# Commonwealth of Massachusetts
# DEPARTMENT OF HOUSING & COMMUNITY DEVELOPMENT

Charles D. Baker, Governor ◆ Karyn E. Polito, Lt. Governor ◆ Janelle L. Chan, Undersecretary

## DESIGNER SELECTION COMMITTEE

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## DHCD AE-3

## PROJECT SPECIFIC APPLICATION REQUIREMENTS

Architects and Engineers applying for local housing authority (LHA) projects for which the estimated construction cost exceeds $100,000 or the fee for designer services exceeds $10,000 and which are funded by the **Department of Housing & Community Development (DHCD)** must have a current (updated within the past 12 months) Master File Brochure (DHCD Form AE-4) on file at DHCD. Once a firm has filed a Master File Brochure it may apply to LHAs advertising for design services for specific projects by completing DHCD Form AE-3**. Both the AE-3 and AE-4 forms are available on line at www.mass.gov/dhcd.** Interested firms may locate a LHA's advertisement in a local newspaper, a regional newspaper, Central Register, Dodge Report, or the newsletters of the Boston Society of Architects, Boston Society of Landscape Architects or Massachusetts Society of Professional Engineers.

The following should be submitted **to the advertising Local Housing Authority (LHA):**

- Thirteen copies (13) or the number indicated in the project's Request for Services of DHCD Form AE-3 Project Specific Application, available from the LHA; **each** copy of the application must be accompanied by a cover letter of no more than two pages in length. **Please double-side forms, if possible, to minimize paper usage. Note:** Cumbersome bindings and additional promotional material, if not specific to the project, will be discarded. Do not submit copies of the application directly to DHCD or the Designer Selection Committee.
- One copy of the Master File Brochure (DHCD Form AE-4), **if requested** by the LHA.

## IMPORTANT NOTE TO APPLICANTS

The mission of the Designer Selection Committee (DSC) is to select the most appropriate firm with the best qualifications for each project. To that end, the DSC thoroughly reviews each application. It is unfortunate when an otherwise very capable firm is disqualified because their project specific A/E Application for Designer Services (DHCD Form AE-3) is incomplete or inappropriately filled-out.

In an effort to improve the quality of the applications and a firm's chances for selection, applicants should consider the following points when completing the forms.

**Carefully review the requirements in the Request for Services (RFS).** Each RFS describes **Minimum** qualifications and **Preferred** qualifications. Make sure that each is adequately addressed. Failure to address **Minimum** qualifications will result in a rejection of the application. Failure to adequately address **Preferred** qualifications will result in your firm not being given the consideration it deserves.

**Properly identify the appropriate registered professional that will be responsible for the project.** Part 3d of the application (DHCD Form AE-3) requires the name and title of the Principal-in-Charge with MA registration and discipline. Part 3e requires the name of the proposed Project Manager. **Failure to identify the registered professional who will be responsible for the project or identifying an inappropriately registered professional (e.g. an architect instead of an engineer or vice versa) may result in rejection of the application.**

**Identify ALL team members requested in the RFS.** Part X of the RFS may provide a list of specific categories of work for which team members must be identified. **Failure to identify the team member responsible for these categories of work may result in rejection of the application.**

**Provide registration/license numbers.** Part 7 of the application request information on all key persons to be involved on the project. Make sure that all applicable architectural or engineering registration numbers are provided as well as license numbers of other professionals that will be involved (such as Lead Paint Inspectors).

**Examples of project experience should be specific to the project in question.** In part 8 of the application, make sure that the examples listed will demonstrate that the applicant has the experience required for this specific project.

**Sign the application.** The completed form must be signed and dated by an architect or engineer principal of the firm.

The DSC takes note of the care taken by each applicant in providing the requested information and that the information provided is pertinent to the subject project. Those applicants that are most responsive to the application and RFS requirements will be given the highest consideration by the committee.

