

## Fiscal Year 2013 Pre-application for Multi-Family Housing Revitalization Demonstration Program (MPR)

### Instructions

Applicants are encouraged, but not required, to submit this pre-application form electronically by accessing the website: [http://www.rurdev.usda.gov/HMF\\_MPR.html](http://www.rurdev.usda.gov/HMF_MPR.html) and clicking on the link for the "Fiscal Year 2013 Pre-application for Multi-Family Housing Revitalization Demonstration Program (MPR)." Please note that electronic submittals are not on a secured Web site. If you do not wish to submit the form electronically by clicking on the **Send Form** button, you may still fill out the form, print it and submit it with your application package to the National Office. You also have the option to save the form, and submit it on an electronic media to the National Office with your complete application package.

Supporting documentation required by this pre-application may be sent via email to a special address that you will receive upon receipt of your electronic pre-application. If using this option, please enter the Submission Email Address on the form below (1.g.) so that all documents submitted by this user will be stored in a special folder. Under item **X. Documents Submitted**, check all supporting documents that you are submitting and indicate whether you are submitting each item in hard copy form, on electronic media, or via email. You may also refer to the MPR Notice published in the Federal Register for a complete list of documents that you will need to submit.

### I. Applicant Information

a. **Applicant's Name:**

b. **Applicant's Address:**

Address, Line 1:

Address, Line 2:

City:

State:

Zip:

c. **Name of Applicant's Contact Person:**

d. **Contact Person's Telephone Number:**

e. **Contact Person's Email Address:**

f. **DUNS Number if applying for a grant:**

g. **Submission Email Address:**

Specify the Sender's email address that will be used to email all supporting documents. When you submit this form electronically, you will receive an email address for submitting all documents checked in item X.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0575-0190. The time required to complete this information collection is estimated to average 90 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

**II. Project Information**

a. Primary Project Name:

b. Project Address:

Address, Line 1:

Address, Line 2:

City City:

State:

Zip:

c. Is this a Simple, Complex or Portfolio transaction? Check One.

Simple:

Complex:

Portfolio:

d. If Portfolio, what is the Portfolio Name? A separate pre-application must be submitted for each project and each Pre-application must have the same "Portfolio Name."

e. Consolidation of project operations:

Check one below:

This proposal does not involve a consolidation of properties (0 points)

This proposal involves a consolidation of 2-4 properties (5 points)

This proposal involves a consolidation of 5 or more properties (10 points)

Points:

Be sure to list all properties being consolidated in f. below.

f. Provide the following information for the projects being considered in this pre-application, starting with the Primary Project.

	Borrower ID	Proj. ID	Project Name	Vacancy Percentage (for 515 Only)	Proj. ST	Project Type 515/514/516
<b>List Primary Project:</b>						
1.						
<b>List Projects to be Consolidated with the Primary Project:</b>						
2.						
3.						

	Borrower ID	Proj. ID	Project Name	Vacancy Percentage (for 515 Only)	Proj. ST	Project Type 515/514/516
4.						
5.						
6.						
7.						
8.						
9.						
10.						

For Section 515 Multi-Family Housing projects: If vacancy percentages for any of the projects listed above have 16 or more revenue producing units exceeding 10.0%, or 15.0% for projects with less than 16 revenue producing units, attach required market survey documentation.

**For Section 514/516 Off-Farm Labor Housing projects:** If cash flow for the previous 3 full years of operation is not positive, attach required market survey documentation.

**Year of Operation:**

**Cash Flow:**

**Year of Operation:**

**Cash Flow:**

**Year of Operation:**

**Cash Flow:**

**g. What is the age of the project?** (For consolidations use the project with the earliest operational date.) **Check one.**

- **Was the initial project operational date(s) prior to December 21, 1979? (25 points) Yes**
- **Was the initial project operational date(s) on or after December 21, 1979; but before December 15, 1989? (20 points) Yes**
- **Was the initial operational date(s) on or after December 15, 1989; but before October 1, 1991? (15 points) Yes**

- Was the initial operational date(s) on or after October 1, 1991? (0 points)  
Yes
- If you answered “Yes” to the first three bullet points, provide the initial operational date of the project: (mm/dd/yyyy) **Points:**

h. Is there an Agency approved Capital Needs Assessment (CNA)? Yes No

If “Yes,” check one:

- Was the CNA approved on or after October 1, 2010 and prior to October 1, 2011? (10 points) Yes
- Was the CNA approved on or after October 1, 2011 but before the publication of the FY 2013 MPR Notice? (20 points) Yes
- If “Yes,” provide the date of the most recent Agency approved CNA: (mm/dd/yyyy) **Points:**

### III. Funds

a. Are there contributions of other sources of funds? Yes No

If “Yes,” check one:

- Evidence of a commitment of at least \$3,000 to \$5,000 per unit/per property? (15 points) Yes
- Evidence of a commitment greater than \$5,000 per unit/per property? (20 points) Yes
- Evidence of a commitment greater than \$5,000 per unit/per property with a binding written commitment by a third party to contribute 25 percent or more of any allowable developer fee to the hard costs of construction. (25 points) Yes **Points:**

If “Yes,” provide the amounts obtained from the following sources. Note: only include amounts for a Rural Development (RD) Section 515 loan or Section 514/516 loan/grant if they have already been approved and obligated by RD.

