



Issue Date: August 15, 2018
Proposals to be received by:
12:00 PM, October 5, 2018



REQUEST FOR PROPOSALS (RFP) For AFFORDABLE HOUSING DEVELOPMENT

City of Rochester
Bureau of Business and Housing Development

Submit Proposals to:
Carol Wheeler, Manager of Housing
Department of Neighborhood and Business Development
City Hall, Room 005A
30 Church Street
Rochester NY 14614

Pre-Proposal Conference
August 29, 2018 @ 1 PM
City Hall Council Chambers, 3rd floor
30 Church Street
Rochester NY 14614

Affordable Housing Development RFP

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Developer Guidance Handbook (updated October 2017)
<http://www.cityofrochester.gov/nbd/>

Affordable Housing Development RFP

The City of Rochester, New York is seeking proposals from developers, non-profits, and housing service providers (Developers) to increase the supply of quality, safe, affordable rental and homeownership opportunities within the geographical limits of the City of Rochester. Developers may respond to this RFP to competitively apply for gap financing, a Payment-in-Lieu-of-Taxes (PILOT), purchase of City-owned real estate, and/or City support of a project requesting assistance from New York State Homes and Community Renewal (NYS HCR) or some other funding source.

PART 1. BACKGROUND INFORMATION

The City of Rochester's Housing Policy (*Attachment A*), adopted in 2008, calls for the City to engage stakeholders and foster public/private partnerships that improve neighborhoods, create healthy real estate markets, stabilize and enhance the tax base, and provide a broad array of housing options to address the needs of diverse households. The City of Rochester is an entitlement city in the U.S. Department of Housing and Urban Development (HUD) Home Investment Partnership Program (HOME) and Community Development Block Grant (CDBG). HOME grant funds assist low income persons/households in Rochester by providing much needed affordable housing to various income levels. The City is increasing its focus this year and in years ahead on proposals targeting the creation of houses and rental units that are affordable for Extremely Low Income (< 30% Area Median Income (AMI)) and Very Low Income (30-50% AMI) persons/households. The City utilizes funds from these grants and other sources to provide developers increased financial capacity to meet necessary project development costs and seeks to achieve a reasonable return of capital on the available "gap" financing to allow for future investment in affordable housing.

Proposals are requested for Multi-Family programs, independent/local rental projects, new homeowner projects and other projects that support other City priorities. For City funding (typically HOME Funds or local funding based on the City's resources) letters of support or other assistance for your project, please review the information below that identifies the process for consideration.

PART 2. TIMELINE

The timetable for the Proposal review and selection process is as follows:

Activity	Time	Date¹
RFP Issued		August 15, 2018
Bidders Information Meeting	1:00 PM	August 29, 2018
Location: City Hall Council Chambers 30 Church Street Rochester, NY 14614		
Deadline for Questions	5:00 PM	August 30, 2018
Responses to Questions Posted	12:00 PM	September 4, 2018
Proposals Due	12:00 PM	October 5, 2018
Review, including potential interviews		November 2, 2018

PART 3. COMMUNICATIONS

All communications by parties who have indicated an intent to submit or have submitted a proposal in response to this RFP ("Respondents"), including any questions or requests for clarifications, submission of the proposal, requests for status updates about the proposal selection process and any other inquiries whatsoever concerning this RFP shall be sent, in writing, to the following City staff person ("City Contact"):

Carol Wheeler (Manager of Housing) - Carol.Wheeler@CityofRochester.Gov

No contact is permitted with any other City staff member with regard to this RFP during the RFP process unless specifically authorized in writing. Prohibited contact may be grounds for disqualification.

To ensure that all Respondents have a clear understanding of the scope and requirements of this RFP, the City will respond to all timely questions submitted via e-mail to the City Contact by the question deadline stated above. Questions and the responding answers will be sent via e-mail to all Respondents who have provided an e-mail address to the City Contact and will be posted on the City's web page for this RFP. The City's failure to timely respond or provide responses to any questions shall not delay or invalidate the City's right to make a decision to award an agreement pursuant to this RFP.

