**NOTES TO ARCHITECT/ENGINEER (A/E) & DAS/CS PROJECT MANAGER:**

This version of the Division 01 General Requirements is for **ALL** CT Department of Administrative Services (DAS) Construction Services (CS) **Design-Bid-Build (DBB) AND Construction Manager at Risk (CMR) Capital Construction Projects.**

IMPORTANT NOTE: Section 01 25 00 Substitution Procedures includes detailed procedural requirements for handling and processing requests for equals and substitutions for a specified product or system. INDIVIDUAL SPECIFICATION SECTIONS WHICH INDICATE THAT A PRODUCT OR SYSTEM EQUAL AND SUBSTITUTION IS PERMISSIBLE MUST REFERENCE THIS SECTION. Revise paragraphs carefully to reflect specific project requirements, or delete them if they do not apply.

NOTE: All specification sections must list at a minimum, 3 manufacturers for all products. The use of one named manufacturer and or equal as well as the use of a performance specification is not allowed. All products specified in Divisions 02-49 must list the order of preference of all products; (If product no. 1 is first choice) all equals must be equivalent to the first manufacturer listed in the specific specification section.

**EDITING:** To Show the Editing Notes in this MS Word document the show/hide symbol (¶) button must be must turned on in the MS Word Toolbar. To print this document show/hide symbol (¶) must be turned off in the MS Word Toolbar, this will enable the document to indicate the correct number of total pages.

**TEXT:** The below **blue text** are project specific information that must be completed by the A/E as applicable to the specific project. When complete change **blue text** to **black text.** The ***bold and italicized text*** is for example purposes only and must be modified and edited by the A/E to make it project specific. For **text boxes**, left click on **Insert** and then insert project specific information over the word **Insert** in the underlined space.

**TABLES:** To view the Table Grid in this MS Word document, click inside any table, then go to the **Table Tools > Layout** tab, **Table** group, and click **View Gridlines.**

**HEADERS: The header** for each page of the Project Manual shall match the format, font (Arial), size (9 pt), font style (BOLD & CAPITALIZED) and line borders, of the header shown herein. The header of each page shall contain the Section Number, the Section Title, and the page number & number of pages as shown herein.

**FOOTERS: The footer** for each page of the Project Manual shall match the format, font (Arial), size (9 pt), font style (BOLD & CAPITALIZED) and line borders, of the footer shown herein. The footer shall contain the project number in the right hand side as shown herein. The revision date in the left side of the footer is to remain as it is for Department informational purposes only and should not be altered by the Architect/Engineer.

**SECTIONS AND PARAGRAPHS:** If a **Section** is not part of the project scope, **do not use** the Section in the General Requirements. Check “**NOT USED**” in the Table of Contents. **DO NOT delete** the Section title from the Table of Contents.

If a **Paragraph** is not applicable to the project, **delete the contents** of the Paragraph and renumber the subsequent Paragraphs. Edit **Paragraphs** carefully to reflect specific project requirements. DO NOT include Paragraphs or parts of Paragraphs in the project manual, which have no applicability to the specific project. KEEP IN NUMERICAL SEQUENCE and re-number as necessary.

**GENERAL CONDITIONS:** Please review the General Conditions carefully and coordinate the requirements of those Articles including the Definitions.

**DIVISION 01 SECTIONS** are the organizational key of the Project Manual. All revisions to this Division are the responsibility of the A/E. Division 01 must be closely coordinated with Division 00, Divisions 02 through 49, Division 50 (Project-Specific Available Information), the Drawings, and the Department’s Consultant Bid Data Statement (Form 6005, to be filled out by the A/E for bidding).

**IMPORTANT NOTE REGARDING “HIDDEN TEXT”:**

Each document contains Editing Notes in the form of “hidden text”. The Editing Notes assist the Architect in modifying and editing the document to make it project-specific. In order to show the “hidden text”, click the **Home** tab, and in the **Paragraph** group, click the **Show/Hide** symbol (¶). **Turn off** the Show/Hide symbol (¶) **before printing the document** in order to indicate the correct number of pages. **DELETE THIS NOTE.**

**IMPORTANT NOTE REGARDING FORMATTING:**

Insert a blank page at the end of all *odd numbered* specification sections that states “THIS PAGE INTENTIONALLY LEFT BLANK”. **DELETE THIS NOTE.**

# PART 1 - GENERAL

## RELATED DOCUMENTS

#### **A.** Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 01 Specification Sections, apply to this Section.

## SUMMARY

### This Section includes administrative and procedural requirements for handling requests for equals and substitutions made after award of the Contract.

### Related Sections: The following Sections contain requirements that relate to this Section:

#### Division 01 Section 01 33 00 "Submittal Procedures" specifies requirements for submitting the Contractor's Construction Schedule and the Submittal Schedule.

#### Division 01 Section 01 42 20 "Reference Standards and Definitions" specifies the applicability of industry standards to products specified.

#### Division 01 Section 01 60 00 "Product Requirements" specifies requirements governing the Contractor's selection of products and product options.

## DEFINITIONS

NOTE: Retain paragraph below. These definitions refer specifically to contents of this section and are not repeated in Division 01 Section 01 42 20 "Reference Standards and Definitions."

### Definitions in this Article do not change or modify the meaning of other terms used in the Contract Documents.

NOTE: Revise paragraph below as appropriate for multiple prime contracts or special project requirements.

### **Equals or Substitutions General:** Changes in products, materials, equipment, and methods of construction required by the Contract Documents proposed by the Contractor after award of the Contract.