Source: Amount:

Tax Credits

3<sup>rd</sup> Party Loan

3<sup>rd</sup> Party Grant

Tax Exempt Financing

RD Section 515 Traditional Loan

RD Section 514/516 Off-Farm Traditional Loan/Grant

RD Section 538

RD Re-lending Demonstration Loan

Owner Provided Capital Contributions

**Total Contributions:**

b. Does this proposal include an Owner Contribution of funds to pay transaction costs and/or hard costs of construction? Select all that apply.

- **\$10,000 per project owner contribution sufficient to pay transaction costs. (5 points) Yes No** *(These funds cannot be from project reserves or operating funds or be in the form of a loan. Transaction costs are defined as those costs required to complete the transaction. These include, but are not limited to, the CNA, legal and closing costs, appraisal costs and filing/recording fees. The minimum contribution required is \$10,000 per project; these funds will be required to be deposited in the property reserve account prior to closing.)* **Points:**
- **\$1,000 per unit per project owner contribution for the hard costs of construction. (10 points) Yes No** *(These funds cannot be from project reserves or operating funds or be in the form of a loan. Hard costs are defined as materials, inventory, equipment, property or machinery. Hard costs of construction are itemized on Form RD 1924-13, "Estimate and Certificate of Actual Cost." Form RD 1924-13 can be found at <https://formsadmin.sc.egov.usda.gov/efcommon/eFileServices/eFormsAdmin/RD1924-0013.pdf>. The minimum contribution required is \$1,000 per unit which will be required to be deposited in the property reserve account prior to closing. An increased return to owner may be budgeted and allowed for funds committed in accordance with 7 CFR section 3560.406(d)(14)(ii).)* **Points:**

#### IV. Transfers and Sales

- a. Does this proposed transaction include a transfer of ownership? **Yes No**  
If "Yes," select one of the following categories and attach a copy of the executed Purchase Agreement.
- b. Has the Agency servicing classification been identified as "C" or "D" for 24 months or more? (20 points) **Yes**
- c. Has the Agency servicing classification been identified as "C" or "D" for less than 24 months? (15 points) **Yes No to b. and c. Points:**

If "No," (not involved in a transfer), category d. or e. apply:

- d. For stay-in-owners only, has the Agency servicing classification been identified as "B" as a result of a workout plan approved by the Agency prior to January 1, 2012? (25 points) **Yes**
- e. Is a sale of 515 properties to Nonprofit/Public Housing Authority under the prepayment process pending or closed? If so, submit an executed purchase agreement with this pre-application (if sale is pending) or a copy of the purchase agreement and filed deed (if sale is closed). (20 points)  
**Yes No to d. and e. Points:**

## V. Energy Conservation

You may answer a. and c. below or b. and c. Note, if you are participating in the Green Communities program under a. you may not receive additional points for items listed under b.

- a. Does this proposal include a written commitment to achieve participation in the Green Communities program by the Enterprise Community Partners (<http://www.enterprisecommunity.com/solutions-and-innovation/enterprise-green-communities>)? At least 30 percent of the points needed to qualify for the Green Communities program must be earned under the Energy Efficiency section of the Green Communities qualification program: **(30 points)**

Yes      No      Points:

OR

- b. If you are not enrolling in the Green Communities program then points can be accumulated for each of the following items up to a total of **20 points**. Provide documentation to substantiate your answers below:

- i. Does this proposal include the replacement of heating, ventilation and air conditioning (HVAC) equipment with Energy Star qualified heating, ventilation and air conditioning equipment? (3 points):

Yes      No      Points:

- ii. Does this proposal include the replacement of windows and doors with Energy Star qualified windows and doors? (3 points):

Yes      No      Points:

- iii. Does this proposal include additional attic and wall insulation that exceeds the required R-Value of these building elements for your area as per the International Energy Conservation Code 2009? Two points will be awarded if all exterior walls exceed insulation code and one point will be awarded if attic insulation exceeds code, for a maximum of three points.