The City will make every reasonable effort to keep Respondents informed about the RFP process. Notifications about Timeline date changes, amendments to the RFP and other information about the RFP will be sent by e-mail to Respondents who have provided an e-mail address to the City Contact and will be posted on the City's website for this RFP. The City's failure to provide such information shall not delay or invalidate the City's right to make a decision to award an agreement pursuant to this RFP.

¹ The dates shown above may be subject to change within the City of Rochester's sole discretion and upon written notification as set forth herein.

PART 4. PRE-PROPOSAL CONFERENCE

In order to provide the City with an opportunity to discuss the RFP and Respondents with an opportunity to ask questions and clarify the RFP, a pre-proposal conference will be held on Wednesday, August 29, 2018 at 1 PM. There is no requirement to attend the pre-proposal conference and no obligation by the City to provide information from the conference to parties who fail to attend.

Additionally, we recommend that Respondents reach out to City staff year-round, and early on in the pre-development stage, to help guide planning and development decisions and to align the proposed development with current City programs, policies, and initiatives.

PART 5. CITY RESOURCES FOR AFFORDABLE HOUSING DEVELOPMENT

The City has the following resources available to support the development of Affordable Housing:

5.1 Gap Financing - The City has limited HOME funds available for construction and permanent gap financing. The City funds are structured as follows:

- Interest only payments; 2% of principal. The payments are cash flow dependent and must be paid during both the construction and permanent phases of the project.
- 30 year term.
- Subordinate debt, typically behind any conventional, Federal, or State funds.
- The City will release 90% of the funds during construction; 10% will be held back for retainage.

5.2 Payment In Lieu of Taxes (PILOT) - Development teams may request a PILOT agreement for their project. The annual PILOT payment is equivalent to 10% of shelter rent (Shelter Rent = Gross Rent - Vacancy - Utilities).

5.3 City-Owned Real Estate - We encourage development teams to work with the City's Real Estate Division and the Rochester Land Bank Corporation to locate parcels for Affordable Housing development. Proposals including City-owned land should indicate the work completed prior to the proposal (if applicable), and the desired transfer and/or ownership structure.

5.4 Support Letter – The City will provide support letters for your project.

PART 6. PROPOSAL COMPONENTS & PRIORITIES

The City of Rochester is dedicated to improving neighborhoods, fostering healthy real estate markets, and providing a broad array of housing options to address the needs of a diverse populace. The City's Housing Policy discusses particular policies and goals to promote these ideals, and Developers should use this policy as a guide when developing housing.

Additionally, the City is prioritizing the following:

- Housing inclusive of a wide range of affordability levels, or “mixed-income housing”, including developments that have units affordable to households earning at or below 30% of AMI (categorized as Extremely Low Income), and/or developments that propose the inclusion of higher-income (above 60% of AMI) units in qualified census tracts;
- Supportive housing, or developments in which 30% of the units are set-aside for special needs populations (see below). The proposal must include; a plan for providing services to the special-needs populations, including partnerships or MOUs with local service agencies, and an identified source(s) of funding for the ongoing operations of these units;
- Proposals that include an innovative, robust workforce development plan that results in:
 - Capacity building for local organizations, including; neighborhood associations, or local housing or economic development non-profits (e.g. a substantive partnership with a neighborhood association, or the establishment of a community benefits agreement); and/or,
 - Recruitment, training, and job opportunities for residents of the project’s neighborhood (e.g. OSHA training for local residents that allow them to secure jobs working on-site).

All development teams should incorporate the elements below into their affordable housing proposals:

Neighborhood Revitalization

- The identification, support of, and coordination with existing neighborhood enhancement and revitalization initiatives, which includes specific neighborhood plans for the intended area, anti-poverty initiatives, regional development council plans, housing market studies, and other City supported documents.
 - The City’s Project and Plans Website (<https://www.cityofrochester.gov/projectsandplans/>) connects the public to information about all the exciting projects in which the City has invested. Projects include development projects, street projects, and environmental sustainability projects. The Plans and Studies tab displays all the citywide and neighborhood planning that has been accomplished over the last 10 years. Plans typically analyze economic, environmental, mobility, and social trends and how those trends translate into land use design and changes and a vision for the future of an area.
- The identification, support of, and coordination with existing business and expansion of retail development objectives, especially those that will enhance, or revitalize, commercial corridors.
- A location that is near other significant development or planned investment, and/or part of a larger development or planning effort.
- Early and periodic engagement of the community, including evidence of coordination with and support received by the community.
- Projects that are compatible with the market potential in the neighborhood.
- Past, present, or planned participation in Celebrate City Living, which is a program of the Rochester Coalition for Neighborhood Living and serves as a resource for learning about living in Rochester and available housing options.

