



Instructions for Completing the Architects and Engineers Review Board Prequalification Form (ADM-016 Form)

December 2013

Purpose

The policy of the Massachusetts Department of Transportation relative to procuring architectural, engineering and related professional services is to encourage firms lawfully engaged in the practice of those professions to submit a statement of qualifications and performance data biennially to MassDOT. The MassDOT Highway Division Architects & Engineers Review Board Prequalification Form (ADM-016 Form) is provided for this purpose. Interested Architectural and Engineering (A&E) firms (including new, small, and/or minority firms) should complete and submit an ADM-016 Form to MassDOT. ADM-016 Forms may be used by MassDOT as a basis for selecting firms for A&E contracts, for screening firms qualified to submit proposals, or for screening firms qualified as sub-consultants on contracts.

General

All firms that wish to provide A&E services for the MassDOT Highway Division shall have an ADM-016 Form on record with the MassDOT Highway Division A&E Review Board. Each firm must submit its ADM-016 Form to MassDOT on a biennial basis. **MassDOT will not send a reminder notice to each firm at the end of the two-year period. Each firm is responsible for submitting its own updates in a timely manner.** Firms that do not comply with this policy may be removed from MassDOT's list of approved firms until a new ADM-016 Form has been submitted, reviewed and approved.

Firms that experience major changes in capabilities, personnel, corporate structure, or other areas should submit updated ADM-016 Forms to MassDOT as soon as possible, regardless of the expiration date of any current prequalification approval ratings. MassDOT will consider all changes or other requested amendments and will issue new or revised prequalification ratings as appropriate.

MassDOT does not prequalify joint venture partnerships; therefore, each firm involved in such partnerships should submit a separate ADM-016 Form for their firm to MassDOT.

Firms should not submit extra materials not specified on the ADM-016 Form, such as company brochures, sample design materials, or Federal 254 Forms.

All A&E firms whose work is proposed to meet a Minority/Women Business Enterprise goal or a Disadvantaged Business Enterprise goal, must be certified in Massachusetts by the Supplier Diversity Office. Questions related to M/W/DBE Certification should be directed to the Director of the Office of Civil Rights at (857) 368-8730.

Submission of ADM-016 Forms – Firms should submit one copy of the completed ADM-016 package, double-sided and unbound, to MassDOT. Submission may be by regular mail or by e-mail. Hard copy submissions shall be submitted to Patricia A. Leavenworth, P.E., Chief Engineer, 10 Park Plaza, Boston, MA 02116. Electronic submissions shall be in Portable Document Format (PDF) and submitted to dot.aeboard@dot.state.ma.us. MassDOT will produce the proper number of copies necessary for review by the A&E Review Board.

Definitions

Architect-Engineer (A&E) and Related Services – Professional services associated with highway and bridge design and construction, as well as incidental services that members of these professions and those in their employ may logically or justifiably perform, including studies, investigations, surveys, evaluations, consultations, planning, programming, conceptual designs, final designs, plan preparation, specification writing, development of cost estimates, inspections, shop drawing reviews, preparation of operating and design manuals, and other related services.

Branch Office – A satellite or subsidiary extension of a headquarters office of a company, regardless of any differences in name or legal structure of such a branch due to local or state laws. Branch Offices are normally subject to the management decisions, bookkeeping, and policies of the Parent Company.

Key Personnel – Individuals who will be the responsible engineers/personnel for specific projects or Profile Codes.

Parent Company – The firm, company, corporation, association or conglomerate that is the major stockholder or highest tier owner of the firm completing the ADM-016 Form; e.g. Firm A is owned by Firm B which is, in turn, a subsidiary of Corporation C. The Parent Company of Firm A is Corporation C.

Principals – Individuals in a firm who possess legal responsibility for its management. Principals may be owners, partners, corporate officers, associates, administrators, etc.

Profile Codes – The categories of A&E services defined by MassDOT and used to prequalify firms.

Detailed Instructions

Page 1 – Company Information

- Provide accurate and complete name of firm, addresses and telephone numbers.
- Provide type of ownership or legal structure of firm (sole proprietor, partnership, corporation, etc.)
- Provide date firm was established and incorporated.
- Check appropriate boxes indicating if firm is M/W/DBE Certified.
- List not more than two principals of the submitting firm. Listed principals must be empowered to speak for the firm on policy and contractual matters.
- Identify any parent companies and branch offices.
- Provide the name, address, telephone number and e-mail address of the Primary Contact Person for the firm, relative to potential business matters and contract opportunities with MassDOT.
- Identify key personnel of the submitting office relative to their areas of expertise.
- Provide the total number of employees, by discipline, in the submitting office. If the form is being submitted by the main office or headquarters, provide the total number of employees, by discipline, in all offices. While some personnel may be qualified in several disciplines, each person should be counted only once in accordance with their primary function. Include clerical personnel as "Admin. Officers".

