous backsplashes at the rear and all ends, and must be scribed and fit to adjacent wall(s) surface(s), with remaining gap slicked-in with fine bead of silicone caulk to match counter or protective wall backsplash color. All countertops must be finished using a Euro Wrap (180 degree bullnose) detail on all exposed drip edges. The substrate for all countertops shall be constructed of industrial grade, high density (48 lb. minimum) particleboard.
17. Loop or lever type hardware must be provided on all doors and drawers.
18. Installation must be in accordance with the manufacturer's recommendations.
19. Drawers must be capable of carrying a 75-pound load when open and pass a 50,000-cycle test.
20. For purposes of this Standard, Three-Ply MDF Core Construction and Three-Ply Particleboard Construction panels will be considered as "Particleboard" in lieu of "Plywood".
21. Composite woods used in cabinetry shall be free of added urea formaldehyde or be encapsulated by a durable low VOC sealant that complies with SCAQMD Rule #1113. Cabinetry with KCMA Environmental Stewardship Program (ESP) certification shall be deemed to satisfy this requirement. (At existing buildings, this applies to new composite woods only)

Any exceptions to these specifications must be brought to the attention of the PHFA's Review Architect in writing on a PHFA Waiver Form. PHFA will have final approval of any deviation from this standard.

SECTION 1.23

WARRANTY, GUARANTEE AND MANUAL REQUIREMENTS

The Design Architect must include all applicable warranties and guarantees from, but not limited to, the list below. The following paragraph must be inserted into the Contract Specifications:

“Prior to the issuance of the Agency’s final certificate of occupancy, the General Contractor shall submit copies of all specified warranties and guarantees to the Agency. In addition, copies of all warranties and guarantees, bonds, and operating and maintenance manuals (for all materials, equipment, fixtures and appliances) shall be furnished to the Owner.”

List of Required Warranties and Guarantees:

1. **General Contractor** – One (1)-year guarantee for all labor and materials for the entire project.
2. **HVAC Contractor** – One (1)-year guarantee for all labor and materials and manufacturer’s standard guarantees for equipment within the scope of this contract.
3. **Plumbing Contractor** – One (1)-year guarantee for all labor and materials, and manufacturer’s standard guarantees for all fixtures within the scope of this contract.
4. **Electrical Contractor** – One (1)-year guarantee for all labor and materials, and manufacturer’s standard guarantees for all equipment and fixtures within the scope of this contract.
5. **Paving** – Two (2)-year guarantee minimum for sub-grade preparation, sub-base preparation, sub-base binder and wearing courses. (May be two or three separate 2-year guarantees each if portions of the work are done by separate Contractors.)
6. **Landscaping** – Guarantee for two (2) years’ (minimum) for labor and materials.
7. **Playground Equipment and Outdoor Furnishings** – Manufacturer’s standard guarantee for one (1)-year minimum.
8. **Roofing:**
 - A. ***Built-up, EPDM and Modified*** – Twenty (20)-year bond, or ten (10) - year guarantee labor and materials. (A ten (10)-year roof inspection and service contract is recommended.)
 - B. ***Shingle*** – Manufacturer’s twenty (20)-year (minimum) warranty for materials and Contractor’s one (1)-year guarantee for labor.
9. **Wood and Hardboard Siding** – Manufacturer’s standard guarantee, twenty (20)-year minimum.
10. **Stucco Systems, EIFS and other Cementitious Exterior Finishes** – Ten (10) year minimum.
11. **Waterproofing and Sealant Applications** – Contractor’s two (2)-year guarantee minimum.
12. **Windows and Doors** – Manufacturer’s standard guarantee, one (1)-year minimum.
13. **Carpeting** – Manufacturer’s standard material guarantee, plus one (1)-year minimum against faulty installation practice.
14. **Major Appliances** – Range, range hood, refrigerator, disposal, washer and dryer, thru-wall A.C. units, dishwashers, etc. – Manufacturer’s standard guarantees, one (1)-year minimum.
15. **Kitchen Cabinets** – Manufacturer’s standard guarantee, one (1)-year minimum and proof of conformance to KCMA Standards (and HUD Severe/Extreme Use Criteria in general occupancy developments).
16. **Trash Compactor and Chute** – Manufacturer’s standard guarantee, one (1)-year minimum.

17. **Elevators** – Manufacturer’s standard guarantee for labor and materials for one (1)-year minimum. A service contract is required.
18. **Architectural Specialties** – Varies with each project.
19. **Compressors** – Air conditioner and heat pump compressors shall be warranted for five (5) years.

TAB 2 – ARCHITECTURAL SUBMISSIONS

SECTION 2.01.A **SCHEMATIC SUBMISSION REQUIREMENTS**

2.01.A.1. SUBMISSION PROCESS

Some form of Schematic Design documents are typically included with the PHFA Application. Usually, these documents are insufficient to describe the development adequately. A Schematic Design Submission should be made to PHFA as soon as practical after an award of loan funds has been made. Preservation developments shall follow the requirements found in Tab 4 of this Guide. Contact the Technical Services Division Review Architect for approval of the scope of documentation acceptable to PHFA for submission. Based on the completeness of the architectural documents submitted with the Application, the Schematic Design Submission may be waived at the discretion of the PHFA Technical Services staff. PDF files are not an acceptable form of review documents. Hard copies must be submitted.

2.01.A.2. GENERAL REQUIREMENTS – The Schematic Submission must include the following in duplicate:

- A. Schematic Drawings** – Maximum drawing size shall be 30" x 42" and the minimum size shall be 24" x 36". All drawing sheets must be of the same size and bound together in the set.
- B. Outline Specifications** in the CSI format.
- C. Schematic Design Requirements Checklist.**
- D. Schematic Design Construction Cost Estimate.**

2.01.A.3. DRAWING REQUIREMENTS

A. Site Plans:

1. Minimum scale of 1" = 30'.
2. Indicate property lines with bearings and distances.
3. Indicate all building, sidewalks, paved areas and site features such as trash enclosures, recreation areas, and storm water facilities.
4. Existing and proposed grade elevation contours at one-foot intervals.
5. Ground floor elevations for all buildings.
6. Identify the locations of accessible and hearing/vision units for townhouse developments and accessible parking spaces.
7. Number all buildings for ease of reference.
8. Indicate site acreage.
9. Indicate location of utility tie-ins and proposed on-site layout.
10. Indicate building setbacks.

B. Floor Plans:

1. Building floor plans:
 - a. Scale: 1/8" = 1'-0".
 - b. Include all floors.

- c. Indicate locations of accessible and hearing/vision units.
 - d. Indicate gross square footage per floor.
 - e. Include overall dimensions.
2. Dwelling unit plans:
 - a. Scale: $\frac{1}{4}'' = 1'-0''$.
 - b. Provide plans for all unit types and sizes, including accessible units.
 - c. Indicate furnishings.
 - d. Indicate clear floor area requirements in accessible, adaptable, and VisitAble units.
 - e. Indicate gross and net square footage for each unit plan.
 - f. Include overall dimensions and room sizes.

C. Elevations:

1. Include all sides and orientations.
2. Indicate all exterior finishes.

D. Typical Exterior Wall Section:

1. Scale: $\frac{3}{4}'' = 1'-0''$.
2. Show materials and method of construction from foundation to roof.
3. Indicate insulation levels with R-values.
4. If more than one type of construction is proposed, provide a wall section for each type.
5. Provide dimensions from footing to finish grade and finish floor to ceiling.

E. Mechanical and Electrical Plans:

1. If available, provide building plans showing schematic layout of mechanical and electrical systems.
2. If available, provide unit plans showing preliminary mechanical and electrical layouts.

F. Specifications:

1. Provide outline Specifications in CSI 16 Division format.
2. Include a brief description of all major materials, finishes, products, equipment and systems proposed.

SECTION 2.01.B
SCHEMATIC DESIGN REQUIREMENTS CHECKLIST

Development Name: _____ PHFA No.: _____

The undersigned certifies that all items checked have been provided in the drawings and/or the specifications.

Design Architect (Print or type): _____

Design Architect (Signature): _____

Date: _____

Check the appropriate line if the development conforms to the requirement. Note N/A if it is not applicable. The Architect must submit a written request to PHFA for any waiver of the PHFA Design Requirements or for any items that are neither checked nor indicated as not applicable.

1. **Dwelling Unit Size Requirements** – The following matrix establishes the minimum and maximum allowable net square footage area for units funded by PHFA. **Net** square footage shall be measured from the inside face of the exterior walls to the inside face of interior demising walls. **Gross** square footage shall be measured from the outside face of exterior walls to the centerline of interior demising walls. Rehabilitation developments may vary from the maximums and minimums by 10%. Accessible units may vary from the maximums as required to provide an accessible route and accessibility maneuvering clearances.

	<u>FLATS</u>	<u>MULTI-FLOOR UNITS</u>
___ SRO	90 to 200	
___ EFF	400 to 600	
___ 1 BR	550 to 850	650 to 950
___ 2 BR	700 to 1,100	850 to 1,300
___ 3 BR	950 to 1,350	1,000 to 1,550
___ 4 BR	1,100 to 1,550	1,200 to 1,750
___ 5 BR	1,300 to 1,750	1,400 to 2,000

2. **Minimum Room Size Requirements** - All bedrooms must have a demising wall with a door between it and other spaces within the dwelling unit, and there must be a closet and an operable window to provide natural light and ventilation. Minimum room sizes do not include unusable alcove space at doors. Accessible rooms may require additional space.

(Waivers may be granted for room sizes in rehabilitation developments only, based on acceptable furnishability plans)

Bedrooms:

- ___ A. Primary bedroom – 120 sq. ft. (least dimension 10'-0").
- ___ B. Second bedroom – 100 sq. ft. (least dimension 9'-0").
- ___ C. Additional bedrooms – 90 sq. ft. (least dimension 9'-0").

Living Room:

- ___ A. Living room – 150 sq. ft. min. (least dimension 11'-0").

Living Room/Dining Room Combination:

- ___ A. Living/Dining room – 200 sq. ft. min. (least dimension 11'-0").

Dining Room:

The dining area shall be in addition to the living room space and must be appropriately sized. An eat-in kitchen may be substituted for a dining room as long as the kitchen and dining area are appropriately sized.

- ___ A. 1 BR Units - 70 sq. ft. min. (least dimension 8'-0")
- ___ B. 2 BR Units - 80 sq. ft. min. (least dimension 8'-6")
- ___ C. 3 BR Units - 90 sq. ft. min. (least dimension 8'-6")
- ___ D. 4 or more BR Units - 100 sq. ft. min. (least dimension 9'-0")

Other Unit Space:

- ___ A. Dwelling unit corridors and stairs – 36" minimum width.
- ___ 3. **Accessibility (Facilities, Apartments and Parking)** – All applicable Local, State and Federal regulations and PHFA requirements must be met. Please refer to Section 1.02, Accessibility Requirements, included within this *Guide*.
- ___ 4. **Community Room Space** – All developments, except for scattered sites and those with 11 units or less, should be designed with adequate community space to accommodate functions and services offered at the facility. Developments must provide a management office and a public restroom. Community rooms must be a single room sized to provide at least fifteen (15) sq. ft. per unit, for developments with 12 to 50 units. Community rooms in developments with more than 50 units shall be a minimum of 750 sq. ft. in size. A kitchen or kitchenette must be provided in or adjacent to, the community room in elderly developments and shall not be included in the required square footage. The kitchen shall include a sink, full height refrigerator and 30" range.
- ___ 5. **VisitAbilitycm* Goal** – PHFA has adopted the goal of providing access to as many units as possible for the purpose of allowing persons with disabilities the ability to visit neighbors and friends. Refer to Section 108, VisitAbilitycm* Guidelines.
- ___ 6. **Bathrooms** – One and a half baths for three bedroom and two baths for four bedroom and larger units must be provided (one may be a shower).
- ___ 7. **Kitchens** – Refrigerators, ranges, and ovens must be provided in all units, except SROs with common cooking facilities. All units with two or more bedrooms must be equipped with 30" wide ranges (30" ranges are preferred for all units). Ranges less than 30" in width must not be located abutting partitions.
- 8. **Closet Doors and Shelves**
 - ___ A. All closets shall have doors that fully conceal the contents of the closet.
 - ___ B. Adequate storage space must be provided: a minimum of 10 sq. ft. plus an additional 5 lineal feet of full height hanging space in each bedroom within the unit. General occupancy units must have an additional twelve (12) sq. ft. per unit minimum inside or outside the unit, in a basement, or other space for bikes, etc.
- 9. **Laundry Facilities** - Single-unit, combination washer-dryers are not acceptable in any unit. Stackable washers and dryers will not be allowed in accessible units. In developments with shared facilities, the laundry shall be located in a separate room and not be shared with a Community Room or other common area.
 - ___ A. Laundry facilities must be provided unless individual washers and dryers are provided in each unit. For developments consisting of numerous buildings or floors, several small facilities may be provided in lieu of one facility.
 - ___ B. If central laundry facilities are provided, at least one washer and one dryer must be provided for every twelve (12) general occupancy units or every twenty (20)

elderly units, with a minimum of two (2) washers and (2) dryers required for all developments.

