**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 29 76 Progress Payment Procedures includes procedural requirements for preparation and submittal of Contractor’s Applications for Payment under lump sum contracts. Revise paragraphs carefully to reflect specific project requirements or delete them if they do not apply.

**TEXT:** The below **blue text** is 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 FORMATTING:**

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

**DELETE ALL RED NOTES.**

# 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 procedures for preparation and submittal of the Contractor's Applications for Payment.

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

### **1.** Notice to Bidders: Article 10

#### **2.** General Conditions: Articles: 27 "Schedule of Values, Application for Payment"; 28 "Partial Payments"; 31 "Final Payment"; and 32 "Owner’s Right to Withhold Payments".

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

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

**OR**

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

#### **4.** Division 01 Section 01 33 00 "Submittal Procedures".

#### **5.** Division 01 Section 01 77 00 "Closeout Procedures" for requirements for Final Payment.

## 1.3 SCHEDULE OF VALUES

### **A. Coordination:** Coordinate preparation of the "Schedule of Values" with preparation of the CPM Schedule or Construction Schedule. Use "Schedule of Values" form as required by the Owner

#### **1.** Submit the "Schedule of Values" to the Construction Administrator at the earliest possible date but no later than **twenty-one (21)** days after Contract Start Date.

#### **2. Sub-schedules:** Where Work is separated into phases requiring separately phased payments, provide sub-schedules showing values correlated with each phase of payment.

### **B. Format and Content:** Use the Project Manual Table of Contents as a guide to establish the format for the "Schedule of Values". Provide at least one line item for each Specification Section on electronic media printout.

#### **1. Identification:** Project identification on the Schedule of Values shall include, but not be limited to, the following:

##### **a. Owner**

##### **b. Project Number**

##### **c. Project Name**

##### **d. Project Location**

##### **e. Contractor's name and address.**

#### **2.** Arrange the "Schedule of Values" in tabular format as required by the Owner, containing separate columns including, but not limited to, the following Items:

##### **a. Item Number.**

##### **b. Description of Work with Related Specification Section or Division Number.**

##### **c. Scheduled Values broken down by description number, type material, units of each material.**

1) Include break down of General Condition requirements, i.e. bonds, insurance premiums, taxes, job mobilization, temporary facilities, field supervision and layout, operation and maintenance manuals, punch list activities, project record documents, demonstration and training, overhead, and profit as separate line items.

##### **d. Name of subcontractor.**

##### **e. Name of manufacturer or fabricator.**

##### **f. Name of supplier.**

##### **g. Retainage.**

##### **h. Contract sum in sufficient detail.**

#### **3.** Percentage of Contract Sum to nearest one-hundredth percent, adjusted to total 100 percent.

#### **Note:** The DAS/CS Project Manager, Architect/Engineer, and Construction Administrator will need to address certain items that require knowledge of the project to make an appropriate level of compensation for the following items.

#### **4.** Provide a breakdown of the Contract Sum in sufficient detail to facilitate continued evaluation of Applications for Payment and progress reports. Coordinate with the Project Manual Table of Contents. Break principal subcontract amounts down into several line items. In addition, the following items listed below must be included.

#### **a. Site Logistics Plan (01 31 00):** a lump sum at 1/20 of one percent of the base bid total project cost at the time of submission of this plan.

#### **b. Coordination Drawings (01 31 00):** a lump sum of this cost for payment at the submittal of this product a minimum cost of 1/10th of one percent of the base bid total project cost or $5,000 whichever is greater.

#### **c. Photographic Documentation (01 32 33):** a monthly cost of $1,000 per month to be paid each month upon receipt of the photographs or forfeit of that month’s payment.

#### **d. Submittal Schedule (01 33 00):** a lump sum payment calculated at 1/20th of 1% of the base bid total project cost upon receipt of the schedule

#### **e. Waste Collection & Cleaning (01 50 00):** a monthly cost. A minimum payment of $1,000 to $3,000 (based on size & complexity of the project) with forfeit of that monthly payment if not done.

#### **f. As-Built Updates (01 31 00):** a monthly cost, a minimum payment of $1,000 with forfeit of that monthly payment if not done.