Page 2 – Profile Codes

- Indicate – by placing check marks in the appropriate boxes – all prequalification categories (Profile Codes) for which prequalification is requested. This information must be provided each time this form is submitted, even if the firm is only requesting a renewal of a previous prequalification.
- It is important to refer to the prequalification category definitions before identifying the Profile Codes on this page. The category definitions are available in a separate, corresponding document. Please be aware that there are licensing, certification and experience requirements in order to be prequalified for certain types of work.
- Note that Complex Roadway Design and Complex Bridge Design/Rating supersede the other Roadway Design and Bridge Design/Rating categories. If the firm is capable of

Complex work in either of these categories, it is also considered prequalified for the corresponding Basic and Intermediate categories.

Page 3 – Personnel Qualifications

- Provide personal history statements of principals and key personnel in the submitting office.
- Identify years of experience, education, membership in professional organizations and registrations for each employee. For years of experience, specify total years of experience and also specify years as principal of current and/or other firms and years as a public sector employee. If the employee has previous public sector experience identify the specific public agencies for which the person was employed.
- If additional sheets are required, please consecutively number the sheets as 3-1, 3-2, etc.

Page 3A – Key Personnel – NBIS Bridge Inspection

- This form must be completed if the firm is requesting prequalification in Profile Code G1 – NBIS Bridge Inspection, or Profile Code H1 – Moveable Bridge Inspection. **This form should not be completed or submitted if the firm is not requesting prequalification in either Bridge Inspection category.**
- Identify key Bridge Inspection personnel.
- Identify the specific role of each person listed. An Inspection Program Manager is required for prequalification in either Profile Code G1 or Profile Code H1. Two (2) Inspection Team Leaders are required for prequalification in Profile Code G1. One (1) Inspection Team Leader is required for prequalification in Profile Code H1. One (1) electrical engineer and one (1) mechanical engineer are required for prequalification in Profile Code H1.
- Provide a detailed description of the qualifications of each person listed by indicating education, professional registration, years of experience and inspection training history in accordance with the columns on the form.
- If additional sheets are required, please consecutively number the sheets as 3A-1, 3A-2, etc.

Page 3B – Surveyor Equipment

- This form must be completed if the firm is requesting prequalification in any of the Profile Codes for Surveyor Services – S1, S2, S3 and S4. **This form should not be completed or submitted if the firm is not requesting prequalification in any of the Surveyor Services categories.**
- MassDOT expects that each survey party will have all vehicles, instruments and equipment necessary to complete required services. A full list of these items is included in the

Appendix to these Instructions. Page 3B provides a standard method of identifying some of these items used by each firm.

- There are five (5) sections to this form, each for a different type of Surveyor Equipment. Provide information for the equipment owned or leased by your firm for use in any of the Surveyor Services prequalification categories. The prequalification process may involve a visit by MassDOT Highway Division personnel to the Surveyor's office to verify the information provided on this form.
- Provide make/model and serial number for each Total Station instrument.
- Provide make/model and serial number for each Electronic Data Collector.
- Provide a description of all AutoCAD system components. Identify the version of AutoCAD Civil 3D currently owned/used by the firm.
- Provide make/model, serial number and accuracy for each GPS Receiver. If this equipment is leased, identify the owner of the equipment. Information regarding GPS Receivers is for informational purposes only. GPS Receivers are not required for prequalification.
- Provide make/model, year and vehicle identification number (VIN) for each owned or leased Field Survey Vehicle.
- If additional sheets are required, please consecutively number the sheets as 3B-1, 3B-2, etc.

Page 4 – Present Activities as Architect or Engineer of Record

- Provide information regarding present activities for which the firm is designated as Architect or Engineer of Record. **Activities should be grouped by Profile Code, such that all activities related to each requested Profile Code are listed together.** This will allow the A&E Review Board to adequately review all the relevant experience in each particular category of work.
- Hint – it may be helpful to begin by creating a list of all present activities for which the firm is designated as Architect or Engineer of Record, and then identifying all the Profile Codes associated with each activity. When an activity involves multiple Profile Codes, it should be listed once for each code. For example, if an activity involves Basic Roadway Design (B), Intermediate Bridge Design (F) and Wetlands Delineation and Assessment (A4), it should be listed once under each Profile Code (3 times total for this example). The Description of Services for each entry should reflect the work done under the appropriate Profile Code. In this example, the Description of Services for this activity under Profile Code B should describe just the roadway design work; the Description of Services for this activity under Profile Code F should describe just the bridge design work; and the Description of Services for this activity under Profile Code A4 should describe just the wetland delineation and assessment work.