- ___ C. A minimum of one front-loading washer and dryer must be provided in each common laundry facility and in accessible units with laundry facilities.
- ___ D. A built-in sorting counter, hanging rod or space for a table and portable hanger shall be provided, as well as space for chairs in all laundry facilities.
- ___ F. Washer and dryer areas located within a unit must be concealed unless located in a basement.
- ___ G. Stackable washers and dryers may be used in units with 2 or less bedrooms. Large capacity side by side washers and dryers must be provided in units with 3 or more bedrooms.

10. **Development Facilities and Maintenance:**

- ___ A. Maintenance space for storage of building and ground maintenance equipment, tools and supplies, and a workshop must be provided. Note that where hazardous materials such as gasoline are stored, special precautions must be taken (does not apply if all maintenance services and repairs are contracted out).

___ 11. **Natural Light and Ventilation** – Must be provided in all living rooms and bedrooms. Skylights will not be considered as meeting this requirement.

12. **Parking:**

- ___ A. The parking ratio must be in conformance with the local zoning ordinance unless a variance is obtained.
- ___ B. At a minimum, the total number of accessible parking spaces must meet the latest *Uniform Federal Accessibility Standards Table 4.1.1* and other accessibility requirements governing the development. In addition, if the total number of parking spaces is less than 20, at least two (2) spaces for persons in wheelchairs must be provided. Refer also to Section 1.02, Accessibility Requirements.

___ 13. **Indoor and/or Outdoor Recreational Facilities** – Where practical, provide for a tot lot or other indoor or outdoor play area.

___ 14. **Outdoor Furnishings, Equipment, Landscape and Recreational Structure** – Benches, tables, chairs, play equipment and structures must be of durable and maintenance-free materials.

___ 15. **Waste Disposal** (Check applicable system used):

- ___ A. Garbage disposals are recommended where wet garbage presents sanitation problems. Disposals are required in mid or high-rise buildings if trash chutes and compactors are not provided.
- ___ B. Trash room(s).
- ___ C. Trash compactor.
- ___ D. Recycling provisions: The size, number and design of collection area(s) must conform to the requirements of the Local recycling ordinance.
- ___ E. Dumpster(s): Outdoor collection areas must have concrete pads and be visually screened, (e.g., evergreen hedges or shrubs, masonry or pressure treated wood enclosures). The type of collection service must be determined in advance of design in order to establish the correct size and number of areas and the required service vehicle access and clearance. A minimum 6" thick, reinforced structural concrete pad (approximately 10' x 10') must be provided in front of the collection area to prevent pavement damage by the garbage trucks for dumpster type collection.

- _____ 16. **Fire Extinguishers** – A minimum of one 5 pound, 2A-10B-C (minimum) rated fire extinguisher must be provided in each unit. Other fire extinguishers must be provided for the development as required by code. If mounted in closets, the contents of the closet shall not obscure the extinguisher. Therefore, coat closets are not usually an acceptable location.

SECTION 2.01.C
PENNSYLVANIA HOUSING FINANCE AGENCY
SCHEMATIC DESIGN CONSTRUCTION COST ESTIMATE

Development: _____ Applicant: _____

PHFA No.: _____ Form Completed By: _____ Date: _____

Div. No.	Description	Residential	Commercial	Total
01	General Requirements (6% of Div.'s 2 – 16 max.)	%		
02	Building Demolition	\$		
	Selective Demolition			
	Site Work			
	Offsite Improvements			
	Subtotal			
03	Concrete			
04	Masonry			
05	Metal			
06	Carpentry			
07	Moisture Protection			
08	Doors and Windows			
09	Finishes			
10	Specialties			
11	Equipment			
12	Furnishings			
13	Special Construction			
14	Conveying Systems			
15a	Plumbing			
15b	Fire Protection			
15c	Heating, Ventilating & Air Conditioning			
16	Electrical			
Subtotal Divisions 1 through 16				
	Builder's Overhead (2% of Subtotal max.)	%		
	Builder's Profit (6% of Subtotal max.)	%		
	Bond Premium			
	Building Permit			
	Other (Explain)			
TOTAL CONSTRUCTION COSTS				
TOTAL RESIDENTIAL AND COMMERCIAL COSTS				

SCHEMATIC DESIGN CONSTRUCTION COST ESTIMATE (Cont'd)

DEVELOPMENT INFORMATION

Estimated Construction Period: _____ Months	Wage Determination:
Estimated Starting Date: _____	Open Shop: _____
No. of Dwelling Units: _____	Union Shop: _____
Gross Residential Sq. Ft.: _____	Davis Bacon: _____
Gross Commercial Sq. Ft.: _____	Residential: _____
Gross Building Sq. Ft.: _____	Commercial: _____

DUE TO THE LENGTH OF TIME IT TAKES TO PROCESS A DEVELOPMENT, IT IS CRUCIAL THAT THE CONSTRUCTION BUDGET IS PREPARED ALLOWING FOR INFLATION BETWEEN THE DATE THIS BUDGET IS SET AND THE DATE CONSTRUCTION IS TO BEGIN. ALLOWANCES ARE NOT PERMITTED.

SECTION 2.02.A
DESIGN DEVELOPMENT SUBMISSION REQUIREMENTS

2.02.A.1. GENERAL

After PHFA has reviewed the Schematic Submission, the Owner must direct the Design Architect to prepare the Design Development Drawings and Specifications. The same level of documentation is required to be submitted for design-bid-build, negotiated and design-build methods of development delivery. Contact the Technical Services Division Review Architect for approval of the scope of documentation acceptable to PHFA for submission. If insufficient documentation is submitted, PHFA Staff will notify the Sponsor indicating the deficiencies. A review will only be performed when sufficient documentation is received by PHFA. PDF files are not an acceptable form of review. Hard copies must be submitted. The Design Development Submission must include, but is not limited to, the following:

1. Two (2) sets of drawings. The level of completion must be sufficient (90% +/- of contract drawings) for the Contractor to prepare the Construction Cost Estimate and for PHFA to conduct a cost review. The maximum drawing size shall be 30" X 42" and the minimum size shall be 24" x 36". All drawing sheets must be of the same size and bound together in the set.
2. Two (2) sets of bound specifications of an equal level of completion as the drawings. Please refer to the enclosed Specifications Procedures
3. One (1) copy of an ALTA Land Title Survey, Surveyor's Report and Legal Description. The survey must conform to the instructions listed on the back of the Surveyor's Report in this section. The survey must be signed and sealed by a Surveyor registered in the Commonwealth of Pennsylvania.
4. One (1) copy of the completed Construction Cost Estimate based on the Design Development drawings and specifications. (Allowances in the construction budget are not permitted. The Architect must clearly identify the scope of all work in the Contract Documents.)
5. Structural Engineer's Report by a registered Structural Engineer, if required (rehabilitation developments only).

6. Subsoil Investigation Report with design recommendations by a qualified Geotechnical Firm (for new construction and new additions).
7. One (1) completed copy of each of the following checklists included in this Guide:
 - a. 2.02.B Design Development Requirements Checklist.
 - b. 2.02.C Design Development Requirements Checklist for Green Building Criteria.
 - c. 2.02.D Development Tabular Schedule (also include the same information on the cover sheet of the drawings).
 - d. 2.02.E Development Security and Maintenance Requirements Checklist for Urban Locations.
 - f. 2.02.F Mechanical Requirements Checklist.
 - g. 2.02.G Electrical Requirements Checklist.
 - h. 2.02.H Estimated Utility Costs.
8. Proof of compliance with all certifications submitted as part of the loan application.
9. Phase I Environmental Site Assessment.
10. REScheck certification verifying compliance with Chapter 4, "Residential Energy Efficiency" of the current edition of the International Energy Conservation Code.
11. Certification of the Home Energy Rating System (HERS) index based on a review of the drawings and specifications by a certified HERS rater.
12. 2015 Enterprise Green Communities checklist indicating the mandatory and optional criteria included in the development.

2.02.A.2. DRAWING REQUIREMENTS – ARCHITECTURAL

A. Cover and Title Sheet - Must include the following:

1. Name of the proposed development.
2. Development address.
3. PHFA development number.
4. Developer's name and/or entity.
5. Design Architect's name.
6. Date of submission.
7. A location map encompassing an area of ½ mile radius around the site.
8. Development Tabular Schedule.
9. Signature and date space for Owner, Contractor, Architect and PHFA.
10. Tabulation of or copy of the Design Architects Certifications for Threshold and Selection Criteria from the PHFA loan application.
11. Building Code Analysis.

B. Site Plan – Include all information from the Schematic Submission with the following added:

1. The relationship of the development to adjacent storm water flow or drainage, and vice versa.

2. Existing and proposed grade elevation contours at one-foot intervals.
3. Ground floor finish elevations for all buildings and areas within buildings where a change in elevation occurs.
4. Spot elevations where necessary.
5. Passive and active recreational areas.
6. Landscape plan including details and plant schedule (common name, number and size for all materials).
7. Show the relationship of the site lighting and other site utilities to the overall site development. Coordinate with plumbing and electrical site utility drawings.
8. All site details, dimensions, paving sections, curb cut and road radii, trash enclosures, recreational areas, access ramps, etc.
9. Accessible route details to accessible, adaptable, and VisitAble units. Include slope percentage on sidewalks.
10. Positive drainage away from all buildings. Surface water runoff must be accounted for in such a way as to not permit sheet flow across designated walking routes.
11. Identify public streets and right-of-ways.
12. See also Section 2.02.I, Surveyor's Report.

C. Typical Floor Plans – Include all information from the Schematic Drawings plus the following:

1. Basement and roof plans must be included where applicable.
2. Unit plans drawn at $\frac{1}{4}'' = 1'-0''$ scale.
3. Include all dimensions.
4. All rooms and spaces must be identified.
5. A “north” reference on all building floor plans.

D. Schedules and Details – Must include the following:

1. Room finish schedule.
2. Door and window schedules, elevations, and jamb, sill and head details. Key to floor plans and building elevations.
3. Typical details for clothes, storage and linen closets, including mounting heights and details for rods and shelves.
4. Other as applicable.

E. Elevations – Must include:

1. Exterior elevations for each orientation clearly indicating:
 - a. All exterior finishes, openings and penetrations.
 - b. Relationship of finished floor to finished grade for ground floor basements.
 - c. Height of each story (floor-to-floor) parapet or roof.
2. Interior elevations:
 - a. For all kitchens and bathrooms, including dimensions, materials and mounting heights.

b. All other required, (e.g., gang mailboxes, lobbies, etc.).

F. Building Sections – Must include the following as applicable to the building type:

1. Typical exterior walls (including roof and foundation).
2. Transverse building section(s)
3. Longitudinal section(s) through the entire building for mid and high-rise buildings.
4. Typical stairs – public and private.
5. Elevator shaft.
6. Trash chute.
7. All typical interior walls, partitions and chases.

G. Building Details – Must be included as necessary for the construction of the building(s).

2.02.A.3. DRAWING REQUIREMENTS – STRUCTURAL

A. Plans, Sections, Details and Notes – Must be included in a scope sufficient to construct the particular development. The scope will vary depending upon the type of development, (e.g., one and two-story wood frame townhouses to steel and concrete high-rises). At a minimum, the following must be included:

1. Design loads.
2. Framing systems and sizes of members.
3. Foundation design consistent with recommendations made in the subsoil investigation report.
4. Governing codes, regulations and standards.

2.02.A.4. DRAWING REQUIREMENTS – MECHANICAL

A. General – The intent of this submission is to set forth Design Development for mechanical work in sufficient detail to:

1. Clearly define the concept and elements of the mechanical systems proposed for the development.
2. Provide proper coordination with architectural, structural and electrical specifications.
3. Allow for technical review of adequacy, economy and compliance of proposed design with applicable regulations and codes.
4. Identify specific items of material and equipment contained in specifications for electrical work prepared in accordance with instructions noted above.

B. Mechanical Plans:

1. The orientation of mechanical drawings must follow the same pattern as established on the architectural drawings. Titles of rooms corresponding to titles on the architectural drawings must be noted on the mechanical plans.
2. In general, Design Development drawings must include site plans, floor plans, schematic and riser diagrams, necessary equipment schedules and pertinent details.
3. Site plans must show the routing of all underground services, site drainage, manholes, catch basins and connections to existing systems, meter locations, etc. Crossovers which are possible points of conflict with work to be done by other trades or under different contracts must be shown with inverts given and clearances worked out. Details of connections to utility company lines, building entrances and manholes must be shown.
4. Provide plumbing riser diagram.

