

Fiscal Year 2011 Pre-application for Section 514/516 Farm Labor Housing Loans and Grants 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 514/516 Farm Labor Housing Loans and Grants 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 **X. 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 Taxpayer Identification Number:

c. Applicant’s Address:

Address, Line 1:

Address, Line 2:

City:

State:

Zip:

d. Name of Applicant’s Contact Person:

e. Contact Person’s Telephone Number:

f. Contact Person’s Email Address:

g. Applicant Type: Non-Profit (NP) Non-Profit Limited Partnership (NPLP)
(Check One) Public Body (PB) Indian Tribe (IT)
 Association of Farmers (AF)
 Association of Farmworkers (AFW)

II. Project Information

a. Project Name:

b. City:

c. County:

d. Congressional District:

e. Total Number of FLH Units:

f. Total Number of Rental Assistance (RA) Units:

g. Total Number of Migration Units:

h. If mixed use, state percentage of FLH and Non-FLH units:

Designated FLH Units: % Designated Non-FLH Units: %

i. Loan Amount Requested:

j. Grant Amount Requested:

k. If applying for a Grant please provide a DUNs Number:

III. Construction Cost Savings

a. Show the presence of construction cost savings, including donated land and construction leverage assistance, for the units that will serve program-eligible tenants. Calculate the savings as a percentage of the Rural Development Total Development Costs (TDC), excluding any costs prohibited by Rural Development as loan expenses, such as a developer's fee. Construction cost savings include, but are not limited to, funds for hard construction costs, and State or Federal funds which are applicable to construction costs. A minimum of ten percent cost savings is required to earn points. To count as cost savings for purposes of the selection criteria, a written commitment from the funding source must be submitted with the pre-application along with the "Calculation of Leveraged Assistance Worksheet." Points will be awarded in accordance with the following table using rounding to the nearest whole number. Check one of the options below:

75 % or more (20 points)	60 – 74% (18 points)	50 – 59% (16 points)
40 – 49% (12 points)	30 – 39% (10 points)	20 – 29% (8 points)
10 – 19% (5 points)	0 – 9% (0 points)	

b. If the total percentage of construction cost savings is less than ten percent, you can earn two points if the proposal includes donated land.

The percentage of leveraged assistance is less than ten percent and the proposal includes donated land (2 points): **Yes** **No**

IV. Operational Cost Savings

Operational cost savings, such as tax abatements, non-Rural Development tenant subsidies or donated services are calculated on a per unit cost savings, using only the number of units that will serve Farm Labor Housing income-eligible tenants. Savings must be available for at least five years and documentation must be provided with the application demonstrating the availability of savings for five years. To calculate the savings, take the total amount of savings for five years and divide it by the number of eligible units in the project that will benefit from the savings to obtain the per unit cost savings. If the value changes over the five-year period, then use the lowest value during the five-year period to calculate the

savings. Round percentages to the nearest whole number. Check one of the options below, if applicable, to show the per unit operational cost savings under this proposal:

- | | |
|---------------------------------------|--|
| Above \$15,000 (20 points) | \$10,001 - \$15,000 (18 points) |
| \$7,501 - \$10,000 (16 points) | \$5,001 - \$7,500 (12 points) |
| \$3,501 - \$5,000 (10 points) | \$2,001 - \$3,500 (8 points) |
| \$1,000 - \$2,000 (5 points) | Dollar Value of Operational Cost Savings: |

V. Units for Seasonal, Temporary and Migrant Housing

Show the number and percentage of units available for seasonal, temporary and migrant housing. For each type of housing, 5 points will be awarded for up to 50% of units and 10 points for 51% of units or more. NOTE: The total number of units for all three categories cannot exceed the “Total Number of FLH Units in II. c” and the total percent cannot exceed 100%.

Units available for seasonal farm workers:	Number:	Percent:	%
Units available for temporary farm workers:	Number:	Percent:	%
Units available for migrant farm workers:	Number:	Percent:	%
TOTALS:			%

VI. Tenant Services

a. Up to 10 points will be awarded based on the presence of, and extent to which, a **tenant services plan** exists that clearly outlines services that will be provided to the residents of the proposed project. These services may include, but are not limited to, transportation related services, on-site English as a Second Language (ESL) classes, move-in funds, emergency assistance funds, homeownership counseling, food pantries, after-school tutoring, and computer learning centers.