- Provide detailed information in each column. When describing the services rendered, it is important to provide information that clearly describes the work tasks related to the relevant Profile Code. Provide sufficient information to allow the A&E Review Board to determine the specific capabilities of the firm. Insufficient or ambiguous information may result in a denial of the requested rating by the A&E Review Board. For example, for a Bridge Design prequalification request, do not simply state “Designed new bridge.” Instead, describe the length of the bridge, the number of spans, the type of deck, the type of substructure and other specific elements.
- Indicate the beginning date, or NTP date, for each activity.
- Estimated Costs:
 - A&E – The dollar value of the A&E contract.
 - Construction – The dollar value of the construction contract.
- Provide copies of all evaluations received from any agency, authority or department of the Commonwealth for work performed on any relevant projects listed in this section. Attach these materials at the end of the application, after Page 12.
- If additional sheets are required, please consecutively number the sheets as 4-1, 4-2, etc.

Page 5 – Present Activities Associated with Others

- List the present activities on which the firm is involved in conjunction with other firms, either as a joint venture or as a sub-consultant. Indicate the Profile Codes for which the submitting firm is responsible and in what capacity (joint venture or sub-consultant).
- Activities should be separated by Profile Code and not by activity. Refer to the instructions for Page 4 for additional information on separating activities by Profile Code and providing adequate descriptions of work.
- Indicate the beginning date, or NTP date, for each activity.
- Indicate the A&E cost for the entire project/activity and the amount for which the submitting firm is responsible in the appropriate columns.
- Provide copies of all evaluations received from any agency, authority or department of the Commonwealth for work performed on any relevant projects listed in this section. Attach these materials at the end of the application, after Page 12.
- If additional sheets are required, please consecutively number the sheets as 5-1, 5-2, etc.

Page 6 – Past Activities as Architect or Engineer of Record

- List activities the firm has completed within the last 5 years for which it was designated the Architect or Engineer of Record.
- Activities should be separated by Profile Code and not by activity. Refer to the instructions for Page 4 for additional information on separating activities by Profile Code and providing adequate descriptions of work.
- Indicate the beginning date, or NTP date, and the completion date for each activity. Activities completed more than 5 years prior to the submission date of the ADM-016 Form should not be included.
- Indicate the dollar values of the A&E contract and the construction contract for each activity in the appropriate columns.
- Provide copies of all evaluations received from any agency, authority or department of the Commonwealth for work performed on any relevant projects listed in this section. Attach these materials at the end of the application, after Page 12.
- If additional sheets are required, please consecutively number the sheets as 6-1, 6-2, etc.

Page 7 – Past Activities Associated with Others

- List activities the firm has completed within the last 5 years on which it was involved in conjunction with other firms (joint venture or sub-consultant). Indicate the Profile Codes for which the submitting firm was responsible and in what capacity (joint venture or sub-consultant).
- Activities should be separated by Profile Code and not by activity. Refer to the instructions for Page 4 for additional information on separating activities by Profile Code and providing adequate descriptions of work.
- Indicate the beginning date, or NTP date, and the completion date for each activity. Activities completed more than 5 years prior to the submission date of the ADM-016 Form should not be included.
- Indicate the A&E cost for the entire project/activity and the amount for which the submitting firm was responsible in the appropriate columns.
- Provide copies of all evaluations received from any agency, authority or department of the Commonwealth for work performed on any relevant projects listed in this section. Attach these materials at the end of the application, after Page 12.
- If additional sheets are required, please consecutively number the sheets as 7-1, 7-2, etc.

Page 8 – Litigation History

- Provide information about all litigation, legal proceedings (including administrative proceedings and arbitrations), fines or convictions involving the firm during the last 5 years (10 years for litigation and legal proceedings involving allegations against the firm of false claims, fraud or malpractice).
- For each entry as applicable, include caption of case, parties, location of proceeding, description of dispute or enforcement action, dates action commenced and concluded, and status or outcome.
- The Litigation History to be provided is not limited to operations in Massachusetts.
- The Litigation History to be provided is not intended to include routine “slips and falls”, workers’ compensation matters or employment matters.
- If additional sheets are required, please consecutively number the sheets as 8-1, 8-2, etc.

