

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use Only

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

Prior to Construction Submittals		
1	Capital Needs Assessment (CNA)	MFH to confirm when CNA is required; 7 CFR 3560.103; 3560.406
2	Architectural Services Agreement (ASA)	7 CFR 1924.13(a)
3	Preliminary Design and/or Scope of Work	7 CFR 3560.58-60
4	Construction Documents- Drawings and Specifications	7 CFR 1924.5; 1924.13
Project Delivery Method: Choose ONE method 5, 6, 7 or 8 (only ONE method will apply per project): 7 CFR 1924.13 (3)(1)		
5	Contract Method: Competitive Bid	7 CFR 1924.13 (e)(1)(i)
6	Contract Method: Negotiated Contract	7 CFR 1924.13 (e)(1)(vii)
7	Exception to Contract Method- Public Body	7 CFR 1924.13 (e)(1)(viii)
8	Owner-Builder Method	7 CFR 1924.13 (e)(2)
9	Preconstruction Conference	7 CFR 1924.6(a)(11)(1)
Construction Monitoring Submittals		
10	Monthly Payment Estimate & Application	7 CFR 1924.6(12); 1924.13(3)(1)(iv)
11	Change Orders	7 CFR 1924.10
12	Closeout Documents	7 CFR 1924.6(a)(12)(vi); 7 CFR 1924.13(a)

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

Project Name & Location:

Applicant Name & Contact Information:

Architect Name & Contact Information:

General Contractor Legal Name:

License/EIN:

For MFH new funding actions: Prior to Bid Submittals or Prior to Construction if competitive bid has been waived or not required		
Doc #	Document	Comment
1	Capital Needs Assessment (CNA)	7 CFR 3560.103; 3560.406
1.a	CNA Agreement between Owner and Provider with RD Attachment A “Addendum to CNA Contract” and RD Attachment B “CNA Statement of Work”	CNA UL Attachment A with concurrence by MFH representative. Provide a completed contract between the Owner and the Provider to MFH for review
1.b	Preliminary As-Is CNA with RD Reviewer Comments	Costs should be stated or defined with comments when unusual conditions apply.
1.c	Owner acceptance of CNA	Owner should verify the work proposed aligns with the contract requirements
1.d	Final As-Is CNA addressing RD Reviewer Comments	Owner has 10 working days to respond with a corrected document and will have only one opportunity to make corrections. At this point, the Agency will accept or reject the CNA.
1.e	Post Rehab CNA with Final Review/Acceptance letter provided by RD CNA Reviewer and MFH Loan Specialist	If applicable

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

For MFH new funding actions: Prior to Bid Submittals or Prior to Construction if competitive bid has been waived or not required		
Doc #	Document	Comment
2	Architectural Services Agreement (ASA)	7 CFR 1924.13(a)
2.a	AIA Agreement between Owner and Architect <i>With AIA Additions/Deletions Report</i>	Or approved alternate agreement; Note 1
2.b	RD Instruction 1924-A, Guide 4, Attachment 1 attached to the AIA Owner Architect Agreement	Or RD attachment to alternate agreement; Note 1
2.c	Cost estimate of reimbursable expenses with Owner approval	Not to exceed (NTE) fee for reimbursable expenses included in the agreement or as an attachment; i.e., printing, travel, etc.
2.d	RD 1940-Q, Exhibit A-1 Certification for Contracts Grants & Loans	If fee amount exceeds \$100,000 (refer to Guide 4, Attachment 1)
2.e	This row intentionally left blank	
2.f	MFH Concurrence	Concurrence letter provided by MFH
3	Preliminary Design and/or Scope of Work	7 CFR 3560.58-60
3.a	RD 1924-13 Estimate and Certification of Actual Costs or Preliminary Cost Estimate	1924.13 (e)1(iv)& 1924.13 (e)(1)(v) RD 1924-13 required if RD funded IOI, Owner Builder or when cost certification is required Similar cost estimate form if no new RD funds (As needed for underwriting purposes)
3.b	Scope of Work (SOW) and Preliminary Plans and Outline Specifications	SOW should align with As-Is CNA.
3.c	Environmental Review	7CFR 3560.59.
3.d	This row intentionally left blank	
3.e	MFH Concurrence	Concurrence letter provided by MFH