A tenant services plan exists for the proposed project and is being submitted with this application (10 points). Yes No

b. Two points will be awarded for each resident service included in the tenant services plan up to a maximum of 10 points. Plans must detail how the services are to be administered, who will administer them, and where they will be administered. All tenant service plans must include letters of intent that clearly state the service that will be provided at the project for the benefit of the residents from any party administering each service, including the applicant.

List the tenant services that you will be providing below, up to a maximum of five:

- 1.**
- 2.**
- 3.**

- 4.
- 5.

VII. Energy Conservation

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 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)

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:

VIII. Energy Generation

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.

IX. Green Property Management Credentials

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

X. 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 514/516 Farm Labor Housing Loans and Grants Program (this form).		Electronic media via Email
III. Construction Cost Savings			
a. AND	Written commitment from funding sources.		

Form Reference	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
a.	Calculation of Leveraged Assistance Worksheet.		
b.	Evidence of Donated Land.		
IV. Operational Cost Savings			
	Sources of operational cost savings and calculations.		
VI. Tenant Services			
a.	Tenant Services Plan.		
b.	Details of each service in the Tenant Services Plan along with letters of intent.		
VII. A. Energy Conservation Points for New Construction			
a.	Written commitment to achieve participation in the Department of Energy's Energy Star for Homes Program.		
b.	Written commitment to achieve participation in the Green Communities Program by the Enterprise Community Partners.		
c.	Written commitment to achieve participation in LEED for Homes program by the United States Green Building Council.		
OR			
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.		
VII. B. Energy Conservation Points for the Purchase and Substantial Rehabilitation of an Existing Property			
a.	Written commitment to achieve participation in the Green Communities Program by the Enterprise Community Partners.		
OR			
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.		
VIII. Energy Generation			
a.	Preliminary building plans and an energy analysis that shows that the project will achieve 30 to 100 percent energy generation commitment.		

Form Reference	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
IX. Green Property Management Credentials			
a.	Resumes of the designated property management company or individuals responsible for maintenance and operations that have a credential for Green Property Management.		

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
ii.	Narrative verifying the applicant's ability to meet eligibility requirements.		
iii.	Standard Form 424, "Application for Federal Assistance."		
iv.	Current (within <i>6 months</i>) financial statements with the following paragraph certified by the applicant's designated and legally authorized signer: "I/we certify the above is a true and accurate reflection of 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."		
v.	Check for \$40 from applicants made out to United States Department of Agriculture. This will be used to pay for credit reports obtained by the Rural Development.		
vi.	Evidence that the applicant is unable to obtain credit from other sources. Letters from credit institutions which normally provide real estate loans in the area should be obtained and these letters should indicate the rates and terms upon which a loan might be provided. (Note: Not required from State or local public agencies or Indian tribes.)		
vii.	If a FLH grant is desired, a statement concerning the need for a FLH grant. The statement should include preliminary estimates of the rents required with and without a grant.		
viii.	A statement of the applicant's experience in operating labor housing or other rental housing. If the applicant's experience is limited, additional information should be provided to indicate how the applicant plans to compensate for this limited experience.		
ix.	A brief statement explaining the applicant's proposed method of operation and management (i.e., on-site manager, contract for management services, etc.).		

