

# Fiscal Year 2011 Pre-application for Section 515 Rural Rental Housing Program

## Instructions

Applicants are encouraged, but not required, to submit this pre-application form electronically by accessing the website: <http://www.rurdev.usda.gov/rhs/mfh/MPR/MPRHome.htm> and clicking on the link for the “**Fiscal Year 2011 Pre-application for Section 515 Rural Rental Housing Program** .”

Please note that electronic submittals are not on a secured website. 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 State Office. You also have the option to save the form, and submit it on an electronic media to the State Office.

Even if you submit the pre-application form electronically, please submit a copy of the form and all supporting documentation for this pre-application to the State Office with your complete application package. Under item **XI. Documents Submitted**, check all the documents and forms that you are submitting with your complete application package and indicate whether you are submitting each item in hard copy form, on an electronic media, or both.

### 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:

### II. Project Information

a. Total Number of Units:

b. Total Number of Rental Assistance (RA) Units Requested:

c. Loan Amount Requested:

d. This proposal is for one of the following:

Non-restricted loan

Set-aside for eligible non-profit entities

Set-aside for underserved counties and colonias

Set-aside for Rural Economic Area Partnership (REAP) zone

### III. Energy Conservation (maximum 32 points)

Properties will be classified into two categories for the purposes of scoring: New Construction or Purchase and Substantial Rehabilitation of an existing non-Rural Development property. Each category allows you to earn a maximum of 32 points. However, you may only earn points under one of these categories.

**a. Select one.**

**This is a proposal for New Construction. Yes No**

If you answered Yes, proceed to the questions under A. Energy Conservation Points for New Construction.

**Or:**

**This is a proposal for Purchase and Substantial Rehabilitation of an existing non-Rural Development property.**

**Yes No**

If you answered Yes, proceed to the questions under B. Energy Conservation Points for the Purchase and Substantial Rehabilitation of an Existing Property.

#### **A. Energy Conservation Points for New Construction**

New construction projects are eligible to be awarded up to 32 points if the pre-application includes a written commitment to achieve participation in the following energy-efficient programs.

**a. Does this proposal include a written commitment to achieve participation in the Department of Energy's Energy Star for Homes program? (10 points):**

**([http://www.energystar.gov/index.cfm?c=bldrs\\_lenders\\_raters.nh\\_multifamily\\_units](http://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_multifamily_units))**

**Yes No**

**b. Does this proposal include a written commitment to achieve participation in the Green Communities program by the Enterprise Community Partners? (10 points).**

**(<http://www.greencommunitiesonline.org/tools/criteria/>). A minimum of 30 percent of the minimum optional points needed to qualify for the Green Communities program must be earned under the Energy Efficiency section of the Green Communities qualification program.**

**Yes No**

**c. Does this proposal include a written commitment to achieve participation in one of the following two programs. Note, each program has four levels of certification. Check the level of certification that you will achieve as noted in your written commitment. You may check no more than one of the eight options below:**

LEED for Homes program by the United States Green Building Council (USGBC):  
<http://www.usgbc.org/homes>

- i. Certified Level (4 points) or
- ii. Silver Level (6 points) or
- iii. Gold Level (8 points) or
- iv. Platinum Level (10 points) or

OR

The National Association of Home Builders (NAHB) ICC 700–2008 National Green Building Standard TM: <http://www.nahb.org>

- v. Bronze Level (4 points) or
- vi. Silver Level (6 points) or
- vii. Gold Level (8 points) or
- viii. Emerald Level (10 points)

- d. Does this proposal include a written commitment to achieve participation in local green/energy efficient building standards? Applicants who participate in a city, county or municipality program will receive an additional 2 points: Yes No**

**Name of Local Program:**

**B. Energy Conservation Points for the Purchase and Substantial Rehabilitation of an Existing Property**

You may earn up to 32 points for properties purchased for purposes of substantial rehabilitation. 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.greencommunitiesonline.org/tools/criteria/>)? (30 points).** A minimum of 30 percent of the minimum optional points needed to qualify for the Green Communities program must be earned under the Energy Efficiency section of the Green Communities qualification program. **Yes No**