Design and Project Characteristics

- The creation of economically, socially, and demographically diverse neighborhoods and developments is of particular importance. Developers should propose the development of homes or rental units affordable to a wide range of households.
- Attention paid to creation of affordable homes or rental units for Extremely Low Income (< 30% AMI) and Very Low Income (30-50% AMI) persons/households.
- A design attractive to and accommodating of diverse and mixed income households including accessibility and or universal design; also creative, context-sensitive architecture and site design must prioritize the pedestrian experience at the first floor level.
- Building designs should avoid large, unadorned façade expanses and inauthentic/arbitrary changes in materials or colors. High-quality, durable materials and architectural treatments should be employed to reflect and respect the historic character of the city and neighborhood.
- Demonstrated sensitivity to unique neighborhood character and architecture and includes amenities such as community space and other conveniences.
- Supportive housing developments, including a viable support services plan and source of operating subsidy/income. Special needs populations include, but are not limited to:
 - a. Persons with HIV/AIDS
 - b. Persons with Alcohol/Substance Abuse Disorders
 - c. Homeless Persons and Families (HUD Definition)
 - d. Persons with Physical, Developmental, or Psychiatric Disabilities
 - e. Persons who have been Victims of Domestic Violence
 - f. Other populations may be considered if need is documented
- Utilization of innovative and new technology for a sustainable development, green construction standards and energy efficiency.
- Support for and promotion of resident health and wellbeing through strategies such as health-supportive site selection (project proximity to jobs, health services, grocery stores, multimodal transportation, parks, community spaces, etc.), incorporating healthy/active design principles, or offering on-site health and wellness programming or facilities for residents.
- Project zoning compliance.
- Visitability guideline compliance.
- Thoughtful consideration of environmental issues relating to urban in-fill soil and development. Proposal demonstrates adherence to New York State Department of Environmental Conservation (DEC) Part 360 regulations.

Development Team Experience

- The developer must demonstrate ability or has completed similar projects, has a sustainable property management strategy, and financial capability.

Minority and Women Owned Business Enterprises (M/WBE) & Workforce Goals

- All submissions must include a detailed proposed plan for adherence to the City's M/WBE, Minority and Women Workforce participation, and Section 3 requirements for employment opportunities.

- The City's M/WBE Requirements are:
 - Minority-Owned Businesses (MBE) – 20%
 - Women-Owned Businesses (WBE) – 10%
- The City's Workforce Participation Goals are as follows:
 - City Residents – 25% of current or new hires working on the project
 - Minorities – 20% of current or new hires working on the project
 - Women – 6.9% of current or new hires working on the project
 - Section 3 Qualified – 30% of new hires
- Reporting for City M/WBE and Workforce participation occurs monthly. Development teams must show capacity for collecting and reporting M/WBE and workforce data, as well as capacity for recruiting and educating contractors, subcontractors, and other project participants on the City's reporting requirements. The City's MWBE and Workforce forms are available by request.

At the City's sole discretion, a decision on the development team's capacity may necessitate the hiring and inclusion of a MWBE/Workforce Consultant

PART 7. DEVELOPMENT PROPOSAL EVALUATION CRITERIA

Please be advised that this is a competitive process. Projects receiving the highest amount of points will be recommended for funding. Projects will be rated and ranked with the following criteria:

Neighborhood Revitalization	
<u>Alignment with other development and investment:</u> The project is located near other major development/planned investment or is part of a larger planning effort or supports enhancement or revitalization of commercial corridors.	10
<u>Community Support:</u> The project has received support by the community and/or supports Rochester's Anti-Poverty, Housing Policy, and other planning initiatives.	8
<u>Celebrate City Living:</u> Demonstrate past/present or planned future participation in Celebrate City Living.	2
Design and Project Characteristics	
<u>Mixed-Income:</u> The project is designed to accommodate diverse, mixed income households, including units set aside for Extremely Low Income (< 30% AMI) households.	15
<u>Project Readiness:</u> There is evidence of site control. Necessary environmental investigations have been completed and any concerns have been mitigated, or there is an acceptable remediation plan that includes the appropriate allocation of funds for environmental testing and remediation. The project meets zoning regulations or includes a plan to go through necessary zoning approvals. Proposed source of funding have been secured or a timeline for securing funds is included.	15
<u>Project Design:</u> The project is sensitive to unique neighborhood character and architecture, green standards, and utilizes innovative and new technology for a sustainable development and energy efficiency. The proposed project includes clear documentation of its strategies to support and promote resident health and wellbeing, features amenities such as community space and other conveniences, and incorporates accessibility/universal design/visitability standards.	15
<u>Supportive Housing:</u> Development team proposes to serve special needs populations, and the proposal includes a support services plan and funding for the ongoing financial support of these households.	10
<u>Financial Feasibility:</u> Soundness of project budget and pro-forma assumptions and projections, cost effectiveness, favorable credit pricing and loan terms, and adherence to City loan terms.	10
<u>Market Study:</u> Project mix is supported by Market Study.	5
Development Team Experience	
<u>Experience:</u> The developer must demonstrate ability or has completed similar projects, has a sustainable property management strategy, and financial capability.	10
M/WBE & Workforce Goals	
Quality of M/WBE and Workforce proposed plan (Meets Workforce Goals)	10
Total Possible Score	110

PART 8. PROPOSAL PREPARATION AND SUBMISSION PROCESS

Proposals must be postmarked or received by the City of Rochester no later than 12:00 PM on Friday, October 5, 2018. Submit ten (10) hard copies in separate 3-ring binders and one electronic copy on a CD or Jump Drive of your response to:

City of Rochester
Department of Neighborhood and Business Development
Attn: Carol Wheeler, Manager of Housing
30 Church Street - Room 005A
Rochester, New York 14614

This RFP is designed to facilitate the evaluation and selection of a Consultant that is best able to achieve the City's objectives. The proposal shall contain a table of contents. All pages shall be numbered and major sections and all attachments shall be referenced in the table of contents. In order to enable the City to effectively review the information contained in the proposals, proposals shall reference the numbered and lettered sections of the RFP. The response to each section shall be clearly indicated and addressed or an explanation provided for why the Respondent is not submitting a proposal for a specific section or requirement of the RFP.

Each proposal shall be signed by an individual authorized to enter into and execute contracts on the Respondent's behalf. Unless otherwise specified in its proposal, Respondent represents that it is capable of meeting or exceeding all requirements specified in this RFP.

Submission of a proposal shall be deemed authorization for the City to contact Respondent's references. Evaluation of proposals will be conducted by the City based on information provided in the Respondent's proposals and on such other available information that the City determines to be relevant. The evaluation of proposals may include an on-site assessment, meetings with authorized personnel, and may involve the use of a third-party consultant.

Proposals will be reviewed by representatives of the City of Rochester. Respondents shall provide sufficient information in their written proposals to enable the City review team to make a recommendation to the Mayor. The City reserves the right to invite any or all Respondents to an interview to discuss their proposal. Any expenses resulting from such an interview will be the sole responsibility of the Respondent. The City is under no obligation to select any of the responding Respondents or to conduct the Project described herein. The City may amend or withdraw the RFP at any time, within its sole discretion. The City shall have no liability for any costs incurred in preparing a proposal or responding to the City's requests with respect to the proposal.

PART 9. PROPOSAL FORMAT

For a proposal to be considered for review, the application form provided as *Attachment B* must be submitted as the top (or first) page of the proposal. Additionally, all components described in *Attachment C* must be included in the submittal as separate tabs. Failure to do so may exclude a proposal from consideration for this RFP.

PART 10. RIGHTS RESERVED BY THE CITY

The City reserves the right to amend or withdraw this RFP at its sole discretion, including any timeframes herein, upon notification of all Respondents as set forth above, and in such case, the City shall have no liability for any costs incurred by any Respondent.

The City may request additional information from any Respondent to assist the City in making its evaluation.