5. Floor plans must show each typical area indicating location and space requirements for equipment, fixtures, piping, air ducts, grilles, diffusers and any other pieces of equipment. Care should be taken in working out hung ceiling depth, equipment rooms and shafts with adequate clearances provided, (e.g., 7'-8" clear height for public corridors).
6. Routing of major ductwork and piping may be shown as single line. Schematic and/or riser diagrams must show all major pieces of equipment, piping, ductwork, etc., with capacities and sizes listed for each. A schedule of all pertinent data for each piece of equipment proposed must be provided.
7. Drawings must be checked for completeness, clearness, interference with structural features and other branches of the electrical or mechanical equipment, and coordinated with the architectural drawings.

C. Other Requirements – The enclosed *Mechanical Requirements Checklist* and applicable portions of the *Estimated Utility Costs* must be completed and submitted to PHFA.

2.02.A.5. DRAWING REQUIREMENTS – ELECTRICAL

A. General – The intent of this submission is to set forth Design Development for electrical work in sufficient detail to:

1. Clearly define the concept and elements of the electrical systems proposed for the development.
2. Provide proper coordination with architectural, structural and mechanical drawings and specifications.
3. Allow for technical review of adequacy, economy and compliance of proposed design with applicable regulations and codes.
4. Identify specific items of material and equipment contained in the specifications for electrical work prepared in accordance with instructions noted above.

B. Electrical Plans:

1. The orientation of electrical drawings must follow the same pattern as established on the architectural drawings. Titles of rooms corresponding to titles on the Architectural drawings must be noted on the Electrical plans.
2. In general, Design Development electrical drawings must include site plan, floor plans, details, schedules, riser diagram and a one-line schematic, all as outlined below.
3. Site plans must show:
 - a. Utilities – proposed and existing.
 - b. Topography – proposed and existing.
 - c. Site lighting and circuitry.
 - d. Fuel system location.
 - e. Meter locations.
 - f. Building outline.
 - g. Location of temporary services, if applicable.
 - h. Pertinent dimensions.

4. Floor plans must show each typical area in indicating the location and electrical circuitry to:

Outlets	Electrical equipment
Switches	Receptacles
Special systems	Lighting fixtures
Mechanical equipment	Panel boards
Smoke detectors	Hearing and vision fixtures

5. Details (as required by individual development) must include:

Transformer pads	Site luminaries
Counterpoise	Emergency system
Grounding	Generator including:
Manholes	duct systems
Concrete structures	exhaust systems
	fuel systems

6. Schedules (as required by individual development) must include:

Lighting fixtures	Transformers
Electrical equipment	Special apparatus
Panel boards	Mechanical equipment
Main distribution board	requiring electrical service
Heat transfer appliance	

Schedules must show (as applicable) symbols, abbreviations, interrupting capacity, etc.

7. One-line schematic (depending upon the scope of the development) must show:

Service entrance	Security
Power distribution	Fire alarms
Grounding	TV system
Telephone	Heat and smoke detectors
Communications	

8. Additional drawing data requirements:

Conduit type and size to be specified.

Conductor insulation, gauge, voltage, circular mill area and material to be specified.

Voltage configuration to be complete at all pertinent locations of change.

9. Other requirements:

Catalog cuts or manufacturer's descriptive literature must be provided for all major equipment items.

The enclosed *Electrical Requirements Checklist* and the applicable portions of the *Estimated Utility Cost* must be completed and submitted to PHFA.

2.02.A.6 SPECIFICATIONS

- A. Specifications must be prepared in accordance with the CSI 16 Division, 3-part format. Masterspec version or similar templates may be used. Outline specifications template may not be used.

SECTION 2.02.B
DESIGN DEVELOPMENT REQUIREMENTS CHECKLIST

Development Name: _____ PHFA No.: _____

The undersigned certifies that all items checked have been provided in the drawings and/or the specifications.

Design Architect (Print or type): _____

Design Architect (Signature): _____

Date: _____

Check the appropriate line if the development conforms to the requirement. Note N/A if it is not applicable. The Architect must submit a written request to PHFA for any waiver of the PHFA Development Requirements or for any items that are neither checked nor indicated as not applicable.

1. **Minimum Unit Sizes Requirements** – The following matrix establishes the minimum and maximum allowable net square footage area of units funded by PHFA. **Net** square footage shall be measured from the inside face of the exterior walls to the inside face of interior demising walls. The net area does not include unfinished outdoor storage space or spaces for heating and cooling equipment located outside the unit. Rehabilitation developments may vary from the maximums and minimums by 10%. Accessible units may vary from the maximums as required to provide an accessible route and accessibility maneuvering clearances.

	Unit Type	Flats	Multi-Floor Units
_____	SRO	90 to 200	
_____	EFF	400 to 600	
_____	1 BR	550 to 850	650 to 950
_____	2 BR	700 to 1,100	850 to 1,300
_____	3 BR	950 to 1,350	1,000 to 1,550
_____	4 BR	1,100 to 1,550	1,200 to 1,750
_____	5 BR	1,300 to 1,750	1,400 to 2,000

2. **Minimum Room Size Requirements** – Minimum room sizes do not include unusable alcove space at doors. Accessible rooms may require additional space in order to provide an accessible route and the necessary clearances.

(Waivers may be granted for room sizes in rehabilitation developments only, based on acceptable furnishability plans)

Bedrooms:

- ___ A. Primary or master bedroom – 120 sq. ft. (least dimension 10'-0").
- ___ B. Second bedroom – 100 sq. ft. (least dimension 9'-0").

___ C. Additional bedrooms – 90 sq. ft. (least dimension 9'-0").

Living Room:

___ A. Living room – 150 sq. ft. (least dimension 11'-0").

Living Room/Dining Room Combination:

___ A. Living room – 200 sq. ft. min. (least dimension 11'-0").

Dining Room:

The dining area shall be in addition to the living room space and must be appropriately sized. An eat-in kitchen may be substituted for a dining room as long as the kitchen and dining area are appropriately sized.

___ A. 1 BR Units - 70 sq. ft. min. (least dimension 8'-0")

___ B. 2 BR Units - 80 sq. ft. min. (least dimension 8'-6")

___ C. 3 BR Units - 90 sq. ft. min. (least dimension 8'-6")

___ D. 4 or more BR Units - 100 sq. ft. min. (least dimension 9'-0")

Other Unit Space:

___ A. Dwelling unit corridors and stairs – 36" minimum width.

Ceiling Height:

___ A. Ceiling height must be 7'-6" minimum, except that 7'-0" ceiling height is allowable in bathrooms, storage rooms, mechanical rooms and closets. A maximum of 15% of any other room may have a ceiling height of 7'-0" to allow for soffits, bulkheads, beams, etc.

- ___ 3. **Accessibility (Facilities, Apartments and Parking)** – All applicable Local, State and Federal regulations and PHFA requirements must be met. Refer to Section 1.02, Accessibility Requirements, for additional information.
- ___ 4. **Community Space** – All developments, except for scattered sites and those with 11 units or less, should be designed with adequate community space to accommodate functions and services offered at the facility. Developments should also provide a public restroom. Community rooms should be a single room sized to provide at least fifteen (15) sq. ft. per unit, for developments with 12 to 50 units. Community rooms in developments with more than 50 units shall be a minimum of 750 sq. ft. in size.
- ___ 5. **Management Office** – An on-site management office must be provided for all developments except those with 11 units or less or scattered site developments. Developments that are a continuation of a phased development with a total of more than 11 units must provide a management office in one of the phases.
- ___ 6. **VisitAbilitycm* Goal** – In new construction and new additions, all units are expected to be visitable, unless a waiver was granted during the loan application review. In rehabilitation developments, PHFA has adopted the goal of providing visitability to as many units as possible for the purpose of allowing persons with disabilities the ability to visit neighbors and friends. Please refer to our VisitAbilitycm* Guidelines, Section 1.08, included within this Guide.
- ___ 7. **Air Conditioning** – The living areas and bedrooms of all dwelling units must be air conditioned. Window air conditioners will not be considered as meeting this criterion. In new

construction and substantial rehabilitation developments, all common areas must also be air conditioned, except for stair towers, mechanical and storage areas.

8. Building Security:

- ___ **A.** All developments with shared entrances must be equipped with an intercom/security system or equivalent to control access to the building. The system shall not rely on a connection to the telephone service.
- ___ **B.** Entrance doors must be equipped with dead bolt lockset, a passage latch set and a door knocker with viewer.
- ___ **C.** All dwelling units must be equipped with an identification number.

___ **9. Below-Grade Units** – The maximum distance a floor level in any dwelling unit may be below finish grade elevation outside the unit is 4'-0". Finish grade must slope away from the building.

10. Bathrooms:

- ___ **A.** One and a half baths for three bedroom and two baths for four bedroom and larger units must be provided (one may be a shower).
- ___ **B.** Bathroom floor finish must be ceramic tile or sheet vinyl. Vinyl composition tile (VCT) is not acceptable.
- ___ **C.** Accessories – Vanity bases must be provided for all bathrooms and powder rooms. Removable fronts are suggested for handicapped adaptable units. All bathrooms must have a minimum of two 24" towel bars, a toilet paper holder, shower rod in tub/shower unit or shower unit, and a medicine cabinet with mirror. A light fixture must be located over the mirror.
- ___ **D.** Solid blocking must be installed in all framed walls behind grab bars and all other wall-mounted appurtenances that will be subjected to loads.

11. Kitchens:

- ___ **A.** Ducted range hoods with fans and lights must be provided above all ranges. (Recirculating range hoods are allowed in buildings with an energy/heat recovery ventilation system, if an intake grille is located near the range.)
- ___ **B.** Kitchen cabinets must meet PHFA standards (Refer to PHFA Kitchen Cabinet Minimum Standards, Section 1.22). Cabinets in accessible units must have loop type hardware throughout.
- ___ **C.** A minimum of one 15" wide drawer base must be provided in all kitchens.
- ___ **D.** Refrigerators must be provided with all units except SROs with common cooking facilities. All refrigerators must be frost-free and must have two doors (separate doors for freezer and refrigerator compartments). Minimum sizes must be:

1-Bedroom	13.0 cu. ft.
2-Bedroom	15.0 cu. ft.
3-Bedroom	15.0 cu. ft.
4-Bedroom	17.0 cu. ft.

- ___ **E.** Ranges must be provided in all units and community room kitchens and kitchenettes, except SROs with common cooking facilities. All units with two or more bedrooms must be equipped with 30" wide ranges. Ranges less than 30" in width must not be located abutting partitions. A protective shield must be provided on the section of wall directly behind all ranges and beside ranges abutting partitions or cabinetry. The protection must extend from the top of the

range to the underside of the hood or cabinet above for the width of the range or more. Protective shields must be high pressure plastic laminate, enameled steel or stainless steel.

- ___ F. In general occupancy units with 2 or more bedrooms, double bowl sinks are required unless dishwashers are provided.
- ___ G. Where dishwashers are supplied, they must be 24" wide, full size, under-counter type.
- ___ H. Consideration should be given to the installation of electronic high temperature limiting devices on the stovetop elements of electric ranges, or the installation of powder based stovetop fire suppression canisters above electric or gas ranges.

12. Flooring - If sheet vinyl or VCT is used it must comply with sound ratings found in Section 2.02.B.29 Sound Insulation.

- ___ A. Carpet must meet the acceptance criterion of Federal Standard DOCFF1-70 for flammability or Class II, 0.22 watts/cm² per the International Building Code, whichever is greater. Carpeting in units must be a minimum of 24 oz. goods, and in public spaces, a minimum of 28 oz. goods. Carpet must meet HUD UM-44D requirements. Parquet, hardwood, tile or equal quality flooring may be substituted where sound transmission is not a factor.
- ___ B. Where provided, carpet padding must be a minimum of Class 2, 8.5 lb./cu.ft. (32 oz./sq.yd.) density goods meeting HUD UM-72 requirements.
- ___ C. Direct glued-down carpet must be used in units for persons with disabilities.
- ___ D. Provide carpeting in public corridors and lobbies with the exception of the entrance vestibules where a hard surface and a floor mat must be provided.
- ___ E. Carpeting is recommended throughout the apartments with the exception of utility closets, laundry areas, bathrooms, kitchens and entrance foyers where entry is directly from outside, (e.g., as in townhouses). Hard surface flooring may be substituted for carpet, with PHFA approval and documentation verifying that sound transmission ratings and impact isolation ratings have been met.
- ___ F. Sheet Vinyl must be full spread adhesive installation, using maximum width possible to avoid seams.
- ___ G. Vinyl Composition Tile (VCT) cannot be used in dwelling unit bathrooms.

13. Furnishings:

- ___ A. All windows, sliding doors and patio doors within habitable spaces must be equipped with: curtain rod and vinyl shade, or mini-blinds.
- ___ B. Community areas must be furnished with drapery tracks, drapes and liners, blinds, shades, etc., as appropriate for the intended use of the space.

14. Signage:

- ___ A. A floor identification sign shall be provided outside the elevator doors on each floor.
- ___ B. A building or development identification sign must be provided in a highly visible location (may be freestanding or attached to the building). The sign must contain the development name, development phone number, TTY number, the equal housing opportunity logo and the accessible housing logo.
- ___ C. Room identification signs must be provided for all community, management, maintenance and public spaces.