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
- ii. Does this proposal include the replacement of windows and doors with Energy Star qualified windows and doors? (3 points): Yes No
- 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 1 point will be awarded if attic insulation exceeds code, for a maximum of 3 points.  
All exterior walls exceed insulation code (2 points): Yes No  
Attic insulation exceeds code (1 point): Yes No
- 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
- v. Does this proposal include 100 percent of installed appliances and exhaust fans that are Energy Star qualified? (2 points): Yes No
- vi. Does this proposal include 100 percent of installed water heaters that are Energy Star qualified? (2 points): Yes No
- 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 EPA Water Sense label? (1 point):  
Yes No
- viii. Does this proposal include 100 percent of new showerheads with EPA Water Sense label? (1 point): Yes No
- ix. Does this proposal include 100 percent of new faucets with EPA Water Sense label? (1 point): Yes No
- 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

- c. **Does this proposal include a written commitment to achieve participation in local green energy efficient building standards. Applicants who participate in a city, county or municipality program will receive an additional 2 points:**

**Yes      No**

**Name of Local Program:**

#### **IV. Energy Generation (maximum 5 points)**

Pre-applications for new construction or purchase and substantial rehabilitation of non-program multi-family projects which participate in the **Green Communities program** by the Enterprise Community Partners or receive at least **16 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 to 100 percent commitment to energy generation (5 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.

**V. Green Property Management Credentials (5 points)**

Projects will be awarded an additional 5 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)

- a. **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**

**VI. Leveraged Assistance (maximum 30 points)**

**Does this proposal include leveraged assistance for the units that will serve USDA Rural Development income-eligible tenants at basic rents, as defined in 7 CFR Section 3560.11, comparable to those rents if USDA Rural Development provided full financing, computed as a percentage of the USDA Rural Development total development cost (TDC)?**

**Yes      No**

<b>Number of Points</b>	<b>Percent of Leveraging</b>
30	150% or more
25	100 – 149%
20	50 – 99%
15	15 – 49%

If Yes, complete the section below to show all sources of funding. Review the section on Leverage Assistance in the NOFA for a list of funding sources. NOTE: If the leveraged/secondary funds have not been committed but have been requested, then (1) include evidence of a filed application for the funds, and (2) show that the funding date of the requested funds will permit processing of the loan request in the current funding cycle.

**Source of Leverage Assistance**

**Dollar Amount**

**Percentage of TDC**

**TOTALS:**

**VII. Colonia, Tribal Land or Rural Economic Area Partnership (REAP) Community (20 points)**

**Are the units to be developed located in one of the following regions? (20 points):**

**In a Colonia**

**On Tribal Land**

**In a Rural Economic Area Partnership (REAP) Community**

**In a place identified in the State Consolidated Plan**

**In a high-need community for MFH as shown in the State Needs Assessment**

**VIII. Special Initiatives and MOU (20 points)**

Pursuant to 7 CFR Section 3560.56 (c)(1)(iii), a National Office initiative will provide points to loan requests that meet the selection criteria as follows: In States where USDA Rural Development has an on-going formal working relationship, agreement, or Memorandum of Understanding (MOU) with the State to provide state financial resources (State funds, State RA, HOME funds, Community Development Block Grant (CDBG) funds, or Low-Income Housing Tax Credits (LIHTC)) for USDA Rural Development proposals; or where the State provides preference or points to USDA Rural Development proposals in awarding such State resources, 20 points will be provided to loan requests that include such State resources in an amount equal to at least 5 percent of the TDC. Native American Housing and Self Determination Act (NAHASDA) funds may be considered a State resource if the tribal plan for NAHASDA funds contains provisions for partnering with USDA Rural Development for MFH. The applicant can contact its

USDA Rural Development State Office to determine whether a particular State falls into this initiative. (20 Points)

**Does this loan request include such State resources as mentioned here in an amount equal to at least 5 percent of Total Development Cost (TDC)? (20 points):**

Yes      No

**IX. Donated Land (5 points)**

**Does this loan request include donated land meeting the provisions of 7 CFR Section 3560.56(c)(1)(iv)? (5 points):** Yes      No

**X. Presidentially Declared Disaster Area (10 points)**

Pursuant to 7 CFR Section 3560.56 (c)(1)(iii), points will be awarded if the property will be constructed in a Presidentially declared disaster area. The area must have been Presidentially declared a disaster area in 2011. For further information on Presidentially declared disaster areas, see <http://www.rurdev.usda.gov/rd/disasters/>.

**Will the property be constructed in a 2011 Presidentially declared disaster area? (10 points):** Yes      No

**XI. Documents Submitted**

Below, please check all documents that you will be submitting to the State Office with your complete pre-application package. You may also refer to the NOFA for a complete description of the documents that you are required to submit along with links to access the forms.