#### **g. Start-up and Adjusting (01 75 00):** a lump sum cost upon completion. (to be determined by the DAS/CS Project Manager (PM) with Architect/Engineer and Construction Administrator (CA) advice)

#### **h. Schedule (01 32 16):** For the Base Schedule a lump sum payment or 40% of the total schedule budget, with the remainder paid on an even payment over the duration of the project.

**OR**

#### **h. Schedule (01 32 16.13):** a lump sum payment upon receipt of the base line schedule. A payment of 40% of the total amount of the total cost which is to be calculated at 1/8th of one percent of the base bid total project cost. Monthly updates using the remainder of the cost divided evenly over the accepted schedule duration with a forfeit of the monthly payment of the update is not received on time.

#### Any forfeited amounts being withheld by the CA for non-performance will be adjusted at the final payment by a credit change order to the owner.

#### **5.** Round amounts to nearest whole dollar; the total shall equal the Contract Sum.

#### **6. Unit-Cost Allowances:** Show the line-item value of unit-cost allowances, as a product of the unit cost, multiplied by the measured quantity. Estimate quantities from the best indication in the Contract Documents.

#### **7. General Conditions:** Show line items for indirect costs and margins on actual costs only when such items are listed individually in Applications for Payment. Each item in the Schedule of Values and Applications for Payment shall be complete. Include the total cost and proportionate share of general overhead and profit margin for each item.

##### a. Temporary facilities and other major cost items that are not direct cost of actual work-in-place may be shown either as separate line items in the Schedule of Values or distributed as general overhead expense, at the Contractor's option.

## 1.4 APPLICATIONS FOR PAYMENT

### A. Each Application for Payment shall be consistent with previous applications and payments as certified by the Architect and Construction Administrator and paid for by the Owner.

#### 1. The initial "Application for Payment", the "Application for Payment" at time of "Substantial Completion", and the final "Application for Payment", involve additional requirements.

### B. **Payment-Application Terms:** The Owner will process monthly progress payments. The Contractor may submit applications for payment on a monthly basis.

### C. **Payment-Application Forms:** Use the "Application for Payment" form as required by the Owner. Present the required information on electronic media printout or Owner approved form; multiple pages should be used if required.

#### 1. For each item, provide a column including but not limited to the following items:

##### Item Number.

##### Description of Work and Related Specification Section or Division.

##### Scheduled Value, break down by units of material and units of labor.

##### Work Completed from previous application.

##### Work Completed this period.

##### Materials presently stored.

##### Total Completed and stored to date of application.

##### Percentage of Completion.

##### Balance to Finish.

##### Retainage.

### **D. Application Preparation:** Complete every entry on the Application form. At the time of Final Payment only, include an executed Application form by a person authorized to sign legal documents on behalf of the Contractor. The Construction Administrator will return incomplete Applications without action.

#### **1.** Entries shall match data on the "Schedule of Values".

#### **2.** Include amounts of Change Orders issued prior to the last day of the construction period covered by the application.

### **E. Transmittal**: Except for final payment, submit to the Construction Administrator by a method ensuring receipt within ***forty-eight (48)*** hours. ***One (1)*** complete, signed and notarized original of each Application for Payment, including lien waivers and similar attachments when required, along with ***six (6)*** copies. For Final Payment, ***nine (9)*** complete, signed and notarized copies shall be submitted.

#### **1.** Transmit each copy with a transmittal form listing attachments and recording appropriate information related to the application, in a manner acceptable to the Architect.

### **Applications for Payment**: Administrative actions and submittals, that must precede or coincide with submittal of the first Application for Payment and all subsequent Application for Payments including, but not limited to, the following items:

#### List of subcontractors and suppliers’ name, FEIN/Social Security numbers, and Connecticut Tax Registration Numbers.

#### List of principal suppliers and fabricators.

#### Schedule of Values.

#### Contractor's Construction Schedule (preliminary if not final).

#### Schedule of principal products.

#### Submittal Schedule (preliminary if not final).

#### List of Contractor's staff assignments.

#### List of Contractor's principal consultants.

#### Copies of all applicable permits.

#### Copies of authorizations and licenses from governing authorities for performance of the Work.

#### Proof that subcontractors have been paid amounts included on the Contractor’s Application for Payment within thirty (30) days after the Owner has paid the Contractor for the particular Application for Payment in accordance with Connecticut General Statute § 49-41a (a)(1).