- ___ D. All permanent interior signage, including individual apartment identification, must comply with ADA, UFAS, and ANSI A117.1 requirements.
- ___ E. All dwelling units with exterior entrances shall have street address/unit number identification, 3" minimum in height.

15. Closets and Storage:

- ___ A. All closets must have doors that fully conceal the contents of the closet.
- ___ B. Closet door widths shall be sized to offer maximum access to the closet interior. Closet interior shall not extend more than 12" on each side of door opening.
- ___ C. The height of closet doors must not exceed 6'-8" unless the specified door and installation has been reviewed and approved by PHFA.
- ___ D. All closet shelves and rods 4'-0" or longer must be provided with center supports. Closets in accessible units must have shelves and rods mounted within the accessible reach range in accordance with the ADA Guidelines.
- ___ E. Pantry storage should be provided.
- ___ F. Linen storage must be provided.
- ___ G. An entry coat closet must be provided.
- ___ H. Provide adequate storage space: all unit types (except SRO's) must have a minimum of 10 sq. ft. of storage space plus an additional 5 lineal feet of full height hanging space in each bedroom within a unit. Family units must have an additional, separate twelve (12) sq. ft. of storage space inside or outside of the unit in a basement or other space for bikes, tires, etc. SRO's must be provided with an adequate closet or wardrobe cabinet for clothes storage.

16. Blocking: Provide concealed 1½" thick wood blocking at the following locations:

- ___ A. All wall mounted accessories (curtains, blinds, towel bars, toilet paper holders;
- ___ B. Grab bars – Blocking for installed or future grab bars shall be continuous behind the bar location. Where small grab bars are installed for visitability or Fair Housing Act conformance, the blocking shall be sized to accommodate the grab bars required by ANSI A117.1-2009.

17. Laundry Facilities:

Combination washers and dryers are not acceptable in any unit. Stackable washers and dryers will not be allowed in accessible units. In developments with shared facilities, the laundry shall be located in a separate room and not be shared with a Community Room or other common area.

- ___ A. Laundry facilities must be provided unless individual washers and dryers are provided in each unit. For developments consisting of numerous buildings, several small facilities may be provided in lieu of one facility.
- ___ B. If central facilities are provided, at least one washer and one dryer must be provided for every twelve (12) units in general occupancy developments or every (20) units in elderly occupancy developments, with a minimum of two (2) washers and two (2) dryers required in each facility.
- ___ C. A minimum of one front-loading washer and dryer must be provided in each common laundry facility and in accessible units with laundry facilities.
- ___ D. A built-in sorting counter, hanging rod or space for a table and portable hanger must be provided, as well as space for chairs in all laundry facilities.

- ___ E. The equipment may be coin operated type leased from a concessionaire.
- ___ F. Washer and dryer areas located within a unit must be concealed unless located in a basement.
- ___ G. Stackable washers and dryers may be used in units with 2 or less bedrooms. Large capacity side by side washers and dryers must be provided in units with 3 or more bedrooms.

18. Development Facilities and Maintenance:

- ___ A. Maintenance space for storage of building and ground maintenance equipment, tools and supplies, and a workshop must be provided. Note that where hazardous materials such as gasoline are stored, special precautions must be taken (does not apply if all maintenance services and repairs are contracted out).

19. Natural Light and Ventilation:

- ___ A. Must be provided in all living rooms and bedrooms. Skylights are not acceptable as the only source of light and ventilation in a room.
- ___ B. At least one window per room must be a ventilating type window with a full screen for the operable portion of the window.
- ___ C. Below grade units must have window sill heights at a maximum of 4'-6" above floor level.

20. Interior Painting:

- ___ A. A semi-gloss, egg shell or equivalent high quality washable latex paint must be specified for all kitchens and bathrooms in dwelling units, and all restrooms, stairs, corridors and vestibules in public or common areas, unless a protective wall covering such as vinyl wall covering is provided.
- ___ B. Semi-gloss or high-gloss enamel must be specified for laundry, maintenance, storage and utility rooms in common areas.

21. Parking and Sidewalks:

- ___ A. The parking ratio must be in conformance with the Local zoning ordinance unless a variance is obtained.
- ___ B. A minimum of 5% of the total number of parking spaces must meet the latest accessibility standards. If parking spaces are provided for each unit, accessible spaces must be provided for each accessible unit. If parking spaces are provided at a ratio of less than one space per unit, accessible spaces, at a minimum, shall be provided at the same ratio.
- ___ C. A minimum of (1) accessible parking space must be provided for visitors.
- ___ D. All driveways, streets and parking lots must be paved.
- ___ E. In municipalities without a zoning ordinance or parking regulations, a minimum of one (1) parking space per dwelling unit plus one (1) space per employee and two (2) guest spaces must be provided.
- ___ F. Pedestrian sidewalks must be cast-in-place concrete, minimum 4" thick over 4" minimum clean 2B stone base. Bituminous sidewalks are not permitted.
- ___ G. Accessible parking spaces and sidewalks that are part of the accessible route shall have their slope noted in percent.

22. Outdoor Recreational Facilities - Should be considered if none exists in close proximity to the development site. List the recreation equipment planned for the development below:

A. _____

B. _____

C. _____

23. Materials for Outdoor Furnishings, Equipment, and Recreational Structures:

- ___ A. Benches, tables, chairs and play equipment and structures must be of the following materials or combinations thereof:
 - ___ 1. Wood must be decay resistant species, pressure treated (labeled in accordance with the applicable AWPB Standard), vacuum and non-pressure treated (conforming to NWMA-IS-A and bearing the NWMA Seal of Approval) or a minimum of two (2) coats of high quality exterior grade sealer, stain or paint must be applied on all sides, edges and ends. The wood must be guaranteed for a minimum of one (1) year to be free of objectionable splinters, checks, shakes, warping, loose knots, decay and stains.
 - ___ 2. Concrete must be precast reinforced concrete, sealed with a minimum of two (2) coats of acrylic sealer. If color is specified, it must be cast integrally.
 - ___ 3. Metals must be anodized aluminum or galvanized steel.
 - ___ 4. Fiberglass must be "super-strength" fiberglass. Lightweight fiberglass is not permitted.
- ___ B. All hardware must be corrosion and vandal-resistant, (e.g., hot dipped galvanized or high tensile, strength bolted connections requiring special wrenches for dismantling, galvanized nails for fencing and enclosures).
- ___ C. All railroad ties used for curbs, steps, wheelstops, retaining walls, etc., must be pressure treated CCA-C AWFA C2, C9 .40 pcf.

24. Lawn Seeding - Loose seed shall only be permitted to patch small utility excavation, etc. All other seeding shall be one of the following:

- ___ A. Hydro seed – Contractor shall be responsible for watering, feeding, and mowing until mature growth is established.
- ___ B. Sod – Contractor shall be responsible for watering and feeding for 3 months after installation.

25. Waste Disposal – (Check applicable systems used):

- ___ A. Garbage disposals are recommended where wet garbage presents sanitation problems. Disposals are required in mid or high-rise buildings if trash chutes and compactors are not provided.
- ___ B. Trash room(s) – All trash rooms must contain a hose bib and floor drain and have a durable water resistant floor finish.
- ___ C. Trash compactor.
- ___ D. Dumpster(s).
- ___ E. Recycling provisions - The size, number and design of collection area(s) must conform to the requirements of the Local recycling ordinance.
- ___ F. Outdoor collection – Dumpster(s): Outdoor collection areas must have concrete pads and be visually screened, (e.g., evergreen hedges or shrubs, masonry or pressure treated wood enclosures). The type of collection service must be determined in advance of design in order to establish the correct size and number of areas and the required service vehicle access and clearance. A minimum 6" thick, reinforced structural concrete pad (approximately 10' x 10')

must be provided in front of the collection area to prevent pavement damage by the garbage trucks for dumpster type collection.

- _____ 26. **Fire Extinguishers** – Provide a minimum of one 5-pound, 2A-10B-C Rated fire extinguisher in all units with a range or cook top. Other fire extinguishers must be provided for the development as required by code. If mounted in closets, the contents of the closet shall not obscure the extinguisher. Therefore, coat closets are not usually an acceptable location.
- _____ 27. **Basements** – Must have 4” thick concrete floors with vapor barriers over 4” gravel base.
- _____ 28. **Termite Infestation** – Measures must be taken to protect the building from termite infestation. It is recommended that careful environmental considerations be taken in the selection of the method chosen to protect the building. PHFA’s Green Building Criteria does not allow the use of soil poisoning for termite treatment.
- _____ 29. **Environmental Remediation Requirements** – The Architect must indicate in the Contract Documents any environmental remediation work to be performed on the site. This must be shown as part of the Scope of Work described in the Contract Documents. This is required to identify that remediation work needs to be done, so the proper officials will be made aware of the need to certify the work was properly performed. In the case where the environmental remediation work is not part of the Scope of Work, it must be clearly noted in order to place the responsibility clearly on the party responsible for the work.

_____ 30. **Sound Transmission:**

<u>Location</u>	<u>IIC*</u>	<u>STC**</u>
Partitions	N/A	50(55)***
Floor/Ceiling	50(55) ***	50(55) ***

- * **Impact Isolation Class** for floor/ceiling assemblies separating living units from other living units, and from public spaces and service areas with moderate noise levels.
- ** **Sound Transmission Class** for partitions separating living units from other living units and from public spaces and service areas with moderate noise levels.
- *** **(55)** Represents the IIC and STC Class for separations between living units and high noise areas, (e.g., mechanical, emergency generator and trash compactor rooms, elevator, trash chases and chutes, laundry and maintenance areas, etc.).

- _____ 31. **Substrates** – Ceramic tile or EIFS (Dryvit) interior or exterior finishes shall only be installed over cementitious or masonry substrates. Moisture-resistant gypsum board is NOT allowed.
- _____ 32. **Ice Dam Protection** – A self adhesive membrane underlayment shall be installed at all roof eaves and valleys. At eaves, membrane shall extend up roof for a horizontal distance of 24” from interior face of outside wall.
- _____ 33. **Drainage Barrier** – A drainage barrier is required behind all siding and masonry veneer in wood framed construction.
- _____ 34. **Reroofing** – All reroofing applications must include the removal of the existing roofing system down to the roof deck.
- _____ 35. **Elderly Facilities Amenities** - Required physical and design accommodation features and amenities:
 - _____ A. Handrails on both sides of common area corridors. Handrail ends must return to the wall.
 - _____ B. Emergency call provisions with actuating devices in all bedrooms and bathrooms. The system shall register an audible and visual signal at: - A central supervised location which identifies the call origination; or

- A location directly outside the dwelling unit entrance door.

36. PHFA Supplemental Accessibility Requirements.

A. Common Areas Designed for Mobility Impairments:

- ___ 1. A full width kick plate must be provided on both sides of all exterior entrance doors, all unit entrance doors, and all common area doors that permit tenant access.
- ___ 2. Wall corner guards (textured, vinyl 1-1/2" X 1-1/2" minimum) must be provided at all outside wall corners in all common areas.
- ___ 3. All developments must be designed with 5% minimum accessible units and an additional 2% minimum hearing/vision impaired units.

B. Accessible Dwelling Units - All accessible units shall conform to the requirements for ICC/ANSI A117.1-2009 "Type A Units". For developments with federal funding and subject to the Uniform Federal Accessibility Standards (UFAS), note that HUD allows conformance with the 2010 ADA in lieu of UFAS, with a few limitations (see <http://nlihc.org/article/alternative-accessibility-standards-issued> for details). In addition the following PHFA provisions are required:

- ___ 1. A full width kick plate must be provided on both sides of all interior doors that permit passage and on one side of all other doors.
- ___ 2. Wall corner guards (textured, vinyl 1-1/2" X 1-1/2" minimum) must be provided at all outside corners within accessible units.
- ___ 3. Grab bars must be installed at all required locations
- ___ 4. A minimum of 50% of the accessible units shall include a bathroom with an accessible shower (not applicable to dwelling units in general occupancy developments with only one bathing fixture). The remaining accessible units shall have an accessible tub/shower. Accessible showers shall have a curb height of 1/2". The shower shall include a built-in folding seat, shower controls and an adjustable height hand-held shower head within reach of the seat, and a collapsible dam at the shower entrance. All bathrooms with 1/2" curbed showers shall have a floor drain provided in the bathroom floor outside of the shower. A removable seat, as shown in ANSI Figure 610.2, shall be provided in all accessible tub/showers. (The above information is recommended but not required on preservation developments)
- ___ 5. Shower heads and mirrors in accessible units shall be mounted to permit use by those with mobility impairments and those without.
- ___ 6. Due to the requirement for knee space beneath the kitchen sink and work counter, adequate accessible storage space must be provided in kitchens by means of additional base cabinets or pantry cabinets/closets.
- ___ 7. Removable kitchen base cabinets may be installed at the areas requiring knee space. These cabinets must be removable without disconnection of any plumbing lines. The walls, floor and sides of adjacent cabinets must be finished and wall base installed during the initial construction.
- ___ 8. Refrigerators should be located to allow doors to open 180 degrees.
- ___ 9. A 30" work surface with knee space (or removable cabinet) beneath must be provided beside the oven in all accessible kitchens.
- ___ 10. Knee and leg protection must be provided at all exposed plumbing beneath accessible sinks and lavatories.