All exterior walls exceed insulation code (2 points):

Yes      No      Points:

Attic insulation exceeds code (1 point):

Yes      No      Points:

- iv. Does this proposal include the reduction in building shell air leakage by at least 15 percent as determined by pre- and post-rehab blower door testing on a sample of units? Building shell air leakage may be reduced through materials such as caulk, spray foam, gaskets, and house-wrap. Sealing of duct work with mastic, foil-backed tape, or aerosolized duct sealants can also help reduce air leakage. (3 points):

- |       | Yes   | No | Points: |
|-------|---|----|---------|
| v.    | Does this proposal include 100 percent of installed appliances and exhaust fans that are Energy Star qualified? (2 points):   |    |         |
|       | Yes   | No | Points: |
| vi.   | Does this proposal include 100 percent of installed water heaters that are Energy Star qualified? (2 points):   |    |         |
|       | Yes   | No | Points: |
| vii.  | Does this proposal include replacement of 100 percent of toilets with a flush capacity of more than 1.6 gallons with new toilets having 1.6 gallon flush capacity or less, and with the Environmental Protection Agency (EPA) Water Sense label? (1 point): |    |         |
|       | Yes   | No | Points: |
| viii. | Does this proposal include 100 percent of new showerheads with EPA Water Sense label? (1 point):  |    |         |
|       | Yes   | No | Points: |
| ix.   | Does this proposal include 100 percent of new faucets with EPA Water Sense label? (1 point):  |    |         |
|       | Yes   | No | Points: |
| x.    | Does this proposal include 100 percent energy-efficient lighting including Energy Star qualified fixtures, compact fluorescent replacement bulbs in standard incandescent fixtures and Energy Star ceiling fans? (1 point):                                 |    |         |
|       | Yes   | No | Points: |
| c.    | Does this proposal include a written commitment to achieve participation in local green/energy efficient building standards, such as a city, county or municipality program? (2 points):  |    |         |
|       | Yes   | No | Points: |
|       | Name of Local Program:  |    |         |

**Total Points for Energy Conservation:**

## VI. Energy Generation

Rehabilitation and preservation projects that participate in the **Green Communities program** by the Enterprise Community Partners or receive at least **eight points** for Energy Conservation measures are eligible to earn additional points for installation of on-site renewable energy sources. Renewable, on-site energy generation will compliment a weathertight, well insulated building envelope with highly efficient mechanical systems. Possible renewable energy generation technologies include, but are not limited to: wind turbines and micro-turbines, micro-hydro power, photovoltaics (capable of producing a voltage when exposed to radiant energy, especially light), solar hot water systems and biomass/biofuel systems that do not use fossil fuels in production. Geo-exchange systems are highly encouraged as they lessen the total demand for energy and, if supplemented with

other renewable energy sources, can achieve zero energy consumption more easily. Points under this section will be awarded as follows.

- a. Projects whose preliminary or rehabilitation building plans and energy analysis propose a 10 percent to 100 percent energy generation commitment (where generation is considered to be the total amount of energy needed to be generated on-site to make the building a net-zero consumer of energy) may be awarded points corresponding to their percent of commitment as follows:

**0 to 9 percent commitment to energy generation (0 points)**

**10 to 29 percent commitment to energy generation (1 point)**

**30 to 49 percent commitment to energy generation (2 points)**

**50 to 69 percent commitment to energy generation (3 points)**

**70 to 89 percent commitment to energy generation (4 points)**

**90 percent or more commitment to energy generation (5 points)**

**Points:**

**Note:** In order to receive **more than one point** for commitment to energy generation, an accurate energy analysis prepared by an engineer will need to be submitted with the pre-application. Energy analysis of preliminary building plans using industry recognized simulation software must document the projected total energy consumption of the building, the portion of building consumption which will be satisfied through on-site generation, and the building's Home Energy Rating System (HERS) score.

## **VII. Green Property Management Credentials**

Projects will be awarded an additional five points if the designated property management company or individuals that will assume maintenance and operations responsibilities upon completion of construction or substantial rehabilitation work have a Credential for Green Property Management. Credentialing can be obtained from the National Apartment Association (NAA), National Affordable Housing Management Association, the Institute for Real Estate Management, U.S. Green Building Council's Leadership in Energy and Environmental Design for Operations and Maintenance (LEED OM), or another source with a certifiable credentialing program. This must be illustrated in the resume(s) of the property management team and submitted with the application. (5 points)

**I have submitted resumes of the designated property management company or individuals responsible for maintenance and operations that have a Credential for Green Property Management. (5 points) Yes      No      Points:**

**VIII. Tenant Service Provision**

The Agency will award five points for applications that include new services provided by a non-profit organization, which may include a faith-based organization, or by another Government agency. Such services shall be provided at no cost to the project and shall be made available to all tenants. Examples of such services may include transportation for the elderly, after-school day care services or after-school tutoring.