**Purpose:**
These instructions are designed to aid a Designer in completing DHCD Form AE-3, the form to be filed when applying for a specific DHCD-funded project. Responses should be as complete and accurate as possible, contain data relative to the specific project for which you wish to be considered, and should be provided, by the required due date, to the Local Housing Authority (LHA). This form will be used only for the specified project. Do not refer to this submittal in response to other requests or public announcements. Note: This form is based on the Federal Standard Form 255 but it is different in several respects.
**DO NOT USE THE FEDERAL STANDARD FORM 255.**

**Definitions:**

**"Principals"** are those individuals in a firm who possess legal responsibility for its management. They may be owners, partners, corporate officers, associates, administrators, etc.
**"Discipline"** as used in this questionnaire, refers to the primary technological capability of individuals in the responding firm. Possession of an academic degree, professional registration, certification, or extensive experience in a particular field of practice normally reflects an individual's primary technical discipline.
**"Joint Venture**" is a collaborative undertaking by two or more firms or individuals for which the participants are both jointly and individually responsible.
**"Key Persons, Specialists, and Individual Consultants"** as used in this questionnaire, refer to individuals who will have major project responsibility or will provide unusual or unique capabilities for the project under consideration.

**Instructions for Filing:** (Numbers below correspond to numbers contained in the form.)

1. Give name of LHA and Development Number (e.g. 667-1, 200-1) and brief description of work.
2. Provide LHA Project Number listed in the advertisement and RFS.

3a. Show name and address of the individual or firm (or joint venture) which is submitting this form for the project.
3b. Provide the date that the firm was established.
3c. Fed ID #
3d. Provide name and title of principal-in-charge who will serve as the point of contact. Be sure to include phone number, fax number and email address (**required)**. Such an individual must be empowered to speak for the firm on policy and contractual matters. Massachusetts's registration is required.
3e. List the name and title of the proposed project manager.
3h. Check appropriate boxes indicating if firm is (A) SDO Certified minority business enterprise (MBE); (B) SDO Certified woman business enterprise (WBE); or (C) SDO Certified minority woman business enterprise (M/WBE)

4. Show total number of employees on full time payroll, by discipline, in submitting office. (Average number employed throughout the preceding 6 month period) Indicate numbers of employees with Mass. Registration for Architects, Engineers and Landscape Architects by including number in brackets. While some personnel may be qualified in several disciplines, each person should be counted only once in accord with his or her primary function. Include clerical personnel as "administrative". Write in any additional disciplines—sociologists, biologists, etc.—and number of people in each, in blank spaces.

5a. Indicate by checking the appropriate box, whether this particular joint venture has worked together on other projects. Each firm participating in the joint venture should have a current Master File Brochure (DCHD Form AE-4) on file with DHCD.
5b. Answer only if this form is being submitted by a joint venture of two or more collaborating firms. Show the names and addresses of all individuals or organizations expected to be included as part of the joint venture and describe their particular areas of responsibility (i.e., technical disciplines, administration, financial, etc.).

6. List the key staff involved, utilizing a simple organizational chart.
7. List the information requested for **key staff of the firm and sub-consultant personnel** specifically requested in the RFS.

8a. List up to five projects that demonstrate the firm's or joint venture's competence to perform work in the areas listed in the RFS. The more recent such projects, the better. Prime consideration will be given to projects which illustrate respondent's capability for performing work similar to that being sought. Required information: (a) name and location of project, and Principal-in-Charge, (b) brief project description (submissions by joint ventures should indicate which member of the JV was the prime on that particular project and what role it played), (c) name and address of the owner of that project (if Government agency, indicate responsible office), and name and phone number of individual to contact for reference (preferably the project manager), (d) completion date (actual when available, otherwise estimated), (e) total construction cost of completed project (or where no construction was involved, the approximate cost of your work).
8b. Provide listing as described above for consultant firms, where relevant to requested experience, list up to but no more than 5 projects per firm.

9a. Give details of all projects for all public agencies within the Commonwealth for which the applicant has performed or has entered into a contract to perform design services within the five year period immediately preceding the filing of information required in this section. For purposes of Sections 9a and 9b, the following definitions apply: "P" = principal; "C" = consultant; "JV" = joint venture; "St."= study; "Sch." = schematics; "D.D." = design development; "C.D." = construction documents; and A.C. – Administration of Contract.