The proposal and all materials submitted with the proposal shall become property of the City and will be subject to NYS Freedom of Information Law. If any proprietary information is submitted with the proposal, it must be clearly identified and a request to keep such information confidential must be submitted.

City of Rochester
Housing Policy
Adopted March 18, 2008

The City of Rochester will engage stakeholders and foster public/private partnerships to improve neighborhoods, create healthy real estate markets, stabilize and enhance the tax base, and provide a broad array of housing options to address the needs of diverse households.

To accomplish the goals of this Housing Policy, the City shall:

1. Promote rehabilitation, redevelopment and new construction of housing through:
 - A. Maintenance, rehabilitation and/or historic preservation to enhance the well-built and diverse housing stock, which offers a variety of different products than are available throughout much of the region.
 - B. Redevelopment of residential, non-residential and mixed use structures to address market demand for currently underrepresented housing types in the existing housing inventory and/or provide for the preservation of historic structures.
 - C. Assembly of appropriate vacant land through management of the inventory of foreclosed properties, demolition of obsolete portions of the existing housing stock to reduce vacancy, and the strategic acquisition of land to create development opportunities and open space assets that enhance existing residential areas.
 - D. Development of new housing and/or the development of new housing types that address market demand. Efforts will include an emphasis on capitalizing on such unique assets as the Genesee River, Lake Ontario, and the Erie Canal; significant historical, architectural and landscape features; and economic, educational and cultural institutions.
 - E. Enhancement of existing and creation of new public and private financial products that support rehabilitation, redevelopment and new construction
 - F. Encouragement of environmentally sensitive rehabilitation, redevelopment, demolition and new construction methods.
 - G. Encouragement of housing development that supports neighborhood commercial corridors.

2. Promote home ownership through:
 - A. Helping homeowners retain their homes through the use of a variety of programs that prevent foreclosure and predatory lending.
 - B. Cultivating new homeowners through marketing, pre-and post-purchase counseling and training programs, encouraging the development of quality financial products, and developing housing types that create an inventory of housing options to address market demand.
3. Support efforts to strengthen the rental market through:
 - A. Support for owners of rental property to be successful business owners while being accountable for providing quality local management and maintaining housing quality standards.
 - B. Support for the coordination of tenant services that reduce unwanted transiency, encourage accountability, and result in longer-term tenancies.
4. Promote housing choice through:
 - A. Support for fair housing programs that offer housing opportunities to members of protected classes, low- and moderate-income households, people with disabilities, and a full range of age groups.
 - B. Working toward the de-concentration of poverty in City neighborhoods through efforts that attract more middle- and upper-income households and expand housing choices for lower-income households.
 - C. Ongoing efforts with other jurisdictions to ensure that fair shares of housing opportunities are available throughout the region for households with restricted choices.
 - D. Development of permanent supportive housing that meets the needs of populations requiring supportive services, and encouraging the fair share of such housing outside the City.
5. Support the implementation of neighborhood and asset-based planning through interdepartmental collaboration, and:
 - A. Ensuring that citizen-based planning is at the core of efforts to establish a neighborhood vision and plan, advise the City, and provide feedback on development projects.
 - B. Cost-effective use of federal and state grants in order to make dramatic improvements by identifying neighborhoods for the implementation of plans to improve housing market vitality, reduce code violations, decrease transiency, and increase assessed valuations.
 - C. Conducting data-based research and ongoing measurement and monitoring of outcomes to drive decisions on public investments.
 - D. Using market-based strategies as the foundation for all planning efforts.

Request for Proposal (RFP) for Affordable Housing Development
City of Rochester

Project Information

Project Name: _____ Total Development Cost: _____

Project Address: _____

Zip: _____

Quadrant: _____

Neighborhood: _____

Number of Units: _____

Proposed Unit Mix

Bedroom Size	AMI				Mrkt Rate	Total
	<30%	<50%	<60%	<120%		
Studio						
1						
2						
3						
4+						
Total						

Requested City of Rochester Support

Loan:

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

 Loan Amount: _____

Sale of Land:

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

 Number of Parcels: _____

PILOT:

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Support Letter:

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Applicant Information (Owner Entity)

Applicant Name: _____

Address: _____

City, State & Zip: _____

Contact Person: _____ Taxpayer ID #: _____

Title: _____ Organization Type: _____

Phone Number: _____ Email Address: _____

Development Consultant: _____

Submission Date: _____

PROPOSAL CONTENT

Applicants must submit a proposal containing all of the items listed, provided in checklist form below, to be considered for City support and resources. Each numbered item should have its own tab.