## SUBMITTALS

NOTE: The "General Conditions" does not address equal substitution or substitution requests directly. The "Supplementary Conditions" (if used) reference procedures for consideration of “substitutions after contract award.” Paragraph and "substitutions" article below amplify requirements suggested by "Supplementary Conditions".

### **Equals and Substitution Request Submittals:** The Owner will consider requests for equals or substitutions if made prior to the Receipt of the Competitive Bid. The information on all materials shall be consistent with the information herein. After the contract award, substitutions will be considered for materials or systems specified that are no longer available. It will not be considered if the product was not purchased in a reasonable time after award. The Contractor shall submit all equal and substitutions requests on the **"Equal or Substitute Product Request (Form 7001)"**, an example of which is shown at the end of this Section. The Form is available from the Construction Administrator (CA). See Article 15 in the General Conditions for further refinement and information.

### The Contractor is required to prepare and submit three (3) copies of the required data for the first manufacturer listed or procedure listed in the specifications section with reference to all of the following areas: the substance and function considering quality, workmanship, economy of operation, durability and suitability for purposes intended including the size, rating performance, LEED® compliance, and cost. All submissions must include all the required data for the first listed manufacturer or procedure as specified, as well as the required data for the proposed Equal or Substitution. This will enable the Owner and Architect to determine that the proposed Equal or Substitution is or is not substantially equal to the first listed manufacturer or procedure.

#### Identify the product or the fabrication or installation method to be replaced in each request. Include related Specification Section and Drawing numbers.

#### Provide complete documentation showing compliance with the requirements for equals or substitutions, and the following information, as appropriate:

NOTE: Delete requirements below that are unnecessary or included in the "Supplementary Conditions" (if used). Modify, as necessary, retained subparagraphs to suit project.

##### Coordination information, including a list of changes or modifications needed to other parts of the Work and to construction performed by the Owner and separate contractors that will be necessary to accommodate the proposed Equal or Substitution.

##### A detailed comparison chart of significant qualities of the proposed substitution with those of the Work specified. Significant qualities may include elements, such as performance, weight, size, durability, and visual effect.

##### Product Data, including Shop Drawings and descriptions of products and fabrication and installation procedures.

##### Samples, where applicable or requested.

##### A statement indicating the effect on the Contractor’s Construction Schedule or CPM Schedule compared to the schedule without approval of the Equal or Substitution. Indicate the effect on overall Contract Time.

##### Cost information, broken down, including a proposal of the net change, if any in the Contract Sum.

##### The Contractor’s certification that the proposed Equal or Substitution conforms to requirements in the Contract Documents in every respect and is appropriate for the applications indicated.

##### The Contractor’s waiver of rights to additional payment or time that may subsequently become necessary because of the failure of the Equal or Substitution to perform adequately.

NOTE: Revise subparagraph below if necessary to allow more time to the 2 weeks and two week approval and re-submittal process requests.

#### **Architect's Action:** If necessary, the Architect will request additional information or documentation for evaluation within **seven (7) days** of receipt of the original request for equal or substitution request. The Architect will notify the Construction Administrator who will notify the Owner of recommended acceptance or rejection of the proposed equal or substitution, within **fourteen (14) days** of receipt of the request, or **seven (7) days** of receipt of additional information or documentation, whichever is later. The Construction Administrator will give final acceptance or rejection by the Owner not less than **seven (7) days** after notification.

##### Any request deemed an "Equal" and accepted by the Construction Administrator, Architect, Owner, and Agency will result in written notification to the Contractor and will not be in the form of a change order for an "Equal".

##### Any request deemed a "Substitution" and rejected or approved by Construction Administrator, Architect, and Owner may result in written notification to the Contractor and may be in the form of a change order if the "Substitution" is approved.

# PART 2 - PRODUCTS

## 2.1 EQUAL OR SUBSTITUTIONS

### **Conditions:**  The Architect will consider the Contractor’s request for Equal or Substitution of a product or method of construction when one or more of the following conditions are satisfied, as determined by the Architect. If the following conditions are not satisfied, the Architect will return the requests to the Construction Administrator without action except to record noncompliance with these requirements.

NOTE: Delete or modify conditions below that are not acceptable. If desired, insert more restrictive conditions to limit consideration of proposed substitutions.

#### The proposed request does not require extensive revisions to the Contract Documents.

#### The proposed request is in accordance with the general intent of the Contract Documents.

#### The proposed request is timely, fully documented, and/or properly submitted.

#### The proposed request can be provided within the Contract Time. However, the Architect will not consider the proposed request if it is a result of the Contractor’s failure to pursue the Work promptly or coordinate activities properly.

#### The proposed request will offer the Owner a substantial advantage, in cost, time, energy conservation, or other considerations, after deducting additional responsibilities the Owner must assume. However, if the proposed request requires the Owner to incur additional responsibilities, including but not limited to, additional compensation to the Architect for redesign and evaluation services, increased cost of other construction by the Owner or similar considerations, then the Owner will have just cause to reject the request for Equal or Substitution.

#### The proposed request can receive the necessary approvals, in a timely manner, required by governing authorities having jurisdiction.

#### The proposed request can be provided in a manner that is compatible with the Work as certified by the Contractor.

#### The proposed request can be coordinated with the Work as certified by the Contractor.

#### The proposed request can uphold the warranties required by the Contract Documents as certified by the Contractor.

### The Contractor’s submission and the Architect's review of Submittals, including but not limited to, Samples, Manufacturer’s Data, Shop Drawings, or other such items, which are not clearly identified as a request for an Equal or Substitution, will not be considered or accepted as a valid request for an Equal or Substitution, nor does it constitute an approval.

# PART 3 - EXECUTION (Not Applicable)

END OF SECTION 01 25 00