9b. Give details for all projects for all non-public agencies for which the applicant has performed or entered into a contract to perform design services within the five year period immediately preceding the filing of information required in this section.

**10.** Through concise, bulleted narrative, show reason why the firm or joint venture submitting this questionnaire believes it is especially qualified to undertake the project. Information provided should include, but not be limited to, the areas of experience specifically requested in the RFS. Respondents may say anything they wish in support of their qualifications. When appropriate, respondents may supplement this proposal with graphic materials and photographs that best demonstrate design capabilities of the team proposed for this project. **Limit additional information to a maximum of 3 8½"x 11" pages, double-sided.**

11. Show the requested information regarding professional liability insurance for the firm, or if a joint venture, for the joint venture team.
12. Provide a list of all projects on which monies were paid by you, or on your behalf, as a result of professional Liability Claims.
13. Name of Sole Proprietor or names of all firm partners and officers.
14. If corporation, provide names of all members of the Board of Directors.
15. Names of all owners (stocks or other ownership).
16. Using the checkboxes provided, describe in general terms how you intend to satisfy the M/WBE requirements set forth in the RFS. NOTE: This is not a participation schedule. The participation schedule will be needed at time of contract execution. (See RFS for applicability and requirements)
17. Completed forms should be signed by the architect-engineer principal responsible for the conduct of the work or by the chief executive officer of the joint venture (thereby attesting to the concurrence and commitment of all members of the joint venture).

**ALL INFORMATION CONTAINED IN THE FORM SHOULD BE CURRENT AND FACTUAL.**

A current (updated within the past 12 months) DHCD Master File Brochure (DHCD FORM AE-4) must be on file with DHCD in order to be considered for selection.

| **Dept of Housing & Community Development**<br>DHCD FORM AE-3 APPLICATION | 1. Local Housing Authority and Development Number (e.g. 667-1, 200-1) at which work is to be performed:<br>Brief description of work: | 2. Project Number: |
|---|---|---|

| | |
|---|---|
| 3a. Firm (or Joint-Venture) to perform the work: Name & Address | 3e. Name of proposed Project Manager: |
| 3b. Date Firm was established: | 3f. (Intentionally left blank) |
| 3c. Federal ID# | 3g. (Intentionally left blank) |
| 3d. Name and Title of Principal-in-charge of the project. (MA Registration required) | 3h. Check below if your firm is either:<br>A. SDO Certified minority business enterprise (MBE) ❑<br>B. SDO Certified woman business enterprise (WBE) ❑<br>C. SDO Certified minority woman business enterprise (M/WBE) ❑ |
| Email Address:<br>(**required**)<br>Telephone No: Fax No.: | |