**New tenant services will be provided to all tenants at no cost to the project. (5 points)**

Yes            No                            **Points:**

**IX. Submission of Form AD-3030**

Awards made under this notice are subject to the provisions contained in the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012, P.L. No. 112-55, Division A, sections 738 and 739 regarding corporate felony convictions and corporate federal tax delinquencies. To comply with these provisions, all applicants must submit form AD-3030 which can be found online at:

[http://www.ocio.usda.gov/forms/ocio\\_forms.html](http://www.ocio.usda.gov/forms/ocio_forms.html)

Indicate below how you are submitting the form. For electronic submissions you may submit a scanned copy of the signed form with your pre-application.

**X. Documents Submitted**

Below, please check all documents that you will be submitting as part of your complete application package. Hard copy submissions and electronic media should be mailed to the National Office. If you check the email option, you will be notified of the email address to use upon electronic receipt of this Pre-application form. See Notice for complete details.

**NOTE:** You are only required to submit supporting documents for programs in which you will be participating as indicated in this pre-application. Points will be assigned for the items that you checked based on a review of the supporting documents.

Reference in Form	Item	Submitted via Email	Submitted to National Office
	FY 2013 Pre-application for MFH Revitalization Demonstration Program (MPR) (this form).		Electronic media Hard Copy
<b>II. Project Information</b>			
f.	Market Survey if vacancy rates are exceeded for Section 515 projects or there is negative cash flow for Section 514/516 projects.		Electronic media Hard Copy

Reference in Form	Item	Submitted via Email	Submitted to National Office
<b>III. Funds</b>			
a.	Evidence of commitment and sources of funds.		Electronic media Hard Copy
b.	Evidence of owner contribution of funds for transaction costs.		Electronic media Hard Copy
b.	Evidence of owner contribution of funds for hard costs of construction.		Electronic media Hard Copy
<b>IV. Transfer and Sales</b>			
a.	<b>Executed</b> Purchase Agreement for a transfer of ownership.		Electronic media Hard Copy
e.	<b>Executed</b> Purchase Agreement for a sale to Nonprofit/Public Housing Authority under the prepayment process (if sale is pending) OR a copy of the Purchase Agreement and filed deed (if sale is closed).		Electronic media Hard Copy
<b>V. Energy Conservation</b>			
a. OR	Certification in the Green Communities Program by the Enterprise Community Partners.		Electronic media Hard Copy
b.	Documentation substantiating Green Energy improvements outlined in items i. through x.		Electronic media Hard Copy
c.	Certification in local green energy efficient building standards.		Electronic media Hard Copy
<b>VI. Energy Generation</b>			
a.	Preliminary building plans and an energy analysis that shows that the project will achieve 30 to 100 percent energy generation commitment.		Electronic media Hard Copy
<b>VII. Green Property Management Credentials</b>			
	Resumes of the designated property management company or individuals responsible for maintenance and operations that have a credential for Green Property Management.		Electronic media Hard Copy
<b>VIII. Tenant Service Provision</b>			
	Description of Tenant Services provided and organizations providing the service.		Electronic media Hard Copy
<b>IX. Submission of Form AD-3030</b>			
	Form AD-3030: Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants.		Electronic media Hard Copy

## XI. MPR 2013 Scoring

**PLEASE NOTE:** The scoring below is based on the responses that you have provided on this pre-application form and may not accord with the final score that the Agency assigns upon evaluating the supporting documentation that you submit. Your score may change from what you see here if the supporting documentation does not adequately support your answer or, if required documentation is missing.

	<b>Scoring Items for MPR 2013</b>	<b>Points Earned</b>
1.	Consolidation of Project Operations (5, 10)	
2.	Age of Project (15, 20, 25)	
3.	Agency approved Capital Needs Assessment (10, 20)	
4.	Contribution of Other Sources of Funds (15, 20, 25)	
5.	Owner Contribution for transaction costs (5)	
6.	Owner Contribution for hard costs of construction (10)	
7.	Project classified as "C," or "D" for transfers (15, 20) <b>OR</b>	
8.	Project classified as "B" for stay-in owner (25) or sale to a non-profit (20)	
9.	Participation in the Green Communities Program (30) <b>OR</b> items 10. through 20.	
10.	Energy Star HVAC equipment (3)	
11.	Energy Star windows and doors (3)	
12.	Exterior wall insulation that exceeds code (2)	
13.	Attic insulation that exceeds code (1)	
14.	Reduction in building shell air leakage (3)	
15.	Energy Star appliances and exhaust fans (2)	
16.	Energy Star water heaters (2)	
17.	Reduced flush-capacity toilets (1)	
18.	New showerheads with EPA water-sense label (1)	
19.	New faucets with EPA water-sense label (1)	
20.	Energy Star light fixtures and ceiling fans (1)	

	<b>Scoring Items for MPR 2013</b>	<b>Points Earned</b>
21.	Participation in local green energy standards (2)	
22.	Energy Generation (1, 2, 3, 4, 5)	
23.	Green Property Management Credentials (5)	
24.	Tenant Service Provisions (5)	
	<b>Total Score:</b>	