_____ 11. All rooms in an accessible unit must be accessible. Accessible bedrooms must have a minimum 30" access aisle on both sides and at the foot of the bed. The primary bedroom must accommodate a queen size bed. All other bedrooms must accommodate a twin bed.

_____ 12. At the exterior entrance to an accessible, adaptable or visitable unit, a minimum 30" overhang or porch roof is required to protect the entrance door from rain and snow.

_____ 37. **The Architect has reviewed the Design Architect's Certifications for Threshold and Selection Criteria** submitted in the loan application and hereby confirms that he/she has incorporated all certified amenities into the Contract Documents.

SECTION 2.02.C
DESIGN DEVELOPMENT REQUIREMENTS CHECKLIST
FOR GREEN BUILDING CRITERIA

Development Name: _____ PHFA No.: _____

The undersigned certifies that all items checked have been provided in the drawings and/or the specifications.

Design Architect (Print or type): _____

Design Architect (Signature): _____

Date: _____

Check the appropriate line if the development conforms to the requirement. Note N/A if it is not applicable. The Architect must submit a written request to PHFA for any waiver of the PHFA Development Requirements or for any items that are neither checked nor indicated as not applicable.

The Design Development requirements for Preservation Developments will be reviewed on an individual development basis, but the below listed requirements will apply to the greatest extent possible.

_____ 1. The development shall meet all of the mandatory measures outlined in the 2015 Enterprise Green Communities criteria, or any subsequent updates. Submit the Green Communities Criteria Checklist.

_____ 2. No piping shall be located outside of the interior finish of the insulated building envelope. (Not applicable to existing piping in preservation developments)

_____ 3. All domestic water pipes except for PEX piping shall be insulated (Not applicable to concealed piping in preservation developments)

_____ 4. Termite shields or borate based wood treatment shall be provided with low VOC caulking at all floor joints and penetrations to prevent insect infestation. Chemical soil treatment or bait stations shall not be used. (Not applicable to existing buildings)

_____ 5. If the application for funding received ranking points for optional Enterprise Green Communities criteria, submit the Green Communities Criteria Checklist and the point value for each selected item. Provide additional documentation and calculations as necessary to verify compliance.

SECTION 2.02.D
DEVELOPMENT TABULAR SCHEDULE

(To be completed by the Architect)

Development Name: _____

PHFA No. _____ Date _____

1. Number of Buildings: _____
2. Building Height (Stories): _____
3. Building Code: ____ IBC ____ IRC Construction Type: _____
4. Structural System: _____
5. Exterior Finish: _____
6. Gross Building Area *: _____
7. Gross Commercial Area: _____ SF _____ % of Gross Bldg. Area
8. Number of On-Site Parking Spaces: _____
9. Required Variances: _____

10. Applicable Accessibility Regulations:
 Sec. 504 ____ UFAS ____ PA UCC ____ FHAA ____ ADA ____

Unit Type	No. of Units	Accessible Units		Adaptable Units		Net Square Footage**
		Wheelchair	Hearing/Vision	Wheelchair	Hearing/Vision	
SRO						
EFF						
1 BR						
2 BR						
3 BR						
4 BR						
Total Units						

* Gross Building Area is all improved areas including commercial space measured from the outside of the exterior walls; do not include unimproved basements or abandoned, unused space.

** Net area is measured from the interior face of the unit separation and/or exterior walls. Show the average if there is more than one size in each type.

SECTION 2.02.E
DEVELOPMENT SECURITY AND MAINTENANCE REQUIREMENTS
CHECKLIST FOR URBAN LOCATIONS

Development Name: _____ PHFA No.: _____

The undersigned certifies that all items checked have been provided in the drawings and/or the specifications.

Design Architect (Print or type): _____

Design Architect (Signature): _____

Date: _____

Check the appropriate line if the development conforms to the requirement. Note N/A if it is not applicable. A waiver request must be submitted for any items that are neither checked nor indicated as not applicable.

- ____ 1. All developments with shared entrances (high, mid and low-rise and garden apartments) must be equipped with an apartment intercom system or equivalent security system at the main entrance(s) used by tenants and the public on a regular basis. The intercom system must not rely on a connection to the telephone service. Hearing and vision impaired units must have facilities for residents to identify and allow visitors to enter the building without having to leave their units.
- ____ 2. Apartment entrance doors must be equipped with a passage latch-set, dead bolt lockset, knocker, viewer and an apartment identification number.
- ____ 3. As much as possible, the building(s) must be oriented on the site so that all parts of the site can be observed from the building(s) and from the surrounding streets. Avoid blind corners and courtyards unless they can be secured.
- ____ 4. Place all meters so that they are protected from vandalism and can be read from outside the building.
- ____ 5. For family type developments, fence in recreational and landscaped areas with decorative security fencing with factory applied color finish of appropriate height to prevent trespassing and vandalism. Cyclone or equal fencing with a factory applied color finish of appropriate height may be used at selective secondary areas only with PHFA approval.
- ____ 6. Provide "Door Ajar" alarms or, where approved by code, electromagnetic release devices for secondary or fire exit doors.
- ____ 7. Where practicable, provide decorative code approved security grilles or screens for basement and first floor windows with sills less than 60 inches above exterior finished grade.
- ____ 8. Avoid through-wall penetrations, (e.g., removable AC units, exhaust grilles, etc.), unless small enough to prevent entry and placed a minimum of 60 inches above exterior finished grade.
- ____ 9. Masonry or equal exteriors are recommended. At a minimum, the first 8 feet above grade should be masonry or equivalent strength material with "Anti-Graffiti" coating.
- ____ 10. Minimize front and side yard setbacks facing public right-of-ways as much as possible and to the extent allowable by code and zoning.
- ____ 11. Provide hard surfaces for all areas where landscaping is unlikely to survive, (e.g., brick or other decorative paving for building setbacks and walks or stepping stones in areas subject to foot traffic).

SECTION 2.02.F
MECHANICAL REQUIREMENTS CHECKLIST

(Must be submitted with Design Development Drawings and Specifications)

Development Name: _____ PHFA No.: _____

The undersigned certifies that all items checked have been provided in the drawings and/or the specifications.

Design Professional (Print or type): _____

Design Professional (Signature): _____

Date: _____

A checkmark indicates that the development conforms to the requirement. Note N/A if the item is not applicable. A waiver request must be submitted for any items that are neither checked nor indicated as not applicable.

The Design Development requirements for preservation developments will be reviewed on an individual development basis, but the below listed requirements will apply to the greatest extent possible.

Contract Documents must be complete and enforceable by the Architect/Engineer and the Agency's Field Representative.

- ___ 1. **Shower/Tub Combinations** – Every bathtub must be furnished with shower fittings. All tubs and showers must have an anti-scald valve. Baths with accessible showers must include a drain in the bathroom floor in addition to the shower. Single piece tub/shower units must not be installed directly to studs on exterior walls but must be installed over taped gypsum wallboard to eliminate air infiltration.

- ___ 2. **Water Usage** – Plumbing fixtures in dwelling units and common areas shall meet the following water usage rates:
 - Toilets: 1.28 gpf
 - Urinals: 0.5 gpf
 - Showerheads: 2.0 gpm
 - Kitchen faucets: 2.0 gpm
 - Lavatory faucets: 1.5 gpm

- ___ 3. **Exposed Piping and Conduit** – Exposed refrigerant, power and control wiring from building to the remote condensing unit must be protected. Piping must be bundled and covered with P.V.C. split insulation jacket with cemented joints.

- ___ 4. **Kitchen Exhaust** – Must be provided with a combination fan and light range hood and must be controlled by a separate switch and be ducted to the exterior. (Recirculating type range hoods may remain in preservation developments and may be used in developments utilizing an ERV or HRV system with an exhaust grille in the kitchen)

- ___ 5. **Gas Furnaces** – All gas furnaces shall be Energy Star labeled.

- ___ 6. **Ventilation** -- Requirements of the International Building Code shall be followed for ventilation of the following areas:
 - ___ A. Elevator machine rooms.
 - ___ B. Trash rooms.
 - ___ C. Laundry rooms.
 - ___ D. Mechanical and electrical rooms.
 - ___ E. Corridors.

7. **Air Conditioning Requirements (Mechanical Cooling):**

- ___ A. The living areas and bedrooms of all dwelling units must be air conditioned. Window air conditioners will not be considered as meeting this criterion.
- ___ B. In new construction and substantial rehabilitation developments, all common areas must also be air conditioned, except for stair towers, mechanical and storage areas.

- ___ 8. **Compressor Warranty** – A minimum five (5) year compressor and refrigeration circuit warranty is required on all developments for all refrigeration (mechanical cooling) units. This includes through-the-wall equipment, split systems and central systems.
- ___ 9. **Chemical Feeders** – A one-shot type, two (2) quart minimum capacity chemical feeder must be installed on all developments utilizing central hot and/or chilled water piping systems.
- ___ 10. **Utility Metering** – To discourage the waste of energy and to encourage conservation, PHFA suggests individual gas metering whenever possible. Gas bulk metering may be provided if the rate schedule justifies its use. Water metering may be bulk and/or individual metering as required by the Local utility company.
- ___ 11. **Clothes Dryers** – Exhaust ductwork must be rigid duct with accessible cleanouts to vacuum clean entire duct system.
- ___ 12. **Water Coolers** – If provided, water coolers must be dual height type, with standard and accessible height spouts.
- ___ 13. **Accessible Units** – Insulate or otherwise protect the hot, cold and drain piping exposed below the kitchen sink and bathroom lavatories.
- ___ 14. **Sprinkler System** – All Group R-2 Buildings and townhouses must be provided with an automatic fire suppression system throughout all buildings and structures in accordance with the PA UCC and the International Building Code as applies. All sprinkler/water rooms must be heated.
- ___ 15. **Pipe and Duct Locations** - All water piping and heating/cooling ductwork must be located within the conditioned space, (i.e., on the dwelling unit side of the air barrier on the interior of the exterior wall and roof/ceiling assemblies).
- ___ 16. **Water Heaters** – Minimum capacity water heaters must be provided as follows:
 - 3 BR Units and above -----50 gal.
 - 2 BR Units -----40 gal.
 - 1 BR Units -----30 gal.
 - Efficiency Units-----30 gal.
 - Elderly Units-----30 gal.All water heaters must have a drip pan connected through a trap to a waste line.
- ___ 17. **Central Domestic Hot Water Systems** – All central hot water piping systems shall include a pumped return to prevent bio-hazard growth.
- ___ 18. **Domestic Water Plumbing Systems Using PEX or Other Cross-linked Polyethylene Piping** - Shall be installed with manifolds in each individual dwelling unit. The manifolds shall be accessible by means of an access panel or door. All piping from the manifold block to each plumbing fixture shall be a single length of continuous polyethylene cross-linked pipe (no joints are allowed).

- _____ 19. **Return Register** – In multi-level units, a return grille is required on each level, as prescribed in the 2006/2009 IRC through ACCA Manual D. This shall also apply to all PHFA multi-level units constructed under the IBC. The return air duct may be a plenum type as permitted by code, and all applicable fire codes must be satisfied.
- _____ 20. **Ductwork**
- _____ A. **Sealing** - All duct joints and seams shall be sealed with mastic or similar product as listed in SMACNA Manual N.
- _____ B. **Hangers** – Duct hangers shall not include fasteners that penetrate the duct.
- _____ 21. **Equipment Servicing** – In mechanical rooms or closets containing multiple pieces of equipment, it must be possible to service and replace each piece of equipment without removing any other equipment.
- _____ 22. **Electric Resistance Heat** – An HVAC system utilizing electric resistance heating as the primary heat source shall not be allowed in PHFA developments.
- _____ 23. **Exposed Plumbing** - All plumbing lines must be concealed except in Mechanical Rooms and unfinished Basements only.
- _____ 24. **Shut-Off Valves** – Shut-off valves must be installed at the main water line(s) where they enter the unit, and on each line at all plumbing fixtures, including the water heater.

SECTION 2.02.G

ELECTRICAL REQUIREMENTS CHECKLIST

(Must be submitted with Design Development Drawings and Specifications)

Development Name: _____ **PHFA No.:** _____

The undersigned certifies that all items checked have been provided in the drawings and/or the specifications.

Design Professional (Print or type): _____

Design Professional (Signature): _____

Date: _____

A checkmark indicates that the development conforms to the requirement. Note N/A if the item is not applicable. A waiver request must be submitted for any items that are neither checked nor indicated as not applicable.

The Design Development requirements for preservation developments will be reviewed on an individual development basis, but the below listed requirements will apply to the greatest extent possible.