**a. Supporting Documentation for this Pre-application**

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

Form Reference	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
	Fiscal Year 2011 Pre-application for Section 515 Rural Rental Housing Program (this form).		Electronic media via Email
<b>III. A. Energy Conservation Points for New Construction</b>			
a.	Written commitment to achieve participation in the Department of Energy’s Energy Star for Homes Program.		

<b>Form Reference</b>	<b>Item</b>	<b>Submitted in Hard Copy Form</b>	<b>Submitted on Electronic Media</b>
b.	Written commitment to achieve participation in the Green Communities Program by the Enterprise Community Partners.		
c. OR	Written commitment to achieve participation in LEED for Homes program by the United States Green Building Council.		
c.	Written commitment to achieve participation in the National Association of Home Builders National Green Building Standard TM.		
d.	Written commitment to achieve participation in local green energy efficient building standards.		
<b>III. B. Energy Conservation Points for the Purchase and Rehabilitation of an Existing Property</b>			
a. OR	Written commitment to achieve participation in the Green Communities Program by the Enterprise Community Partners.		
b.	Documentation substantiating Green Energy improvements outlined in items i. through x.		
c.	Written commitment to achieve participation in local green energy efficient building standards.		
<b>IV. 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.		
<b>V. Green Property Management Credentials</b>			
a.	Resumes of the designated property management company or individuals responsible for maintenance and operations that have a credential for Green Property Management.		
<b>VI. Leveraged Assistance</b>			
	Sources of Leveraged funds showing commitments, and requests that have been filed but not yet committed with funding dates.		
<b>VII. Colonia, Tribal Land or Rural Economic Area Partnership (REAP) Community</b>			
	Evidence of location of units in a special area as noted under item VII.		
<b>VIII. Special Initiatives and MOU</b>			
	Evidence of a formal working relationship, agreement or Memorandum of Understanding with the State to provide state financial resources, including the types of funding and dollar amounts.		

Form Reference	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
<b>IX. Donated Land</b>			
	Evidence of donated land meeting the provisions of 7 CFR Section 3560.56(c)(1)(iv).		
<b>X. Presidentially Declared Disaster Area</b>			
	Evidence of property being constructed in a 2011 Presidentially declared disaster area.		

**b. Check submission of required documentation as specified in Section V. of the NOFA.**

NOFA Reference in Section V.	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
<b>1. Documents to Establish Applicant Eligibility</b>			
a.	Form SF 424, Application for Federal Assistance. <a href="http://apply07.grants.gov/apply/forms/sample/SF424-V2.0.pdf">http://apply07.grants.gov/apply/forms/sample/SF424-V2.0.pdf</a>		
b.	Form RD 410-9, Statement Required by Privacy Act ( <i>for individuals</i> ). See access to fillable form under item 5. below.		
c.	Form RD 400-4, Assurance Agreement. <a href="http://www.rurdev.usda.gov/regs/forms/0400-04.pdf">http://www.rurdev.usda.gov/regs/forms/0400-04.pdf</a>		
d.	Form HUD 2530, Previous Participation Certification. <a href="http://www.hud.gov/offices/adm/hudclips/forms/files/2530.pdf">http://www.hud.gov/offices/adm/hudclips/forms/files/2530.pdf</a>		
e.	Current (within <u>6 months</u> ) financial statements with the following paragraph certified by an authorized individual, agent or representative with the legal authority to do so: "I/we certify the above is a true and accurate reflection of my/our financial condition as of the date stated herein. This statement is given for the purpose of inducing the United States of America to make a loan or to enable the United States of America to make a determination of continued eligibility of the applicant for a loan as requested in the loan application of which this statement is a part."		
f.	Check for \$28 from individual applicants, and \$40 from entity applicants made out to U.S. Department of Agriculture. This will be used to pay for credit reports obtained by the USDA Rural Development.		
g.	Statement signed by applicants that they will pay any cost overruns.		
h.	If an entity applicant is selected for further processing, the Agency will require additional documentation as set forth in a Conditional Commitment in order to verify the entity has the legal and financial capability to carry out the obligations of the loan.		

