**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 26 00 Contract Modification Procedures** includes detailed procedural requirements for considering change orders. Revise paragraphs carefully to reflect specific project requirements, or delete them if they do not apply.

**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

## 1.1 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.

## 1.2 SUMMARY

### A. This Section specifies administrative and procedural requirements for handling and processing contract modifications.

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

#### 1. Division 01 Section 01 20 00 "Contract Considerations" for administrative requirements governing use of Unit Prices.

#### 2. Division 01 Section 01 25 00 "Substitution Procedures" for administrative procedures for handling requests for substitutions made after award of the Contract.

#### 3. Division 01 Section 01 29 76 "Progress Payment Procedures" for administrative procedures governing Applications for Payment.

NOTE: Choose the appropriate Schedule section utilized for this project. Delete the Section that is Not Applicable.

#### 4. Division 01 Section 01 32 16 "Construction Progress Schedules" for requirements for construction scheduling and reporting progress of work.

#### **OR**

#### 4. Division 01 Section 01 32 16.13 "CPM Schedules" for requirements for CPM scheduling and reporting progress of work.

#### 5. Division 01 Section 01 33 00 "Submittal Procedures" for requirements for submittal of the Construction Progress Schedule or CPM Schedule.

#### 6. General Conditions “Article 13 - Compensation for Changes in the Work”.

#### C. All Forms referenced in this Section are available for download from the DAS website ([www.ct.gov/DAS](http://www.ct.gov/DAS))> Doing Business With The State > State Building Construction > Publications and Forms > DAS Construction Services Library > 7000 Series - Construction Phase Forms.

## 1.3 REQUESTS FOR INFORMATION

##### A. In the event that the Contractor or subcontractor, at any tier, determines that some portion of the drawings, specifications, or other contract documents requires clarification or interpretation by the Architect, the Contractor shall submit a "Request for Information" in writing to the Architect via the Construction Administrator. "Requests for Information" may only be submitted by the Contractor and shall only be submitted on the "Request for Information" forms as required by the Owner.

##### In the "Request for Information", the Contractor shall clearly and concisely set forth the issue for which clarification or interpretation is sought and why a response is needed from the Architect.

##### In the "Request for Information", the Contractor shall set forth an interpretation or understanding of the requirement along with reasons why such an understanding was reached.

##### The Owner acknowledges that this is a complex project. Based upon the owner’s past experience with projects of similar complexity, the Owner anticipates that there will probably be some "Requests for Information" on this project.

##### The Architect will review all "Requests for Information" to determine whether they are valid "Requests for Information". If it is determined that the document is not a valid "Request for Information", it will be returned to the Contractor, unreviewed as to content, for resubmittal on the proper form and in the proper manner.

##### A "Request for Information Response" shall be issued within seven (7) days of receipt of the request from the Contractor unless the Owner determines that a longer time is necessary to provide an adequate response. If a longer time is determined necessary by the Owner, the Owner will, within seven (7) days of receipt of the request, notify the Contractor of the anticipated response time. If the Contractor submits a "Request for Information" on an activity with seven (7) days or less of float on the current project schedule, the Contractor shall not be entitled to any time extension due to the time it takes the Architect to respond to the request provided that the Architect responds within the seven (7) days set forth above.

##### A "Request for Information Response" from Architect will not change any requirement of the Contract Documents. In the event the Contractor believes that the "Request for Information Response" will cause a change to the requirements of the Contract Documents, the Contractor shall within five (5) days give written notice to the Construction Administrator stating that the Contractor believes the "Request for Information Response" will result in a "Change Order" and the Contractor intends to submit a "Change Order Proposal" request. Failure to give such written notice within five (5) days shall waive the Contractor’s right to seek additional time or cost under the requirement these Requirements.

## 1.4 MINOR CHANGES IN THE WORK

### A. The Architect, through the Construction Administrator, will issue supplemental instructions authorizing minor changes in the Work, not involving adjustment to the Contract Sum or Contract Time, on the "Supplemental Instructions" form as required by the Owner.

## 1.5 PROPOSAL REQUEST

### A. Architect/Owner-Initiated Requests For Proposals: The Architect or Owner will issue a detailed description of proposed changes in the Work via the Construction Administrator that will require adjustment to the Contract Sum or Contract Time. If necessary, the description will include supplemental or revised Drawings and Specifications. Such requests shall be on a "Proposal Request" form as required by the Owner.

#### 1. "Proposal Request" is issued for information only. Do not consider them as an instruction either to stop work in progress or to execute the proposed change.

NOTE: Revise the 14-day time period required below if necessary to suit project requirements.