- _____ 1. **Electrical Systems and Equipment** - Must be designed and constructed in accordance with the International Residential Code or NFPA 70 National Electrical Code as applies.
- _____ 2. **Site Lighting** – Lighting fixtures must be shatter-resistant and tamperproof. Lamps must be high efficiency design, low energy type, (e.g., high pressure sodium. Provide .5 fc minimum).
- _____ 3. **Utility Metering** – To discourage the waste of energy and to encourage conservation, PHFA suggests individual electric metering whenever possible. Electric bulk metering may be provided where the rate schedule justifies its use.
- _____ 4. **Smoke Detectors** – Must be furnished and installed in the following areas:

- ___ **A.** In the areas adjacent to the sleeping area, one in each bedroom and a minimum of one detector on each floor including the basement in multi-story dwellings. Detectors must be 120-volt AC type with battery back-up. Detectors are required whether the dwelling units are sprinklered or not.
 - ___ **B.** Hearing/vision-impaired units must have strobe/horn type visual signaling devices wired to the unit smoke detectors and the building fire alarm system (if provided) and must be visible in all rooms of the dwelling unit including the bathroom(s).
 - ___ **C.** Public areas – In all public areas, sprinklered or not.
 - ___ **D.** Storage room – In all unsprinklered storage rooms; in all storage rooms in excess of 100 sq. ft., sprinklered or not.
 - ___ **E.** Mechanical and electrical rooms – All mechanical and electrical rooms must have a smoke or heat detector, sprinklered or not. Mechanical closets in individual units are not required to have detectors unless required by code.
 - ___ **F.** Stair towers – At the top of each stair tower.
 - ___ **G.** Trash room – In the trash collecting room and at the top of the trash chute.
 - ___ **H.** Corridors – At the ends of each corridor leading into stair towers or dead-ended. Corridor coverage must not exceed 39 feet spacing between smoke detectors, or as required by the latest edition of the International Building Code or NFPA 72, The National Fire Alarm Code.
 - ___ **I.** Heat detectors – Developments located in the City of Philadelphia may have additional requirements. Check with the City Code Administrator for details.
- ___ **5. Elevators** – Where an elevator is provided, PHFA recommends, but does not require, that at least one be connected to an auxiliary/ emergency generator power system.
 - ___ **6. Electrical Panel Boxes** – In accessible and adaptable units, tenant electrical panels shall be mounted with the top breaker within the accessible reach range.
 - ___ **7. Accessibility Requirements** – The electrical design must include the necessary features discussed in Section 1.02.
 - ___ **8. Telephone & TV Cable Service** – Every building and every unit shall be pre-wired for telephone and TV cable service.
 - ___ **9. Electric Resistance Heat** – Electric resistance heating shall not be allowed as the primary heat source in PHFA developments.
 - ___ **10. Carbon Monoxide Detectors** – A carbon monoxide detector or central detector/alarm system must be installed in all dwelling units and multifamily buildings with fossil fuel fired equipment as required by the PA Uniform Construction Code, the National Electric Code, The Pennsylvania Carbon Monoxide Alarm Standards Act of 2013, and the City of Philadelphia Carbon Monoxide Alarm Law of 2008.

SECTION 2.02.H
SURVEYOR'S REPORT

(Must be Filled Out and Signed with All Surveys)

To: _____ Date: _____

THIS IS TO CERTIFY, that on _____, 20____, I made an accurate Survey of the premises standing in the name of _____

Situated at _____,

_____, _____, _____,
(City) (County) (State)

Known as street numbers _____ and shown on the accompanying Survey entitled:

I made a careful inspection of said premises and of the buildings located thereon _____ at the time of making such Survey, and again on _____, 20____, and on _____ such latter inspection, I found said premises to be in the possession of _____.

(Tenant of Owner)

I further certify as to the existence or non-existence of the following at the time of my last inspection:

1. Rights of way, old highways or abandoned roads, lanes or driveways, evidence of ingress or egress, drains, sewer or water pipes over and across said premises:

2. Springs, streams, rivers, ponds or lakes located, bordering on or running through said premises:

3. Cemeteries of family burying grounds located on said premises:

4. Telephone, telegraph or electric power poles, wires or lines located on, overhanging or crossing said premises:

5. Disputed boundaries or encroachments. (If the buildings, projections or cornices thereof or signs affixed thereto, fences or other indications of occupancy encroach upon adjoining properties or the like encroach upon surveyed premises, specify all such):

6. Are there any indications of signs of occupancy or use of premises for residential purposes, building construction, alterations or repairs within recent months?

7. Building or possession lines. (In case of City or Town property, specify definitely as to whether or not walls are independent or party walls and as to all easements of support of "Beam Rights." In case of County Property Report, specifically how boundary lines are evidenced, that is, whether by fences or otherwise):

8. Any change in street lines either completed or officially proposed?

A. Are there indications of recent street or sidewalk construction or repair?

9. If any zoning or other municipal regulations affect the use of the surveyed premises, do the improvements on the premises and the use of them comply with such?

10. If you have information as to any restrictive covenants on the property, do the improvements, use and occupancy comply with such? (If the premises are subject to restrictive covenants, obtain and attach a verbatim copy of them):

11. Indicate the accuracy of the closure of the metes and bounds of the Legal Description and the Survey:

Registered Surveyor No. and Signature: _____

NOTE 1: Answer each item if the property is not subject to any such of Items 1 to 5, inclusive; insert the word "None" following the item. If necessary, describe on separate sheet.

NOTE 2: In all cases where there are encroachments, support easements, party walls, etc., they should also be denoted upon the map of your survey.

TABLE A

OPTIONAL SURVEY RESPONSIBILITIES AND SPECIFICATIONS

NOTE: The items of Table A must be negotiated between the surveyor and client. It may be necessary for the surveyor to qualify or expand upon the description of these items (e.g., in reference to Item 6(b), there may be a need for an interpretation of a restriction). The surveyor cannot make a certification on the basis of an interpretation or opinion of another party. Notwithstanding Table A Items 5 and 11(b), if any engineering design survey is desired as part of an ALTA/ACSM Land Title Survey, such services should be negotiated under Table A, item 22.

The items checked below are required by PHFA to be included in the Survey.

1. Monuments placed (or a reference monument or witness to the corner) at all major corners of the boundary of the property, unless already marked or referenced by an existing monument or witness.
2. Address(es) if disclosed in Recorded Documents, or observed while conducting the survey.
3. Flood zone designation (with proper annotation based on federal Flood Insurance Rate Maps or the state or local equivalent), by scaled map location and graphic plotting only.
4. Gross land area (and other areas if specified by the client).
5. Vertical relief with the source of information (e.g. ground survey or aerial map), contour interval, datum, and originating benchmark identified.
6. (a) Current zoning classification, as provided by the insurer.
 (b) Current zoning classification and building setback requirements, height and floor space area restrictions as set forth in that classification, as provided by the insurer. If none, so state.
7. (a) Exterior dimensions of all buildings at ground level.
(b) Square footage of:
 (1) exterior footprint of all buildings at ground level.
 (2) other areas to be defined by the client
 (c) Measured height of all buildings above grade at a location specified by the client. If no location is specified, the point of measurement shall be shown.
8. Substantial features observed in the process of conducting the survey (in addition to the improvements and features required under Section 5 above) such as parking lots, billboards, signs, swimming pools, landscaped areas, etc.
9. Striping, number and type (e.g. handicapped, motorcycle, regular, etc.) of parking spaces in parking areas, lots and structures.
10. (a) Determination of the relationship and location of certain division or party walls designated by the client with respect to adjoining properties (client to obtain necessary permissions).
 (b) Determination of whether certain walls designated by the client are plumb (client to obtain necessary permissions).
11. Location of utilities (representative examples of which are shown below) existing on or serving the surveyed property as determined by:
 (a) Observed evidence
 (b) Observed evidence together with evidence from plans obtained from utility companies or provided by client, and markings by utility companies and other appropriate sources (with reference as to the source of information)
 - Railroad tracks, spurs and sidings;
 - Manholes, catch basins, valve vaults or other surface indications of subterranean uses;
 - Wires and cables (including their function, if readily identifiable) crossing the surveyed property, and all poles on or within ten feet of the surveyed property. Without expressing a legal opinion as to the ownership or nature of the potential encroachment, the dimensions of all encroaching utility pole cross members or overhangs; and
 - Utility company installations on the surveyed property.

Note – With regard to Table A, item 11(b), source information from plans and marking swill be combined with observed evidence of utilities to develop a view of those underground utilities. However, lacking excavation, the exact location of underground features cannot be accurately, completely and reliably depicted. Where additional or more detailed information is required, the client is advised that excavation may be necessary.

12. Governmental Agency survey-related requirements as specified by the client, such as for HUD surveys, and surveys for leases on Bureau of Land Management managed lands.
13. Names of adjoining owners of platted lands according to current public records.
14. Distance to the nearest intersecting street as specified by the client
15. Rectified orthophotography, photogrammetric mapping, airborne/mobile laser scanning and other similar products, tools or technologies as the basis for the showing the location of certain features (excluding boundaries) where ground measurements are not otherwise necessary to locate those features to an appropriate and acceptable accuracy relative to a nearby boundary. The surveyor shall (a) discuss the ramifications of such methodologies (e.g. the potential precision and completeness of the data gathered thereby) with the insurer, lender and client prior to the performance of the survey and, (b) place a note on the face of the survey explaining the source, date, precision and other relevant qualifications of any such data.
16. Observed evidence of current earth moving work, building construction or building additions.
17. Proposed changes in street right of way lines, if information is available from the controlling jurisdiction. Observable evidence of recent street or sidewalk construction or repairs.
18. Observed evidence of site use as a solid waste dump, sump or sanitary landfill.
19. Location of wetland areas as delineated by appropriate authorities.
20. _____ (a) Located improvements within any offsite easements or servitudes benefitting the surveyed property that are disclosed in the Record Documents provided to the surveyor and that are observed in the process of conduction the survey (client to obtain necessary permissions).
_____ (b) Monuments placed (or a reference monument or witness to the corner) at all major corners of any offsite easement or servitudes benefitting the surveyed property and disclosed in Record Documents provided to the surveyor (client to obtain necessary permissions).
21. _____ Professional Liability Insurance policy obtained by the surveyor in the minimum amount of \$_____ to be in effect throughout the contract term. Certificate of Insurance to be furnished upon request.

SURVEY INSTRUCTIONS AND CERTIFICATE

In addition to the certified map of the Survey, the Surveyor is required to fill out the report entitled *Section 2.02.G, Surveyor's Report*.

An ALTA survey, to be acceptable to *Pennsylvania Housing Finance Agency* for closing, must be prepared by a Registered Surveyor in U.S. Standard of Measurements and must be a "Transit" survey showing current conditions and not a "Compass" survey. Preference will always be given to surveys showing bearings referred to true North, but all surveys which show bearings must designate the meridian referred to whether true, magnetic or arbitrary; and if true meridian is not used, approximate deflection must be noted on the plat. Plat must show arrow pointing North and give scale of distances.

1. **Boundaries** – The survey must indicate the boundary lines by course and dimension and their physical character whether fence, wall, water course, highway, etc., and if no physical evidence of boundaries exists, such fact must be noted. All curved boundaries must be described by curve radius, arc length, chord length, chord bearing and central angle. All stakes or other monumentation must be shown. Any material variations from the record lines by fences, walls or structures, whether on the property surveyed or adjoining, must be shown with the extent of such variations. If any of the boundaries or lines of record coincide with lot or property lines on any filed map, or area adopted from previous surveys, whether by the same Surveyors or otherwise, such facts should be shown on the plat. The Surveyor is required to check the descriptions of adjoining properties when furnished to him and to show the extent of any variations between the boundaries as stated therein and those of the property surveyed.
2. **Easements, Rights of Ways, Cemeteries, etc.** – The Surveyor must indicate any easements, public utilities, water courses, drains, sewers, roads, paths or trails crossing the property, the closing or changing of which might affect the rights of others, whether legal or assumed, or result in damage to the property or the structural. He must also show any existing cemetery or burying grounds on surveyed or adjacent property.
3. **Streets and Alleys** – Names of streets and alleys must be shown with the DISTANCE from the nearest corner to BEGINNING POINT of property surveyed. Width of street and sidewalk in front or at sides of premises shall be shown with width of alley in rear or side of premises. Curbs and pavements must be shown.
4. **Party Walls** – The nature, character, location and width of all walls on or near boundary lines must be shown. Show all projections beyond face of wall and indicate the portion of wall on the property and any portions on adjoining property and whether subject to beam rights. The thickness of walls throughout entire length must be shown. If building on premises uses any wall of adjoining premises, this condition must also be shown and explained. The same requirements apply where conditions are reversed.
5. **Adjoining Owners and Lot Numbers, Encroachments** – Indicate on survey the names of adjoining structures on all sides of the property surveyed, lot and block numbers of the property surveyed and of adjoining lots must be shown. Encroachments of buildings and of structural appurtenances, such as fire escapes, bay windows, etc., by or on adjoining property, or on abutting streets, must be indicated with the extent of such encroachments.
6. **Building and Lot Lines** – All buildings on property must be shown with dimensions and relation to lot and building lines. If conditions in chain of title or zoning ordinances require buildings to be set back specified distances from street or property line, the required setback line must be shown and the survey must show MEASURED DISTANCES from said building to said line.
7. **Area Contiguity** – Show area of the property in square feet and acres.