1	Project Narrative The project narrative section should touch on all pertinent components of the development. Description of the property, entire development project and location, how the property is currently being used and zoned, and how/why the property was selected. Include a statement explaining how the project meets local housing needs (specifically the needs of Extremely Low Income and Low Income persons/households) and priorities as documented in the City of Rochester Consolidated Plan, housing policy, this RFP, and the public benefits of the project. Include a proposed project timetable, a description of how the community engagement to date (and moving forward), and any community or neighborhood support letters.
2	Evidence of Site Control <ul style="list-style-type: none">- For all privately owned proposed development sites describe the existing structures(s) and identify each as vacant or occupied. If any structures are occupied, identify whether relocation of occupants will be necessary and/or describe the related occupancy protection plan necessary to undertake the project.- For City-owned parcels, identify parcels requested. If the project has already been in discussion with the City of Rochester's Department Real Estate, include licensing agreements.
3	Site Map Map of the site and surrounding neighborhood
4	Project Plans and Specs Preliminary plans for development or redevelopment
5	Elevations, Site Plan, and any Project Renderings
6	Sources and Uses/Pro Forma Detailed proposed Sources and Uses of funding for the entire project, a minimum 30 year operating pro forma (or for such term as is consistent for the request for City funding), and statement about the status of funding sources / timeline for securing funding.
7	Evidence of Financing/Letters of Interest or Commitment Letters Include statement of interest in the property by owner or major tenant, and/or letters of interest or commitment letters from all construction, bridge, and permanent funding sources. The terms of all funding sources must be clearly indicated.

8	Environmental Site Assessment <p>Copies of reports of all environmental investigations, i.e., Phase I Environmental Site Assessment. The City reserves the right not to review application if a Phase I has not been completed, or if a Phase II is required or recommended and has not been completed. <i>*All development teams proposing scattered site developments will be required to submit Phase II reports, and an EMP.</i></p> <p>Due to Federal Funding Requirements, developers should review proposed projects sites for concerns related to items listed below and complete and submit the relevant worksheets related to the following items. HUD worksheets can be found here: https://www.hudexchange.info/resource/4707/environmental-review-record-related-federal-laws-and-authorities-worksheets/</p> <ul style="list-style-type: none"> - Noise Abatement and Control (Attach HUD worksheet from above link; Use form for EA-type project) - Historic Preservation (Attach SHPO Letter and worksheet) - Floodplain Management (Attach HUD worksheet from above link) - Wetland Management (Attach HUD worksheet from above link) - Explosive and Flammable Facilities (Attach HUD worksheet from above link) - Site Contamination (Attach multifamily worksheet from link above)
9	Project ownership structure <p>Include a statement about the proposed project ownership structure.</p> <ul style="list-style-type: none"> - If project owner is an existing company, accountant-prepared, financial statements for the past three fiscal years, including balance sheets, income statements and cash flow statements for each year. (If accountant prepared financial statements are not available, Federal income tax returns for the past three years are acceptable). - Current personal financial statement for each individual owning 20% or more of the project, including detail of all existing real estate holdings (corporate and/or personally owned) {Global real estate detail must include: property description/major tenant(s), percentage owned, property value, existing outstanding debt balance, and annual net cash flow after debt service.} - Copy of the most recent year's Federal Tax return for each individual owning 20% or more of the project.
10	Development Team <p>Summarize relevant experience of the development team.</p> <ul style="list-style-type: none"> - Detail of all development projects undertaken within the last 3 years and the current status of each project. - Three references provided by current or past lender(s), customer(s), and/or accountant. - Statement about past, present, or planned Celebrate City Living Participation <p>page limit: 3 pages</p>
11	Market Study
12	Affirmative Marketing, Section 3, MBE/WBE Plans and Minority/Women Workforce Proposed Plans
13	Support Services Plan (if applicable)