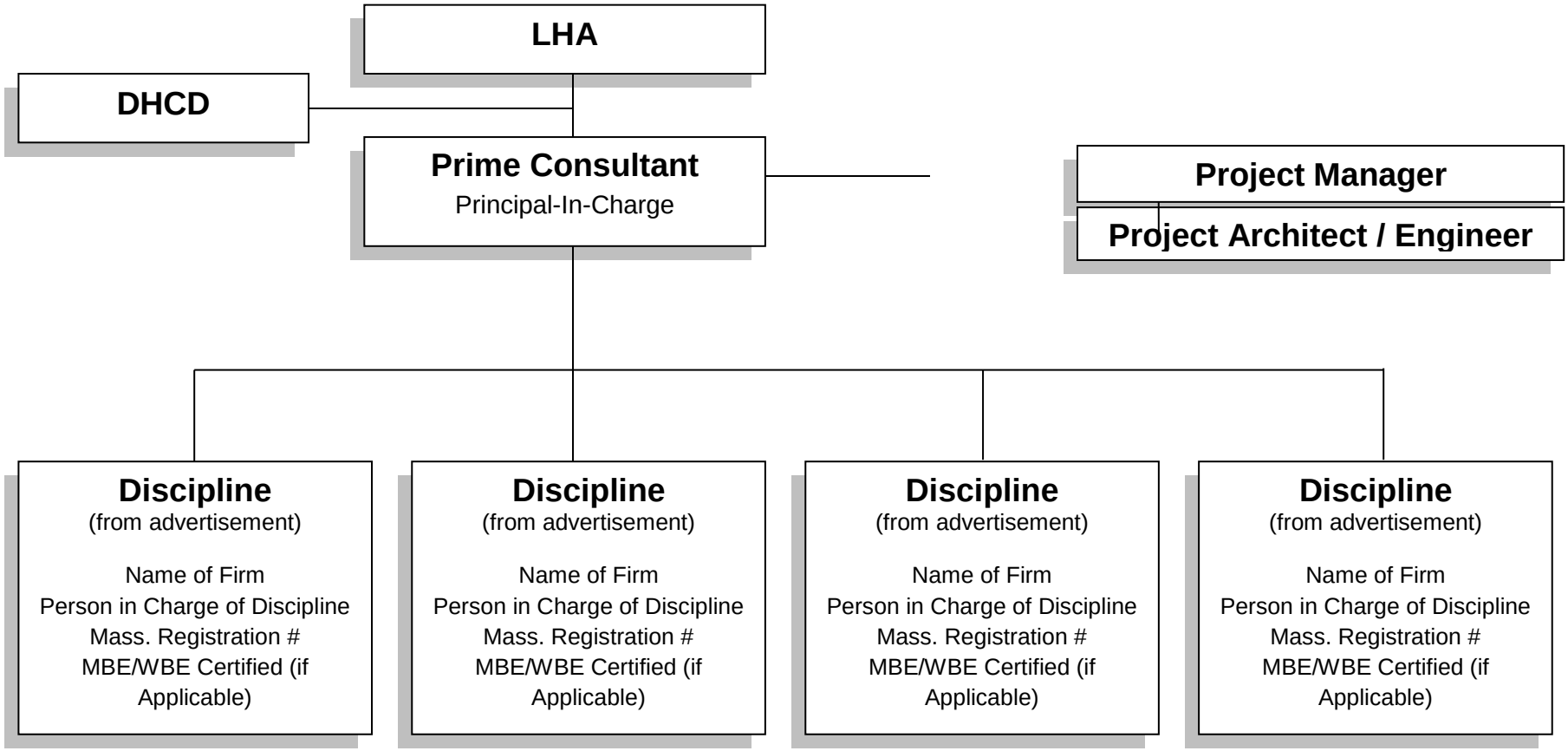
4. Personnel by Discipline: (List each person only once, by primary function -- average number employed throughout the preceding 6 month period. Indicate both the total number in each discipline and, within brackets, the total number holding Massachusetts registrations.)

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Administrative ____ ( ____ ) | Electrical Engineers ____ ( ____ ) | Life Safety Code ____ ( ____ ) | Surveyors ____ ( ____ ) |
| Architects ____ ( ____ ) | Energy Specialists ____ ( ____ ) | Licensed Site Prof. ____ ( ____ ) | Transportation Eng. ____ ( ____ ) |
| Acoustical Engineers ____ ( ____ ) | Environmental Specialist ____ ( ____ ) | Mechanical Engineer ____ ( ____ ) | _____ ____ ( ____ ) |
| Civil Engineers ____ ( ____ ) | Estimators ____ ( ____ ) | Planners: Urb./Reg. ____ ( ____ ) | _____ ____ ( ____ ) |
| Construction Inspectors ____ ( ____ ) | Fire Protection Eng. ____ ( ____ ) | Sanitary Engineers ____ ( ____ ) | _____ ____ ( ____ ) |
| Drafters ____ ( ____ ) | Industrial Hygienist ____ ( ____ ) | Soils Engineers ____ ( ____ ) | _____ ____ ( ____ ) |
| Ecologists ____ ( ____ ) | Interior Designers ____ ( ____ ) | Specification Writers ____ ( ____ ) | _____ ____ ( ____ ) |
| Economists ____ ( ____ ) | Landscape Architects ____ ( ____ ) | Structural Engineers ____ ( ____ ) | Total Personnel ____ ( ____ ) |

| | | |
|---|---|---|
| 5a. Has this Joint-Venture previously worked together? | ❑ Yes | ❑ No |

5b. If submittal is by JOINT-VENTURE list participating firms and outline specific areas of responsibility (including administrative, technical and financial) for each firm: (Please note: An up-to-date copy of the DHCD FORM AE4 Master File Brochure must be on file with the Designer Selection Committee for each participating firm.)