#### 2. Within **(14) days** of receipt of a "Proposal Request", submit a "Change Order Proposal" with the required information necessary to execute the change to the Construction Administrator for the Architect’s/Owner's review.

##### a. Include a list of quantities of products required and unit costs, with the total amount of purchases to be made. Where requested, furnish survey data to substantiate quantities.

##### b. Indicate applicable delivery charges, equipment rental, and amounts of trade discounts.

##### c. Include a statement indicating the effect the proposed change in the Work will have on the Contract Time.

##### d. The Agency is tax exempt. All Contractor and Subcontractor services provided under your Contract with the State of Connecticut may not be exempt from taxes. The Department of Revenue Services can guide you as to which services are exempt and which are not. Please contact the State of Connecticut, Department of Revenue Services at 1-800-382-9463 or 860-541-3280.

##### Dollar values shown on the Schedule of Values shall not be the governing (or deciding) final amounts for change orders involving either additional charges or deletions.

## 1.6 CHANGE ORDER PROPOSAL

### A. When either a "Request for Information" from the Contractor or a "Proposal Request" from the Architect or Owner results in conditions that may require modifications to the Contract, the Contractor may propose changes by submitting a request for a "Change Order Proposal" to the Architect via the Construction Administrator on forms as required by the Owner. These forms shall also include "Change Order Proposal Workbook(s)" as required by the Owner.

#### 1. Include statements outlining the reasons for the change and the effect of the change on the Work. Provide a complete description of the proposed change. Indicate the effect of the proposed change on the Contract Sum and Contract Time.

#### 2. Include a list of quantities of products required and unit costs, with the total amount of purchases to be made. Where requested, furnish survey data to substantiate quantities as directed by Article 13 of the General Conditions of the Contract for Construction.

#### 3. Indicate applicable delivery charges, equipment rental, and amounts of trade discounts.

#### Comply with requirements in Division 01 Section 01 25 00 "Substitution Procedures" if the proposed change requires an equal or substitution of one product or system for a product or system specified.

#### The State of Connecticut construction contract has the following tax exemptions:

#### Purchasing of materials which will be physically incorporated and become a permanent part of the project.

#### Tools, supplies and equipment used in fulfilling the construction contract are not exempt.

#### Services that are resold by the Contractor are exempt, i.e. if a Contractor hires a plumber, carpenter or electrician, a resale certificate may be issued to the subcontractor because these services are considered to be integral and inseparable component parts of the building contract

### "Change Order Request" Forms: Use "Change Order Proposal" and "Change Order Proposal Worksheets" forms as required by Owner.

### A "Change Order Proposal" cannot be submitted without either prior submission of a "Request for Information" from the Contractor or as a response to a "Proposal Request" submitted by the Architect or Owner.

### Any "Change Order Request" submitted without a prior submittal of a "Request for Information" or as a response to a "Proposal Request" will be immediately rejected and returned to the Contractor.

## 1.7 CONSTRUCTION CHANGE DIRECTIVE

### **A. "Construction Change Directive":**

### When the Owner and the Contractor disagree on the terms of a "Change Order Proposal" resulting from either a "Request for Information" or "Proposal Request", then the Architect through the Construction Administrator may issue a "Construction Change Directive" on a "Construction Change Directive" form as authorized by the Owner. The "Construction Change Directive" instructs the Contractor to proceed with a change in the Work, for subsequent inclusion in a "Change Order".

#### 1. The "Construction Change Directive" contains a complete description of the change in the Work. It also designates the method to be followed to determine change in the Contract Sum or Contract Time.

#### 2. Contractor must proceed with the Work once a "Construction Change Directive" is issued.

#### 3. The change in the Contract Sum and Contract Time resulting from the issuance of a "Construction Change Directive" will be based on "Time & Material" or "Unit Prices".

#### 4. Issuance of "Construction Change Directive" does not guarantee payment for the Work described in the "Construction Change Directive".

### B. Documentation: The Contractor shall maintain detailed records on a time and material basis of work required by the "Construction Change Directive".

#### 1. After completion of the change, submit an itemized account and supporting data necessary to substantiate cost and time adjustments to the Contract.

#### 2. The final value shall be negotiated based on the supporting data to determine the value of the work.

## 1.8 CHANGE ORDER PROCEDURES

### Upon the Owner's approval of a Contractor’s "Change Order Proposal", the Construction Administrator will issue a "Change Order" for signatures of the Architect, Owner and the Contractor on a "Change Order" form as required by the Owner.

# PART 2 - PRODUCTS (Not Applicable)

# PART 3 - EXECUTION (Not Applicable)

END OF SECTION 01 26 00