#### Releases of Lien from subcontractors with amounts included on the Contractor’s Application for Payment when Contractor has been paid by the Owner for the particular Application for Payment but the subcontractors have not been paid.

#### Proof that as-built documents are updated as required by Section 01 77 00 "Closeout Procedures.

#### Initial as-built survey and damage report, if required.

#### **15.** Update the “Contractor’s Master Subcontract Agreement List” and submit copies all recently executed Subcontract Agreements in accordance with CGS § 4b-96.

**15.1.** The “Contractor’s Master Subcontract Agreement List” shall list all Subcontract Agreements in order of Contract Sum magnitude (from high to low) in the following format:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Contractor’s** **Master Subcontract Agreement List** | | | | |
| **Subcontractor Name** | **Minority Or**  **Small Business**  **Designation** | **Trade** | **Address** | **Contract Sum** |
|  |  |  |  |  |
|  |  |  |  |  |

**16.** In accordance with CGS § 42-158j (b):

Each payment requisition submitted shall include a statement showing the status of all pending construction change orders, other pending change directives and approved changes to the original contract or subcontract. Such statement shall identify the pending construction change orders and other pending change directives, and shall include the date such change orders and directives were initiated, the costs associated with their performance and a description of any work completed. As used in this section, "pending construction change order" or "other pending change directive" **means an authorized directive for extra work that has been issued to a contractor or a subcontractor and identified by an official Change Order Number or Construction Change Directive Number assigned by the State of Connecticut.**

### **G. Application for Payment at Substantial Completion:** Following issuance of the Certificate of Substantial Completionsubmit an Application for Payment form; use the form as required by the Owner. Present the required information on electronic media printout as applicable that include, but are not limited, to the following:

#### **1.** This application shall reflect Certificates of Partial Substantial Completion issued previously for Owner occupancy of designated portions of the Work.

#### **2.** Administrative actions and submittals that shall precede or coincide with this application include, but are not limited to, the following:

##### Occupancy permits and similar approvals.

##### Warranties (guarantees) and maintenance agreements.

##### Test/adjust/balance records.

##### Maintenance instructions.

##### Meter readings.

##### Startup performance reports.

##### Changeover information related to Owner's occupancy, use, operation, and maintenance.

##### Final cleaning.

##### Application for reduction of retainage and consent of surety.

##### Advice on shifting insurance coverage.

##### Final progress photographs.

##### List of incomplete Work, recognized as exceptions to Architect's Certificate of Substantial Completion.

### **H. Final Payment Application:** Administrative actions and submittals that must precede or coincide with submittal of the final Application for Payment include, but are not limited, to the following:

#### Completion of Project Closeout requirements.

#### Completion of list of items remaining to be completed as indicated on the attachment to the Certificate of Substantial Completion.

#### Ensure that unsettled claims will be settled.

#### Ensure that incomplete Work is not accepted and will be completed in accordance with a schedule prepared by the Contractor which is acceptable to the Owner.

#### Transmittal of required Project construction records to the Owner (including as-built documents specified in Section 01 77 00 "Closeout Procedures").

#### Certified property survey.

#### Proof that taxes, fees, and similar obligations were paid.

#### Removal of temporary facilities and services.

#### Removal of surplus materials, rubbish, and similar elements (Reference Section 01 74 19 "Construction Waste Management & Disposal").

#### Change of door locks to Owner's access.

#### The requirements of the General Conditions and Supplementary Conditions for Final Acceptance, Final Completion, Final Inspection, and Final Payment.

#### Asbestos, lead or other hazardous material manifests.

#### Completion of "Building Contractor Reporting Form" as supplied by the Department , for all Contractors, Subcontractors, Vendors, Suppliers, etc. who work on the Contract. The form includes the following information:

##### Contractor/Subcontractor name.

##### FEIN/Social Security Numbers

##### Connecticut Tax Registration Numbers

##### Type of work

##### Name of business and address

##### Remittance address.

# PART 2 - PRODUCTS (Not Applicable)

# PART 3 - EXECUTION (Not Applicable)

END OF SECTION 01 29 76