6. List **ONLY** those Prime and Sub-Consultant personnel specifically requested in the Advertisement. This information should be presented below in the form of an organizational chart. Include name of firm and name of the one person in charge of the discipline, with Mass. Registration number , as well as MBE/WBE status, if applicable:



| | | |
|---|---|---|
| 7. | Brief Resume of ONLY those Key Staff of Firm and Sub-Consultant Personnel requested in the Advertisement. Confine responses to the space provided on the form and limit resumes to ONE person per discipline requested in the Advertisement. Additional sheets should be provided only as required for the number of key personnel requested in the Advertisement and they must be in the format provided. By including a Sub-Consultant, the firm certifies that the listed Sub-Consultant has agreed to work on this project, should the team be selected. | |
| a. | Name & Title within Firm: | a. Name & Title within Firm: |
| b. | Project Assignment: | b. Project Assignment: |
| c. | Name and address of Office in which individual identified in 7a resides: | c. Name and address of Office in which individual identified in 7a resides: |
| d. | Years experience: With This Firm: _____ With Other Firms: _____ | d. Years experience: With This Firm: _____ With Other Firms: _____ |
| e. | Education: Degree(s) /Year/Specialization | e. Education: Degree(s) /Year/Specialization |
| f. | Active Registration: Year First Registered/Discipline/Mass Registration Number | f. Active Registration: Year First Registered/Discipline/Mass Registration Number |
| g. | Current work assignments and availability for this project: | g. Current work assignments and availability for this project: |
| h. | Other experience and qualifications relevant to the proposed project: (Identify firm by which employed, if not current firm): | h. Other experience and qualifications relevant to the proposed project: (Identify firm by which employed, if not current firm): |

| 8a. Current and relevant work by Firm or Joint-Venture members **ONLY** which best illustrates current qualifications in the areas listed in the RFS. (List up to but not more than 5 projects). | | | | | |
|---|---|---|---|---|---|
| a. Project name & location Principal-in-Charge | b. Brief description of Project and Services (include reference to areas relevant experience) | c. Project Owner's name & address and phone number (include name of contact person) | d. Completion Date (actual or estimated) | e. Project (Construction) Cost (000's) | |
| | | | | Construction Costs (actual, or estimated if not completed) | Fee for work for which firm was responsible |
| (1) | | | | | |
| (2) | | | | | |
| (3) | | | | | |
| (4) | | | | | |
| (5) | | | | | |

| 8b. | Current and relevant work by Sub-Consultants that best illustrates current qualifications in the areas listed in the advertisement. (List up to but not more than 5 projects for each Sub-Consultant.) Additional sheets should be provided only as required for the number of Sub-Consultants requested in the advertisement and they must be in the format provided. | | | | | |
|---|---|---|---|---|---|---|
| Sub-Consultant Name: | | | | | | |
| a. Project name & location Principal-in-Charge | b. Brief description and responsibility (include reference to areas of experience listed in RFS) | c. Project Owner's name & address and owner's reference name & phone number | d. Completion Date (actual or estimated) | e. Project (Construction) Cost (000's) | |
| | | | | Construction Costs (actual, or estimated if not completed) | Fee for work for which firm was responsible |
| (1) | | | | | |
| (2) | | | | | |
| (3) | | | | | |
| (4) | | | | | |
| (5) | | | | | |

| 9a. List all work within the past five-years by Firm for public agencies (Use additional pages as needed) | | | | | |
|---|---|---|---|---|---|
| **Role** P, C, JV * | **Current Phase** St., Sch., D.D., C.D., A..C.* | **Project Name, Location & Principal-in-Charge** | **Owner name & address** (Include contact name and phone number) | **Construction Cost** (in thousands) | **Completion Date** (Actual or Estimated) (R)Renovation or (N)New |
| | | 1. | | | |
| | | 2. | | | |
| | | 3. | | | |
| | | 4. | | | |
| | | 5. | | | |
| | | 6. | | | |
| | | 7. | | | |
| | | 8. | | | |
| | | 9. | | | |
| | | 10. | | | |