NOFA Reference in Section V.	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
x.a.	A copy of, or an accurate citation to, the special provisions of State law under which the Applicant is organized, along with a copy of the applicant's charter, Articles of Incorporation, and By-laws.		
x.b.	The names, occupations, and addresses of the applicant's members, directors, and officers.		
x.c.	If a member or subsidiary of another organization, the organization's name, address, and nature of business.		
xi.	A preliminary market survey or market study to identify the supply and demand for labor housing in the market area. The market area must be clearly identified and may include only the area from which tenants can reasonably be drawn for the proposed project. Documentation must be provided to justify a need within the intended market area for the housing of "domestic farm laborers", as defined in 7 CFR 3560.11. The documentation must take into account disabled and retired farm waters. The preliminary survey should address or include all items as noted under this section of the NOFA.		
xii. The following forms are required			
a.	A completed Form RD 1940-20, "Request for Environmental Information," and a description of anticipated environmental issues or concerns. The form can be found at: http://www.rurdev.usda.gov/regs/forms/1940-20.pdf		
b.	A prepared HUD Form 935.2A, "Affirmative Fair Housing Marketing Plan (AFHM) Multi-family Housing" in accordance with 7 CFR 1901.203(c). The plan will reflect that occupancy is open to all qualified "domestic farm laborers," regardless of which farming operation they work and that they will not discriminate on the basis of race, color, sex, age, disability, marital or familial status or National origin in regard to the occupancy or use of the units. The form can be found at : http://www.hud.gov/offices/adm/hudclips/forms/files/935-2a.pdf		
c.	A proposed operating budget utilizing Form RD 3560-7, "Multiple Family Housing Project Budget/Utility Allowance," can be found at http://www.rurdev.gov/regs/forms/3560-07.pdf		
d.	An estimate of development cost utilizing Form RD 1924-13, "Estimate and Certificate of Actual Cost," can be found at http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD1924-13.PDF		
e.	Form RD 3560-30, "Certification of no Identity of Interest (IOI)," can be found at http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD3560-30.PDF and Form RD 3560-31, "Identity of Interest Disclosure/Qualification Certification," can be found at http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD3560-31.PDF		
f.	Form HUD 2530, "Previous Participation Certification," can be found at http://www.hud.gov/offices/adm/hudclips/forms/files/2530.pdf .		
g.	If requesting RA or Operating Assistance, Form RD 3560-25, "Initial Request for Rental Assistance or Operating Assistance." Can be found at http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD3560-25.PDF		

NOFA Reference in Section V.	Item	Submitted in Hard Copy Form	Submitted on Electronic Media
h.	Form RD 400-4, "Assurance Agreement," can be found at: http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD400-4.PDF . Applicants for revitalization, repair, and rehabilitation funding are to apply through the Multi-Family Housing Revitalization Demonstration Program (MPR).		
i.	Evidence of compliance with Executive Order 12372. The applicant must send a copy of Form SF-424 to the applicant's state clearinghouse for intergovernmental review. If the applicant is located in a state that does not have a clearinghouse, the applicant is not required to submit the form.		
Other Documents			
xiii.	Evidence of site control, such as an option contract or sales contract. In addition, a map and description of the proposed site, including the availability of water, sewer, and utilities and the proximity to community facilities and services such as shopping, schools, transportation, doctors, dentists, and hospitals.		
xiv.	Preliminary plans and specifications, including plot plans, building layouts, and type of construction and materials. The housing must meet Rural Development's design and construction standards contained in 7 CFR part 1924, subparts A and C and must also meet all applicable Federal, State, and local accessibility standards.		
xv.	A supportive services plan, which describes services that will be provided on-site or made available to tenants through cooperative agreements with service providers in the community, such as a health clinic or day care facility. Off-site services must be accessible and affordable to farm workers and their families. Letters of intent from service providers are acceptable documentation at the pre-application stage.		
xvi.	A sources and uses statement which shows all sources of funding included in the proposed project. The terms and schedules of all sources included in the project should be included in the sources and uses statement.		
xvii.	A separate one-page information sheet listing each of the "Pre-Application Scoring Criteria" contained in this notice, followed by a reference to the page numbers of all relevant material and documentation that is contained in the proposal that supports the criteria.		
xviii.	Applicants are encouraged, but not required, to include a checklist of all of the pre-application requirements and to have their pre-application indexed and tabbed to facilitate the review process.		
xix.	Evidence of compliance with the requirements of the applicable State Housing Preservation Office (SHPO). A letter from the SHPO where the off-farm labor housing project is located, signed by their designee will serve as evidence of compliance.		