NOFA Reference in Section V.	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
<b>2. Documents to Establish Project Feasibility</b>			
a.	Market feasibility documentation: Either a market study or a market survey, as appropriate.		
b.	Type of project and structures proposed (total number of units by bedroom size, size of each unit type, size and type of other facilities).		
c.	Schematic drawings: (Because projects are expected to be in pre-design or very early schematic design for pre-application purposes, these drawings may be prepared only as preliminary sketches. It is expected that teams will be working on an integrated design method and therefore there will be changes to these sketches to meet energy-efficiency goals, if any) (i) Site plan, including contour lines; Floor plan of each living unit type and other spaces, such as laundry facilities, community rooms, stairwells, etc.; (ii) Building exterior elevations; (iii) Typical building exterior wall section; and (iv) Plot plan.		
d.	Description and justification of related facilities, and a schedule of separate charges for related facilities. Related facilities include community rooms that can be used by tenants and management at no additional charge to the tenants.		
e.	Type and method of construction (owner builder, negotiated bid, or contractor method).		
f.	Statement of estimated costs (Form RD 1924-13, Estimate and Certificate of Actual Costs). The selection of the contractor must be done through the process established in 7 CFR part 1924. <a href="http://forms.sc.egov.usda.gov/efcommon/eFileServices/Forms/RD1924-13.pdf">http://forms.sc.egov.usda.gov/efcommon/eFileServices/Forms/RD1924-13.pdf</a>		
g.	Statement of proposed management.		
h.	Congregate services package/plan (if applicable).		
i.	Statement of support from other Government services providers to the project (congregate housing only).		
j.	Response to the Uniform Relocation Assistance Act (if applicable).		
k.	In order to receive points for energy initiatives, the pre-application must include resumes of qualified professionals, plans for an initial design charette and post-construction operations, and maintenance training for property managers, site managers and tenants.		
<b>3. Documents for Project Financing</b>			
a.	Statement of budget and cash flow (applicant completes Form RD 3560-7, Multiple Family Housing Project Budget/Utility Allowance), including type of utilities and utility allowance, if applicable, and any contribution to the reserve account. See access to fillable form under item 5. below.		

NOFA Reference in Section V.	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
b.	Congregate services charges (if applicable).		
c.	Status of efforts to obtain leveraged funds.		
d.	Proposed construction financing (interim or multiple advance; if interim financing, letter of interest from intended lender).		
<b>4. Documents for Environmental and Site Information</b>			
a.	Form RD 1940-20, Request for Environmental Information. <a href="http://www.rurdev.usda.gov/regs/forms/1940-20.pdf">http://www.rurdev.usda.gov/regs/forms/1940-20.pdf</a>		
b.	Evidence of compliance with Executive Order 12372 (A-95) (if applicable). Form SF 424 is sent to a clearinghouse for intergovernmental review.		
c.	A copy of the American Society for Testing and Materials (ASTM) Phase I Environmental Site Assessment to cover environmental due diligence. The ASTM Phase I Environmental Site Assessment will be obtained from the company or person who performs the environmental site assessment.		
d.	Map showing location of community services such as schools, hospitals, fire and police departments, shopping malls and employment centers.		
e.	Evidence of submission of the project description to the State Housing Preservation Office with request for comments.		
f.	The applicant's comments regarding relevant offsite conditions that may impact the project.		
g.	The applicant's explanation of any proposed energy efficiency components.		
<b>5. Fillable Forms Available through e-Authentication Access</b>			
	The following required forms are fillable and are available online but require e-authentication access. If the applicant does not have e-authentication access, the applicable State Office (listed in Section XI of the NOFA) must be contacted for instructions and permission to obtain access or a copy of the form:		
See 3a. above	Form RD 3560-7, Multiple Family Housing Project Budget/Utility Allowance: <a href="https://formsadmin.sc.egov.usda.gov/efcommon/eFileServices/Forms/RD3560-0007_060500V01.pdf">https://formsadmin.sc.egov.usda.gov/efcommon/eFileServices/Forms/RD3560-0007_060500V01.pdf</a>		
See 1b. above	Form RD 410-9, Statement Required by the Privacy Act (for individuals only) <a href="https://formsadmin.sc.egov.usda.gov/efcommon/eFileServices/Forms/RD0410-0009.pdf">https://formsadmin.sc.egov.usda.gov/efcommon/eFileServices/Forms/RD0410-0009.pdf</a>		

**Applicants are encouraged, but not required, to include a checklist and to have their pre-applications indexed and tabbed to facilitate the review process. The local Rural Development State Office will base its determination of completeness of the pre-application and the eligibility of each applicant on the information provided in the pre-application. All applicants will receive a letter notifying them of their selection or rejection for further processing. Applicants that are selected will be given instructions on how to proceed, following the procedures established in 7 CFR part 3560. Applicants that are not selected will be provided appeal rights under 7 CFR part11.**