* P = Principal; C = Consultant; JV = Joint Venture; St. = Study; Sch. = Schematic; D.D. = Design Development; C.D. – Construction Documents; A.C. – Administration of Contract

| 9b. List all work within the past five-years by Firm for non-public agencies (Use additional pages as needed) | | | | | |
|---|---|---|---|---|---|
| **Role** P, C, JV | **Current Phase** St., Sch., D.D., C.D., A.C. | **Project Name, Location & Principal-in-Charge** | **Owner Name & Address** (Include contact name and phone number) | **Construction Cost** (in thousands) | **Completion Date** (Actual or Estimated) ®Renovation or (N)New |
| | | 1. | | | |
| | | 2. | | | |
| | | 3. | | | |
| | | 4. | | | |
| | | 5. | | | |
| | | 6. | | | |
| | | 7. | | | |
| | | 8. | | | |
| | | 9. | | | |
| | | 10. | | | |

* P = Principal; C = Consultant; JV = Joint Venture; St. = Study; Sch. = Schematic; D.D. = Design Development; C.D. – Construction Documents; A.C. – Administration of Contract

10. Use this space to provide any additional information or description of resources supporting the qualifications of your Firm and that of your Consultants for the proposed project. If needed, up to three, double-sided 8 ½" x 11" supplementary sheets will be accepted. **RESPOND SPECIFICALLY TO THE AREAS OF EXPERIENCE REQUESTED IN THE RFS**.

11. Professional Liability Insurance:

| Name of Company | Aggregate Amount | Policy Number | Expiration Date |
|---|---|---|---|

12. Have monies been paid by you, or on your behalf, as a result of Professional Liability Claims (in any jurisdiction) occurring within the last 5 years and in excess of $50,000 per incident? Answer YES or NO. If YES, please include the name(s) of the Project(s) and Client(s), and an explanation (attach separate sheet if necessary).

13. Name of Sole Proprietor or names of all firm partners and officers:

| Name: | Title | MA Reg # | Status/Discipline | Name | Title | MA Reg # | Status/Discipline |
|---|---|---|---|---|---|---|---|
| a. | | | | | | | |
| b. | | | | | | | |
| c. | | | | | | | |

14. If Corporation, provide names of all members of the Board of Directors:

| Name: | Title | MA Reg # | Status/Discipline | Name | Title | MA Reg # | Status/Discipline |
|---|---|---|---|---|---|---|---|
| a. | | | | | | | |
| b. | | | | | | | |
| c. | | | | | | | |

15. Names of all owners (stocks or other ownership):

| Name: | % Ownership | MA Reg # | Status/Discipline | Name | Title | MA Reg # | Status/Discipline |
|---|---|---|---|---|---|---|---|
| a. | | | | | | | |
| b. | | | | | | | |
| c. | | | | | | | |

16. Please identify how you intend to satisfy the M/WBE requirements set forth in the RFS (Check all that apply). The use of "To Be Determined" or "TBD" or "Not Applicable" or "NA" is not acceptable.

- Applicant Firm is a SDO-certified M/WBE; ☐
- Plan distribution firm is a SDO-certified M/WBE; ☐
- Sub-Consultant is a SDO-certified M/WBE; ☐
- Testing firm is a SDO-certified M/WBE; ☐
- Printing firm is a SDO-certified M.WBE; ☐
- Other ancillary service firms are SDO-certified; ☐

17. I certify that the undersigned as and Authorized Signatory of Firm and is a Principal or Officer of Firm. I further certify that this firm is a "Designer", as that term is defined in Chapter 7C, Section 44 of the Massachusetts General Laws, or that the services required are limited to construction management or the preparation of master plans, studies, surveys, soil tests, cost estimates or programs. The information contained in this application is true, accurate and sworn to by the undersigned under the pains and penalties of perjury.

Submitted by (Signature) _____ Printed Name and Title _____ Date _____