If survey comprises several parcels, show interior lines and facts sufficient to insure contiguity. Furnish a consolidated description. All strips or gores must be shown with dimensions.

8. **Certificates** – All maps must show City or Town and County where premises is located with such other notations as will accurately locate and identify property surveyed. The certificate thereon must be dated as of date survey was made, signed by Surveyor and be to the effect that the survey was actually made

on the ground as per record description and is correct; that there are no encroachments either way across property lines except as shown.

- 9. **Closure Report** – Submit a report in the form of a letter indicating the accuracy of the metes and bounds of the legal description and the survey. If accuracy does not meet industry standards, indicate remedial action required. Assure that all metes and bounds are listed in the proper direction.

The certificate should be addressed, to wit: “To all parties interested in title to premises surveyed.”

SECTION 2.02.I
ESTIMATED UTILITY COSTS

Development Name: _____ **PHFA No.:** _____

Prepared By: _____ **Date:** _____

PHFA has developed the following standard Estimated Utility Costs Form for submission by the Architect with assistance from their Mechanical Engineer on all PHFA financed developments. The information on this form is required by the Owner and PHFA to complete the underwriting for the development. Utility costs are necessary to ascertain the financial feasibility of the development. There are major consequences affecting the maximum rent allowed to be charged to the tenants based on the utility costs estimated and reported in this document. Care should be taken in preparing this information.

There are two types of utility costs and payments for each development:

- 1. **Tenant Paid Utilities** – Utilities that are paid by the tenant or occupant by individual metering of the utilities.
- 2. **Development Paid Utilities** – Utilities that are paid by the development by bulk metering and/or by house sub-metering of the utilities.

Description of HVAC system:

Fuel and Energy Types

<u>(Dwelling Units Only)</u>	<u>Fuel Type</u>
Space Heating	_____
Domestic Water Heating	_____
Cooking	_____
Air Conditioning	_____
Lighting & Misc. Power	_____

Fuel Types: HP-Heat Pump; FO-Fuel Oil; G-Gas

Utility Providers:

Electric: _____ Water: _____

Gas: _____ Sewer: _____

Oil: _____

Cost of Utility Used:

Electric Per KWH \$_____; Gas Per MCF: _____; Fuel Oil Per Gallon \$_____

Development Paid Costs:

Development Paid Costs Per Year (includes site lighting, elevators, public space, HVAC and electric):

Electric \$_____; Gas \$_____; Fuel Oil \$_____

Domestic Water \$_____; Sanitary Sewer \$_____

Provide documentation to substantiate cost calculations. Include tariffs used and price to compare.

Rehab Construction:

Please list the Building Thermal Envelope Upgrades proposed for this development including "R" factors:

Wall Insulation: _____

Ceiling Insulation: _____

Window Replacement Type: _____

Storm Windows: _____

Others: _____

List Tenant Paid Utility Allowance per Unit Type & Source of TPUA:

Fuel and Energy Types

(Dwelling Units Only)

Fuel Type

Average Cost per Unit per Month

1 BR 2 BR 3 BR 4 BR

Space Heating _____ _____ _____ _____

Domestic Water Heating _____ _____ _____ _____

Cooking _____ _____ _____ _____

Air Conditioning _____ _____ _____ _____

Lighting & Misc. Power _____ _____ _____ _____

Fuel Types: HP-Heat Pump; FO-Fuel Oil; G-Gas

Provide documentation to substantiate cost calculations. Include tariffs used and price to compare.

TAB 3 – REQUIREMENTS DURING CONSTRUCTION

SECTION 3.01 **PROCEDURES – OCCUPANCY**

These procedures are to clarify the policies of the Pennsylvania Housing Finance Agency with respect to the issuance of Certificate(s) of Occupancy by PHFA and the sanctions to be imposed by PHFA in the event of violation of these policies.

1. Certificates of Occupancy shall be issued only for completed sections. A completed section is defined as follows:
 - A. Garden Apartment – Completed buildings.
 - B. Townhouses – Completed buildings.
 - C. Multi-level (high-rise, mid-rise, etc.) – Completed building(s) including all floors and commercial areas.

Each development will be designated as one of the above definitions at the preconstruction meeting, and Certificate(s) of Occupancy will be issued based on those designations.

2. Sections as indicated above which are prepared for occupancy during the construction of a development shall be completed and ready for punch listing by the Technical Services Representative, Contractor, Architect and Owner not less than twenty (20) working days prior to the anticipated date of occupancy. The punch list items and necessary corrective work must be completed not more than fifteen (15) days from the date the list is prepared. The anticipated date of occupancy shall be defined as the date the unit is made available for marketing.
3. All punch list procedures and documentation to be executed as outlined in this *Guide*.

The one-year guarantee period for dwelling units and related support facilities will commence as of the date of substantial completion. Guarantees for all other areas will start at the construction completion date.

SECTION 3.02
PUNCH LIST FORM

Development: _____ Bldg. No.: _____
 Inspection Date(S): _____
 PHFA No.: _____ Apt. No.: _____ Architect: _____

CODE:

- | | | | |
|----------------------|-------------|-----------|--------------------|
| 1. Chipped/scratched | 5. Missing | 9. Repair | 13. Sand |
| 2. Faulty | 6. Adjust | 10. Leak | 14. Paint touch-up |
| 3. Broken/damaged | 7. Touch-up | 11. Caulk | 15. Torn |
| 4. Dented/nicked | 8. Replace | 12. Clean | 16. Other |

NO.	OK	ENTRANCE
		Door
		Lock/deadbolt
		Weather stripping
		Door sills
		Chain lock
		Viewer/knocker

NO.	OK	STAIRWAY
		Stringer
		Trim
		Carpeting

NO.	OK	KITCHEN
		Ceiling
		Walls & base
		Floor
		Light fixtures
		Closet doors
		Windows & screens
		Closet/shelves
		Refrigerator
		Stove
		Exhaust Hood &/or fan
		Counter top
		Sink
		Waste disposal
		Dishwasher
		Cabinets

NO.	OK	LIVING ROOM
		Ceiling
		Walls & base
		Carpeting
		HVAC-grilles/ reg. baseboard heat
		S/W
		TV outlet
		Thermostat
		Window & screens

NO.	OK	DINING ROOM
		Ceiling
		Walls & base
		Light fixture
		HVAC-grilles/ reg. baseboard heat
		Carpeting

NO.	OK	DINING ROOM (cont.)
		Windows & screens
		Sliding door screen & lock
		S/W plates/receptacles

NO.	OK	STORAGE/HEATER
		Ceiling
		Walls & base
		Heater & AC
		Hot water heater
		Floor

NO.	OK	CRAWL SPACE
		Clean
		Vapor barrier
		Heat tapes

NO.	OK	BATHROOM 1
		Ceilings
		Walls & base
		Floors
		Doors
		Light fixtures
		Exhaust fans
		GFI receptacles
		Medicine cabinets
		Mirrors
		Sinks
		Vanities
		Toilets
		Tub/showers
		Shower heads
		Shower rods
		Towel bars

NO.	OK	BATHROOM 2
		Ceilings
		Walls & base
		Floors
		Doors
		Light fixtures
		Exhaust fans
		GFI receptacles
		Medicine cabinets
		Mirrors
		Sinks
		Vanities
		Toilets

NO.	OK	BATHROOM
		Tub/showers
		Shower heads
		Shower rods
		Towel bars

NO.	OK	1 ST BEDROOM
		Door
		Ceiling
		Walls & base
		Carpeting
		Closet door
		Closet/shelves
		HVAC-grilles/ reg. baseboard heat
		Window & screen

NO.	OK	2 ND BEDROOM
		Door
		Ceiling
		Walls & base
		Carpeting
		Closet door
		Closet/shelves
		HVAC-grilles/ reg. baseboard heat
		Window & screen

NO.	OK	3 RD BEDROOM
		Door
		Ceiling
		Walls & base
		Carpeting
		Closet door
		Closet/shelves
		HVAC-grilles/ reg. baseboard heat
		Window & screen

NO.	OK	4 TH BEDROOM
		Door
		Ceiling
		Walls & base
		Carpeting
		Closet door
		Closet/shelves
		HVAC-grilles/ reg. baseboard heat

SECTION 3.03

PROCEDURES – FINAL INSPECTION/CONSTRUCTION COMPLETION

After execution and acceptance of the Certificate(s) of Substantial Completion, a Final Inspection will be held to determine the acceptability of the development as a whole and to determine the “Date of Actual Construction Completion” as required in the Contract Documents. The procedures for this Final Inspection shall be as follows:

1. The final inspection shall be conducted by the Architect and shall include all the interior and exterior systems.
2. The final inspection shall be attended by the Architect and Representatives of PHFA, Owner and Contractor. The Owner, at his discretion, may authorize the Architect to represent him at the final inspection.
3. Prior to the execution of the final inspection form, all outstanding punch list items must be complete, with the exception of seasonal and miscellaneous items approved by the Architect and PHFA. These incomplete items will be listed on the final inspection form with a corresponding estimated value required to complete them. A sum equal to 200% of these amounts will be withheld from the final construction draw and will be released when the items are complete.
4. The final inspection form and punch list shall be signed by the Owner, Supervising Architect, Contractor and PHFA Technical Services Representative and forwarded to PHFA for review and establishment of the “Date of Actual Construction Completion.”
5. If the above referenced form is in compliance with the procedures as stated, PHFA will issue a “Certificate of Construction Completion” specifying the “Date of Actual Construction Completion”.
6. The One-year Guarantee Period for dwelling units and related support facilities will commence as of the date of substantial completion. Guarantee for all other areas will start at the construction completion date.

SECTION 3.04
PENNSYLVANIA HOUSING FINANCE AGENCY
FINAL INSPECTION

Date of Final Inspection: _____

Development Name: _____

PHFA No.: _____

This document hereby certifies that those persons who have executed this document have attended the Final Inspection of the above referenced development in order to determine the Date of Actual Construction Completion and have found the following punch list items which need to be completed or corrected:

(A) FINAL INSPECTION PUNCH LIST ITEMS: (include attachment if necessary)

<u>ITEM</u>	<u>VALUE</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____
6. _____	_____

Amount withheld shall be 200% of the value.

The Architect for the above referenced development, in accordance with the Owner/Architect Agreement for construction observation, hereby certifies that based on his/her professional observations and inspections in accordance with his/her contract, the above referenced development has been completed in compliance with the Contract Documents and that, in his/her professional opinion, the development is in good and tenantable condition. The Architect also requests that the date of the Final Inspection be considered as the "Date of Actual Construction Completion". This will start the One-year Guarantee Period for all areas not previously covered in the Substantial Completion Certificate(s).

Observing Architect/Date

Owner/Date

Contractor/Date

Technical Services Rep/Date

PHFA

SECTION 3.05
PENNSYLVANIA HOUSING FINANCE AGENCY
CERTIFICATE OF CONSTRUCTION COMPLETION

Owner: _____ Date: _____

Development Name: _____ PHFA No: _____

DATE OF ACTUAL CONSTRUCTION COMPLETION
(DATE)

The *Pennsylvania Housing Finance Agency*, being in receipt of a document known as the “*Final Inspection*” form, and that document having been executed by the Supervising Architect and Representatives of the Agency, Owner and Contractor, hereby issues this *Certificate of Construction Completion* based on the below referenced stipulations.

The punch list items have been completed and corrected except those items awaiting seasonal opportunity, which items have been specified on the “A” portion of the “*Final Inspection*” form.

It is understood by all parties concerned that the above referenced “Date of Actual Construction Completion,” (DATE), is that date on which the Agency deems the project to have completed the construction phase as required under the terms and conditions of the Contract Documents.

The Supervising Architect has certified that the project is complete as a whole to the best of his/her knowledge, information and belief and is in compliance with the terms and conditions of the Contract Documents and that the project is, in his/her professional opinion, in good and tenantable condition.

That it is understood that this Certificate does not in any way imply that the project has completed Cost Certification or any other requirements of any other Division of the *Pennsylvania Housing Finance Agency*.