Page 9 – Agreements

- Identify any outstanding compliance or other agreements which relate to the procurement or performance of any public or private contract that contain conditions which, if unfulfilled, would preclude the firm from participating in public works projects. List all applicable agreements including any settlement or compliance agreements involving public contracting in Massachusetts. Provide copies of any compliance agreements and any materials generated under existing compliance agreements.
- List all current key employees (previously identified on Page 2) that participated in matters associated with any agreements entered into within the past 7 years.
- Provide a full description of any mitigation measures undertaken to respond to issues identified in agreements, including revised accounting procedures, enhanced procedures for employee reporting of ethical or financial concerns, employee training, etc.
- If additional sheets are required, please consecutively number the sheets as 9-1, 9-2, etc. Copies of compliance agreements and related materials should be attached at the end of the application, after Page 12.

Page 10 – Terminations and Incomplete Projects

- List each project on which the firm was terminated or failed to complete the work during the last 7 years.
- For each project, provide a description of the services, the name and address of the owner, the project start and end dates, the estimated full contract value (work which the submitting

firm was responsible for), the percent of work actually completed, and the reason(s) for contract termination or failure to complete.

- If additional sheets are required, please consecutively number the sheets as 10-1, 10-2, etc.

Page 11 – Certification Regarding Debarment and Suspension

- This page must be completed by checking the **bolded** selections and by properly signing and dating the form.
- A principal or legally authorized representative of the firm must sign in the space provided, certifying that the information is true, correct and complete.
- **This form may not be modified in any manner. Modified submissions will be rejected.**

Page 12 – Additional Information and Certification of Facts

- Any supplemental material may be provided on this page. Provide additional information describing the firm's experience and capabilities, which may include key personnel's prior experience, as well as relevant experience of newly hired key personnel.
- If additional sheets are required, please consecutively number the sheets as 12-1, 12-2, etc.
- A principal or legally authorized representative of the firm must sign in the space provided, certifying that all of the information provided is a true statement of facts. Unsigned forms will be deemed incomplete.

Appendix

Surveyor Vehicle, Instrument and Equipment List – Typical for Each Survey Party

Vehicle

A mid-sized SUV, van or carryall large enough to satisfactorily carry all required personnel, instruments and equipment.

Instruments

A total-station electronic theodolite reading to five seconds of arc or closer (or equivalent), including an integrated co-axial Electronic Distance Meter with an effective range of at least 3,000 feet, all accessories including two target setups and three tripods, and an electronic data collector to gather data in AutoCAD Civil 3D compatible format in order to provide the required AutoCAD Civil 3D work products.

Global Positioning System (GPS) Receivers

The Surveyor may be requested to obtain State Plane Coordinate positions by means of GPS Receivers. While this is not a requirement to become prequalified, MassDOT is interested in determining which firms have experience using this type of equipment.

Office Equipment

The Surveyor must have in-house capability to provide in timely fashion complete, edited AutoCAD Civil 3D electronic data files of all field data gathered and hard copy Base Plan plots of field data for engineering design purposes.

Level

Automatic compensator type, with standard deviation of less than +/- 2.5 mm for 1-km line, double run.

Calculator/Computer

A constant-memory hand-held calculator, or a palm or laptop computer, or a data collector, with the capacity to store 100 points and the capability to perform traverse closure; coordinate inverse; horizontal and vertical curve and triangle solution calculations; bearing-bearing, bearing-distance, and distance-distance intersection calculations; perpendicular offsets; foot/meter conversions using the U.S. Survey Foot.

Two-Way Portable Radios

Three (3) two-way portable radios.

Rods

12 or 15-foot and 3.6 or 4.6-meter Frisco or Philadelphia; 25-foot or 7.6-meter fiberglass, as needed.

Measuring Tapes

At least one (1) of each of the following: 15 m, 30 m, 50' and 100' "cloth" tapes; 30 m and 100' steel "box" tapes; 30 m and 100' steel baseline tapes w/spring balance and thermometer.

Miscellaneous

Small survey equipment such as reading glass, hand level, plumb bobs, right angle prism, hand survey calculator with at least sine, cosine, tangent and arc functions, etc. Tools such as cutting tools, shovels, boots, hammers, stone drill, frost pin, etc; chain saw when needed; ferrous metal detector when needed; expendable equipment such as paint, marking crayon, plastic tape, nails, lead rope, escutcheon pins, etc; paper and book materials such as textbooks and tables, writing materials, etc.

Safety Equipment

Minimum equipment should include hardhats and safety vests for all field personnel, fifteen (15) 28" safety cones, four (4) 36" x 36" warning signs, and flashing strobe lights.