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

Prior to Bid Submittals or Prior to Construction if competitive bid has been waived or not required		
Doc #	Document	Comment
4	Construction Documents- Drawings and Specification	
4.a	Project Manual including Front End Documents and Technical Specifications front cover stamped and signed by the Architect of Record	7 CFR 1924.13(d); 7 CFR 1924.13(e)(1)(ii) See “ MFH_515_514_516_Project Manual Front End Documents ” for list of documents to be given to Architect of Record
4.b	Construction Drawings stamped and signed by the Architect of Record	7 CFR 1924.5(d)(2); 7 CFR 1924.13(a)(5)(iii); 7 CFR 1924.13(c)
4.c	Form RD 1924-25 “Certification of Plans and Specifications” signed by Architect of Record	7 CFR 1924.5(d)(1)(iv); 7 CFR 1924.5(f)(1)(F); 7 CFR 3560.60 Or acceptable alternative certification statement on coversheet of drawings and project manual (if no new RD funds)
4.d	Other Regulatory Agency review/acceptance of construction documents	If applicable
4.e	This row intentionally left blank	
4.f	MFH Authorization to Release for Bid or concurrence with Construction Documents	1924.5(f)(1)(ii) Concurrence letter provided by MFH

Project Delivery Method: Choose ONE method 5, 6, 7 or 8 (only ONE method will apply per project):	
5	Contract Method: Competitive Bid
6	Contract Method: Negotiated Contract
7	Exception to Contract Method- Public Body
8	Owner-Builder Method

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

5	CONTRACT METHOD: COMPETITIVE BID: Bid Concurrence/Contract Concurrence (if NEGOTIATED CONTRACT this section is not applicable see #6)	
Doc #	Document	Comment
	Bid Concurrence/Authorization to Award	The following documents should be submitted as a complete package for review and concurrence:
5.a	Advertisement for Bids and Proof of Publication	i.e., Notice in paper or on-line plan rooms
5.b	Bid Tabulation Sheet prepared by Architect of Record	
5.c	Bid Form - Low bidder only	
5.d	Architect of Record's Recommendation to the Owner of the qualified low bidder(s)	If no acceptable bids received and owner rejects all bids, copy of bid rejection letter from owner to each bidder, then move to re-advertise for bids or, if approved by MFH, move to Section 6.b for negotiated contract submittals.
5.e	Form RD 400-1 Equal Opportunity Agreement	On projects with total cost over \$10,000, required to be signed by the owner; identifies EEO requirements for contractor.
5.f	Form RD 400-6 (current version): Compliance Statement signed by prospective contractor.	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$10,000
5.g	RD 1940-Q, Exhibit A-1 Certification for Contracts Grants & Loans signed by prospective contractor.	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$100,000
5.h	RD 3560-30 Identity of Interest (IOI) Disclosure Certificate or RD 3560-31 Identity of Interest Qualification (as applicable)	Regarding IOI between Owner and Contractor(s)
5.i	This row intentionally left blank	
5.j	MFH Concurrence in Award	Concurrence letter provided by MFH
	Contract Concurrence	The following documents should be submitted as a complete package for review and concurrence:
5.k	Board's Resolution Awarding the Contract	If applicable

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

5 CONTRACT METHOD: COMPETITIVE BID: Bid Concurrence/Contract Concurrence (if NEGOTIATED CONTRACT this section is not applicable see #6)		
Doc #	Document	Comment
5.l	RD 1924-A, Guide 1, Attachment 5 Notice of Award	Once MFH concurrence provided, issued by Owner to Contractor
5.m	AIA Document Standard Form of Agreement	Or approved alternate agreement; Note 3
5.n	RD 1924-A, Guide 1, Attachment 6	Attached to AIA Document and referenced in the AIA Agreement Or RD attachment to alternate agreement; Note 3
5.o	AIA A201-2017 General Conditions of the Contract for Construction	
5.p	RD 1924-A, Guide 1, Attachment 10	Attached to AIA A201 and referenced in the AIA Standard Form of Agreement
5.q	RD 1924-A, Exhibit F & Exhibit G: Payment Bond & Performance Bond	7 CFR 1924.6(a)(3); 7 CFR 1924.13(e)(1)(iii) Or AIA Documents - if Agency is providing interim financing, then rider including the Agency named as co-obligee.
5.r	Surety other than Performance and Payment Bonds	See 1924.6(a)(3) for alternatives to performance and payment bonds or exception to surety requirements. Concurrence letter provided by MFH; refer to "MFH_515_514_516_Exception to Surety Requirements"
5.s	Contractor's Certificate of Insurance	
5.t	RD 1924-A, Guide 1, Attachment 7 Certification of Owner's Attorney	
5.u	Contractor completes 1901-E Exhibit C for all contracts and subcontracts exceeding \$10,000	If Agency financed, PRR assigned needs to submit to DOL within 10 business days of contract award. Refer to 7 CFR Exhibit C to Subpart E.7 CFR 1901.205(b)(3) https://www.ecfr.gov/current/title-7/part-1901/appendix-Exhibit%20C%20to%20Subpart%20E%20of%20Part%201901
5.v	This row intentionally left blank	
5.w	MFH Concurrence in Contract	1924.6(a)(1); 1924.13(e)(1)(ii)(H) Concurrence letter provided by MFH

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

6	CONTRACT METHOD: NEGOTIATED CONTRACT: Contract Concurrence The contract concurrence documents should be submitted as a complete package for review and concurrence:	
Doc #	Document	Comment
6.a	Request exception to Competitive Bidding	See “ MFH_515_514_516_Exception to Competitive Bidding ” for list of documents
6.b	Form RD 400-1 Equal Opportunity Agreement	On projects with total cost over \$10,000, must be signed by the owner and identifies EEO requirements for contractor.
6.c	Form RD 400-6 (current version): Compliance Statement signed by prospective contractor	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$10,000
6.d	RD 1940-Q, Exhibit A-1 Certification for Contracts Grants & Loans signed by prospective contractor.	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$100,000
6.e	RD 3560-30 Identity of Interest (IOI) Disclosure Certificate or RD 3560-31 Identity of Interest Qualification (as applicable)	Regarding IOI between Owner and Contractor(s)
6.f	Board’s Resolution Awarding the Contract	If Applicable
6.g	RD 1924-A, Guide 1, Attachment 5 Notice of Award	Issued by Owner to Contractor after Pre-Construction Conference/meeting held
6.h	AIA Document Standard Form of Agreement	Or approved alternate agreement; Note 3
6.i	RD 1924-A, Guide 1, Attachment 6	Attached to AIA Document and referenced in the AIA Agreement Or RD attachment to alternate agreement; Note 3
6.j	AIA A201-2017 General Conditions of the Contract for Construction	
6.k	RD 1924-A, Guide 1, Attachment 10	Attached to AIA A201 and referenced in the AIA Standard Form of Agreement
6.l	RD 1924-A, Exhibit F & Exhibit G: Payment Bond & Performance Bond	1924.6(a)(3); 1924.13(e)1(iii) Or AIA Documents - if Agency is providing interim financing, then rider including the Agency named as co-obligee
6.m	Surety other than Performance and Payment Bonds	See 1924.6(a)(3) for alternatives to performance and payment bonds or exception to surety requirements. Concurrence letter provided by MFH; refer to “ MFH_515_514_516_Exception to Surety Requirements ”

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

6	CONTRACT METHOD: NEGOTIATED CONTRACT: Contract Concurrence The contract concurrence documents should be submitted as a complete package for review and concurrence:	
Doc #	Document	Comment
6.n	Contractor's Certificate of Insurance	
6.o	Contractor completes 1901-E Exhibit C for all contracts and subcontracts exceeding \$10,000	If Agency financed, PRR assigned needs to submit to DOL within 10 business days of contract award. Refer to 7 CFR Exhibit C to Subpart E. (7 CFR 1901.205(b)(3)) https://www.ecfr.gov/current/title-7/part-1901/appendix-Exhibit%20C%20to%20Subpart%20E%20of%20Part%201901
6.p	RD 1924-A, Guide 1, Attachment 7 Certification of Owner's Attorney	
6.q	This row intentionally left blank	
6.r	MFH Concurrence in Contract	1924.6(a)(1); 1924.13(e)(1)(ii)(H) Concurrence letter provided by MFH

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

7		
EXCEPTION TO CONTRACT METHOD- PUBLIC BODY		
Doc #	Document	Comment
7.a	Request exception to contract method	See “ MFH_515_514_516_Exception to Contract Method-Public Body ” for list of documents. Concurrence letter provided by MFH.
7.b	Public Body has completed 1901-E Exhibit C for all contracts and subcontracts exceeding \$10,000	If Agency financed, PRR assigned needs to submit to DOL within 10 business days of contract award. Refer to 7 CFR Exhibit C to Subpart E.
7.c	Surety Requirements	Letter of credit or cash deposit: 7CFR 1924.13(e)(2)(ix)(B)
7.d	Subcontractor(s) executed agreement	For each contract or subcontract as applicable
7.e	Subcontractor’s Certificate of Insurance	For each contract or subcontract as applicable
7.f	Form RD 400-1 Equal Opportunity Agreement	On projects with total cost over \$10,000, must be signed by the owner, and identifies EEO requirements for subcontractor
7.g	Form RD 400-6 (current version): Compliance Statement signed by each subcontractor	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$10,000
7.h	RD 1940-Q, Exhibit A-1 Certification for Contracts Grants & Loans signed by each subcontractor.	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$100,000
7.i	RD 3560-30 Identity of Interest (IOI) or RD 3560-31 Identity of Interest Qualification (as applicable)	Regarding IOI between Applicant and Contractor(s)

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

8 OWNER-BUILDER METHOD		
Doc #	Document	Comment
8.a	Agency issues exception to the Contract Method of Construction; proceed with owner-builder method of construction	Refer to “ MFH_515_514_516_Request to use the Owner-Builder Method Submittal List ”. Concurrence letter provided by MFH
8.b	Owner Builder completes 1901-E Exhibit C for all contracts and subcontracts exceeding \$10,000	If Agency financed, PRR assigned needs to submit to DOL within 10 business days of contract award. Refer to 7 CFR Exhibit C to Subpart E. 7 CFR 1901.205(b)(3) https://www.ecfr.gov/current/title-7/part-1901/appendix-Exhibit%20C%20to%20Subpart%20E%20of%20Part%201901
8.c	Surety Requirements	Letter of credit or cash deposit 7CFR 1924.13(e)(2)(ix)(B)
8.d	Subcontractor(s) executed agreement	For each contract or subcontract
8.e	Contractor’s Certificate of Insurance	
8.f	Form RD 400-1 Equal Opportunity Agreement	On projects with total cost over \$10,000, must be signed by the owner and identifies EEO requirements for subcontractor
8.g	Form RD 400-6 (current version): Compliance Statement signed by each subcontractor	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$10,000
8.h	RD 1940-Q, Exhibit A-1 Certification for Contracts Grants & Loans signed by each subcontractor.	7 CFR 1924.6(a)(4) through (9) If contract amount exceeds \$100,000
8.i	RD 3560-30 Identity of Interest (IOI) Disclosure Certificate or RD 3560-31 Identity of Interest Qualification (as applicable)	Regarding IOI between Owner-Builder and Contractor(s)

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

9	Preconstruction Conference	7 CFR 1924.6(a)(11)(1)
Doc #	Document	Comment
9.a	Form RD 1924-16 or acceptable alternative Record of Pre-Construction Conference	To be completed by the Architect of Record (Project Architect) Attendance (in person or virtual) by Owner, Project Architect, Contractor, Third Party Lenders (if applicable, MFH and PSS (typically); all in attendance must sign final record
9.b	Form RD 400-3 for each prime contract over \$10,000 and Equal Employment Opportunity is the Law Poster – EEOC-P/E-1	Distributed from Agency at pre-construction conference
9.c	And Justice for All Poster – Form AD-475-A	Distributed from Agency at pre-construction conference
9.d	Employee Rights Under the Davis-Bacon Act Poster - WH1321 and WH1321 SPA	Distributed from Agency at pre-construction conference, if applicable. (English and Spanish version)
9.e	Building Permit	If applicable
9.f	Any additional permits	If applicable
9.g	RD 1924-A, Guide 1, Attachment 9 Notice to Proceed	Issued by Owner to Contractor
9.h	List of Material Suppliers and Subcontractors (if available)	
9.i	Schedule of Values (if available)	AIA G703 or RD 1924-18 Continuation Sheet
9.j	Project Schedule (if available)	

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

Construction Monitoring Submittals		
Doc #	Document	Comment
10	Monthly Payment Estimate & Application	7 CFR 1924.6(12); 1924.13(3)(1)(iv)
10.a	Application Form	AIA G702 with RD concurrence attachment or RD 1924-18
10.b	Schedule of Values	AIA G703 or RD 1924-18 continuation sheet
10.c	Change Orders	Approved during the period covered by the pay application and prior to work performed, unless emergency situation
10.d	Allowance documentation	i.e., invoices for any payment requested out of an allowance line item
10.e	Stored Materials documentation if payment is being requested for stored materials	On Site Stored Materials: invoices and photos of materials showing they are securely stored Off Site Stored Materials: invoices, photos of materials showing they are clearly marked with the Project Name, Transfer of Title of Ownership, Right of Owner for Entry to inspect materials, Certificate of Insurance, and Bill of Lading/Packing List
10.f	Monthly lien releases (if there are no Payment and Performance bonds)	Not applicable if there are surety bonds on the project
10.g	Davis Bacon Payroll Certification	If applicable. Optional form wh347.
10.h	Project Architect's Site Observation Report	Project Architect's meeting minutes and site observation report with photos documenting work completed and any stored materials.
10.i	This row intentionally left blank	
10.j	This row intentionally left blank	
10.k	MFH Concurrence and disbursal of loan funds	(if applicable)

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

Construction Monitoring Submittals		
Doc #	Document	Comment
11	Change Orders	7 CFR 1924.10
11.a	Form RD 1924-7 Contract Change Order Form	Or AIA G701 Contract Change Order Form with RD concurrence attachment
11.b	Narrative (non-technical) describing the need for the change order and documentation of how cost increase will be funded	Including revised drawings or sketches (if applicable) stamped and signed by the architect of record
11.c	Back-up documentation	i.e.: Detailed cost estimate, labor and material costs, quotes from subcontractors and/or material suppliers, etc.
11.d	This row intentionally left blank	
11.e	MFH Concurrence	On Form RD 1924-7 or, if using AIA G701, RD concurrence attachment

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

Construction Monitoring Submittals		
Doc #	Document	Comment
12	Closeout Documents	7 CFR 1924.6(a)(12)(vi); 7 CFR 1924.13(a)
12.a	Architect of Record Field Report and Punchlist *	At Substantial Completion
12.b	AIA Document G704 Form- Certificate of Substantial Completion *	Amount held back from retainage for punch-list items listed on the document Substantial Completion Inspection attended by both MFH and PSS (if available)
12.c	This row intentional intentionally skipped	
12.d	Certificate of Occupancy or Certificate of Compliance *	7 CFR 1924.9(d) or required approvals from municipal and governmental authorities having jurisdiction over the project, if Applicable
12.e	Form RD 1924-19 Builder's Warranty	And/or any other warranty information, with dates. Form RD 1924-19 signed by the Owner.
12.f	Acceptance by project architect (architect of record)	7 CFR 1924.9(e)
12.g	Acceptance by owner	7 CFR 1924.6(a)(12)(vi)(B)
12.h	As-built drawings	electronic PDF format- RD Attachment to B101
12.i	This row intentional intentionally skipped	
12.j	Verification Owner has received As-Built, O & M manuals, attic stock, etc.	7 CFR 1924.13(a)(5)(v)(G) Owner's acknowledgement, i.e., on transmittal from Project Architect, email from Owner
12.k	AIA G707 Consent of Surety Company to Final Payment	If performance and payment bonds
12.l	Final Acceptance Letter from State Regulatory or Funding agency (if applicable)	
12.m	Copy of Maintenance Bond (Latent Defects Bond)	If no Performance and Payment Bonds
12.n	Contractor Release of Liens from Prime and All Sub Contractors: Form RD 1924-9 Contractor Release of Liens Form RD 1924-10 Release by Claimants (if no surety bond)	See 1924-9 FMI for instructions.

MFH_515_514_516_CONSTRUCTION DOCUMENT SUBMITTALS

Applicant Use

For 515, 514, and 516 Multi-Family Housing Substantial Rehabilitation or New Construction

Construction Monitoring Submittals		
Doc #	Document	Comment
12.o	RD 1924-13 Certification of Actual Cost	7 CFR 1924.13(e)(1)(v)(B); 7 CFR 1924.13(e)(2)(x) Signed by Owner and Contractor
12.p	Final Pay Application	7 CFR 1924.6 (a) (12) (vi) All required closeout documents must be sent to and accepted by MFH before final payment will be made
12.q	11th Month Warranty Inspection	Owner, Project Architect, and Contractor to tentatively schedule inspection and provide to MFH for future follow up

* These items must be submitted, reviewed, and concurred by MFH prior to implementation of post rehab rents.