PENNSYLVANIA HOUSING FINANCE AGENCY

APPROVED:

Director of Technical Services

cc:	Technical Services Rep.	Architect	Legal
	Lisa Case	General Contractor	Lisa Lutz
	Shana Erdley	PHFA Dev. Officer	Kyle Matter

Certification of Consistency with the Consolidated Plan

U.S. Department of Housing
and Urban Development

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.
(Type or clearly print the following information:)

Applicant Name: Commonwealth of Pennsylvania

Project Name: PHFA-National Housing Trust Fund

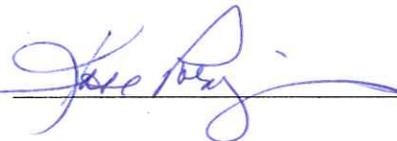
Location of the Project: Statewide

Name of the Federal Program to which the applicant is applying: National Housing Trust Fund

Name of Certifying Jurisdiction: Commonwealth of Pennsylvania

Certifying Official of the Jurisdiction Name: Kathy Possinger

Title: Director, Center for Compliance, Monitoring, and Training

Signature: 

Date: August 8, 2016

CERTIFICATIONS

General Certifications

In accordance with the applicable statutes and the regulations governing the Consolidated Plan regulations, the state certifies that:

Affirmatively Further Fair Housing

The state will affirmatively further fair housing, which means it has conducted an analysis of impediments to fair housing choice within the state, takes appropriate actions to overcome the effects of any impediments identified through that analysis, and maintains records reflecting that analysis and actions in this regard.

Anti-Displacement and Relocation Plan

The state will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential anti-displacement and relocation assistance plan required under Section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug-Free Workplace

The state will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about:
 - (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
3. Making it a requirement that each employee engaged in the performance of the grant will receive a copy of the statement required by paragraph 1.
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will:
 - (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
5. Notifying the agency in writing, within 10 calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant.
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee whom is so convicted:
 - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

- (b) Requiring such employee to participate satisfactorily in drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
- 7. Making a good faith effort to continue to maintain a drug-free workplace through the implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Anti-Lobbying

To the best of the state's knowledge and belief:

- 1. No federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- 2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- 3. It will require that the language of paragraph 1 and 2 of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

Authority of State

The submission of the Consolidated Plan is authorized under state law and the state possesses the legal authority to carry out the programs under the Consolidated Plan for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with Plan

The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3

It will comply with Section 3 of the Housing and Urban Development Act of 1968 and implementing regulations at 24 CFR Part 135.



Dennis M. Davin
Secretary
Department of Community and Economic Development

Date _____



Lori Stubbs
Chief Financial Officer
Department of Health

Date 4/12/2016

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING REQUIREMENTS:

A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Application for Federal Assistance SF-424*** 1. Type of Submission:**

- Preapplication
 Application
 Changed/Corrected Application

*** 2. Type of Application:**

- New
 Continuation
 Revision

*** If Revision, select appropriate letter(s):**

*** Other (Specify):**

*** 3. Date Received:**

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:**6. Date Received by State:**

7. State Application Identifier:

8. APPLICANT INFORMATION:*** a. Legal Name:**

*** b. Employer/Taxpayer Identification Number (EIN/TIN):**

*** c. Organizational DUNS:**

d. Address:*** Street1:**

Street2:

*** City:**

County/Parish:

*** State:**

Province:

*** Country:**

*** Zip / Postal Code:**

e. Organizational Unit:**Department Name:**

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:**Prefix:**

*** First Name:**

Middle Name:

*** Last Name:**

Suffix:

Title:

Organizational Affiliation:

*** Telephone Number:**

Fax Number:

*** Email:**

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

US Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:

14.231

CFDA Title:

State-Administered Emergency Solutions Grant Program

*** 12. Funding Opportunity Number:**

NA

* Title:

NA

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

State-Administered Community Development Block Grant Program

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="37,464,741.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="37,464,741.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

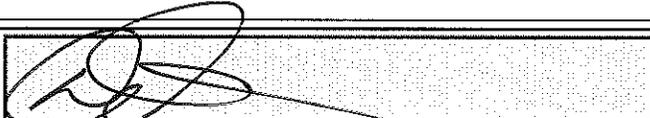
* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: 

* Date Signed:

Specific CDBG Certifications

The state certifies that:

Citizen Participation

It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR §91.115 and each unit of general local government that receives assistance from the state is or will be following a detailed citizen participation plan that satisfies the requirements of 24 CFR §570.486.

Consultation with Local Governments

It has or will comply with the following:

1. It has consulted with affected units of local government in the non-entitlement area of the state in determining the method of distribution of funding.
2. It engages in, or will engage in, planning for community development activities.
3. It provides, or will provide, technical assistance to units of local government in connection with community development programs.
4. It will not refuse to distribute funds to any unit of general local government on the basis of the particular eligible activity selected by the unit of general local government to meet its community development needs, except that a state is not prevented from establishing priorities in distributing funding on the basis of the activities selected.

Local Needs Identification

It will require each unit of general local government to be funded to identify its community development and housing needs, including the needs of low-income and moderate-income families, and the activities to be undertaken to meet such needs.

Community Development Plan

Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objectives of Title I of the Housing and Community Development Act of 1974, as amended. (See 24 CFR 570.2 and 24 CFR part 570).

Use of Funds

It has complied with the following criteria:

1. Maximum Feasible Priority - With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low- and moderate-income families or aid in the prevention or elimination of slums or blight. The Action Plan also includes activities which the grantee certifies are to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available.
2. Overall Benefit - The aggregate use of CDBG funds, including Section 108 guaranteed loans, during any given program year covered by this certificate shall principally benefit persons of low-income and moderate-income in a manner that ensures that at least 70% of the amount is expended for activities that benefit such persons during the designated period.

3. Special Assessments - The state will require units of general local government that receive CDBG funds to certify to the following:

It will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108 Loan Guarantee funds, by assessing any amount against properties owned and occupied by persons of low-income and moderate-income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

It will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force

It will require units of general local government that receive CDBG funds to certify that they have adopted and are enforcing:

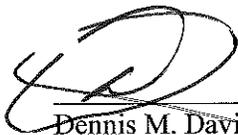
1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and
2. A policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstrations within its jurisdiction.

Compliance with Anti-Discrimination

The grant will be conducted and administered in conformity with Title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Compliance with Laws

It will comply with applicable laws.



Dennis M. Davin

Secretary

Department of Community and Economic Development

4-15-2016

Date

Application for Federal Assistance SF-424

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
---	---	--

* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>
--	---

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>
---	--

State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
--	--

8. APPLICANT INFORMATION:

* a. Legal Name: Commonwealth of Pennsylvania	
* b. Employer/Taxpayer Identification Number (EIN/TIN): 38-3849352	* c. Organizational DUNS: 0881157200000

d. Address:

* Street1: Commonwealth Keystone Building
Street2: 400 North St. 4th Floor
* City: Harrisburg
County/Parish: <input type="text"/>
* State: PA: Pennsylvania
Province: <input type="text"/>
* Country: USA: UNITED STATES
* Zip / Postal Code: 17120-0225

e. Organizational Unit:

Department Name: Dept. Community and Econ Dev.	Division Name: Center for CD Operations
---	--

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Ms.	* First Name: Mary
Middle Name: J.	
* Last Name: Smith	
Suffix: <input type="text"/>	

Title: Compliance and Training

Organizational Affiliation: Government

* Telephone Number: 717-214-9754	Fax Number: 717-214-5416
---	---------------------------------

* Email: majsmith@pa.gov

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

US Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:

14.239

CFDA Title:

State-Administered HOME Investment Partnerships Program

*** 12. Funding Opportunity Number:**

NA

* Title:

NA

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

State-Administered HOME Investment Partnerships Program

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="14,471,633.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="14,471,633.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:

* First Name:

Middle Name:

* Last Name:

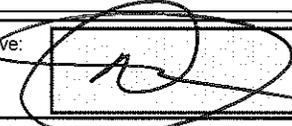
Suffix:

* Title:

* Telephone Number:

Fax Number:

* Email:

* Signature of Authorized Representative: 

* Date Signed:

Specific HOME Certifications

The state certifies that:

Tenant-Based Rental Assistance

If it intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the state's Consolidated Plan.

Eligible Activities and Costs

It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR §92.205 through §92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.214.

Appropriate Financial Assistance

Before committing any funds to a project, the state or its recipients will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other federal assistance than is necessary to provide affordable housing.



Dennis M. Davin, Secretary
Department of Community and Economic Development

Date 4-15-2016

Application for Federal Assistance SF-424

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
---	---	--

* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>
--	---

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>
---	--

State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
--	--

8. APPLICANT INFORMATION:

* a. Legal Name: <input type="text" value="Commonwealth of Pennsylvania"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="38-3849352"/>	* c. Organizational DUNS: <input type="text" value="0881157200000"/>

d. Address:

* Street1:	<input type="text" value="Commonwealth Keystone Building"/>
Street2:	<input type="text" value="400 North St. 4th Floor"/>
* City:	<input type="text" value="Harrisburg"/>
County/Parish:	<input type="text"/>
* State:	<input type="text" value="PA: Pennsylvania"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="17120-0225"/>

e. Organizational Unit:

Department Name: <input type="text" value="Dept. Community and Econ Dev."/>	Division Name: <input type="text" value="Center for CD Operations"/>
---	--

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: <input type="text" value="Ms."/>	* First Name: <input type="text" value="Mary"/>
Middle Name: <input type="text" value="J."/>	
* Last Name: <input type="text" value="Smith"/>	
Suffix: <input type="text"/>	

Title: <input type="text" value="Compliance and Training"/>
--

Organizational Affiliation: <input type="text" value="Government"/>

* Telephone Number: <input type="text" value="717-214-9754"/>	Fax Number: <input type="text" value="717-214-5416"/>
--	--

* Email: <input type="text" value="majsmith@pa.gov"/>
--

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

US Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:

14.231

CFDA Title:

State-Administered Emergency Solutions Grant Program

*** 12. Funding Opportunity Number:**

NA

* Title:

NA

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

State-Administered Emergency Solutions Grant Program

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="5,565,646.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="5,565,646.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

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View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

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Prefix: * First Name:

Middle Name:

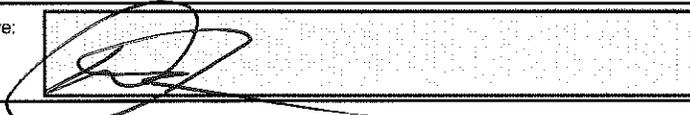
* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: 

* Date Signed:

ESG Certifications

Each State that seeks funding under the Emergency Solutions Grants Program must provide the following certifications:

Matching Funds – The State will obtain any matching amounts required under 24 CFR 576.201 in a manner so that its subrecipients that are least capable of providing matching amounts receive the benefit of the exception under 24 CFR 576.201(a)(2).

Discharge Policy – The State will establish and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

Confidentiality – The State will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

The State will ensure that its subrecipients comply with the following criteria:

Major rehabilitation/conversion – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the building will be maintained as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the building will be maintained as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the building will be maintained as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

Essential Services and Operating Costs – If ESG funds are used for shelter operations or essential services related to street outreach or emergency shelter, the subrecipient will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the applicant serves the same type of persons (e.g., families with children, unaccompanied youth, veterans, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

Renovation – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

14-241

CFDA Title:

HOPWA Program

*** 12. Funding Opportunity Number:**

Formula Grantee

* Title:

HOPWA Program

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Commonwealth of Pennsylvania.docx

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Housing Opportunities for Persons with AIDS (HOPWA)

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="2,432,719.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="2,432,719.00"/>

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21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: 

* Date Signed:

HOPWA Certifications

The state HOPWA grantee certifies that:

Activities

Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

Building

Any building or structure assisted under the program shall be operated for the purpose specified in the Plan:

1. For at least ten (10) years in the case of any building or structure purchased, leased, rehabilitated, or converted with HOPWA assistance;
2. For at least three (3) years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.



Lori Stubbs
Chief Financial Officer
Department of Health

3/4/16

Date

Application for Federal Assistance SF-424	
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	
* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	
* If Revision, select appropriate letter(s): _____ * Other (Specify): _____	
* 3. Date Received: _____	4. Applicant Identifier: _____
5a. Federal Entity Identifier: _____	5b. Federal Award Identifier: _____
State Use Only:	
6. Date Received by State: _____	7. State Application Identifier: _____
8. APPLICANT INFORMATION:	
* a. Legal Name: Commonwealth of Pennsylvania	
* b. Employer/Taxpayer Identification Number (EIN/TIN): 38-3849352	* c. Organizational DUNS: 0881157200000
d. Address:	
* Street1: PO Box 8029	_____
Street2:	_____
* City: Harrisburg	_____
County/Parish:	_____
* State: PA: Pennsylvania	_____
Province:	_____
* Country: USA: UNITED STATES	_____
* Zip / Postal Code: 17105-8029	_____
e. Organizational Unit:	
Department Name: PA Housing Finance Agency	Division Name: _____
f. Name and contact information of person to be contacted on matters involving this application:	
Prefix: Ms.	* First Name: Holly
Middle Name:	_____
* Last Name: Glauser	_____
Suffix:	_____
Title: Director of Development	
Organizational Affiliation: Government	
* Telephone Number: 717-780-3994	Fax Number: 717-614-2590
* Email: hglauser@phfa.org	

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

Department of Housing and urban Development

11. Catalog of Federal Domestic Assistance Number:

14.275

CFDA Title:

Housing Trust Fund

*** 12. Funding Opportunity Number:**

NA

* Title:

NA

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

State-Administered Housing Trust Fund

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="3,862,285.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="3,862,285.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes
- No

If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: 

* Date Signed:

