



CONSTRUCTION SPECIFICATION WRITING STUDY SESSION



Presented by:

Conspectus, Inc.



WHO IS CONSPECTUS?

Conspectus, Inc. is a national specification consultancy, employing 16 specifiers, providing high quality, [industry-leading specifications](#) and related consulting services on thousands of projects for some of the most prestigious design and engineering firms, government agencies, and private entities domestically and internationally.



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KNOWLEDGE AREAS

Domains:

1	9/03	Planning, Development & Organization
4	9/10	Research
3	09/17	Procurement
6	09/24	Production, Part 1
6	10/01	Production, Part 2
2	10/08	Coordination
5	10/15	Analysis and Evaluation

ITEMS TO NOTE



GENERAL FYI

- No CDT[®] certification - highly advisable to **also read Project Delivery Practice Guide (PDPG)**.
- Yes CDT[®] certification - brush up on the PDPG.
- Exam is based on CSI[®] **Construction Specifications Practice Guide (CSPG)** content, and may not always reflect the real world; we will note items which may not align.
- Those who wrote the CSPG are not the same as the exam writers; study guides have divided the source material - **read the entire book**.
- We encourage interaction in the chat and will also provide time for Q&A at the end of each session.

AIA Continuing Education

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AIA continuing education Learning Units earned upon completion of this course will be reported to AIA CES for AIA members. Certificates of Completion for both AIA members and non-AIA members are available upon request.

Construction Specification Writing Session 6:

Procurement, Contracting, & General Requirements



AIA LO1

Incorporate project-specific requirements into Division 01 General Requirements sections to clearly convey construction administrative requirements and processes, including RFIs, submittals, and substitutions. Understand how this construction phase decision documentation can impact the resulting project and its inhabitants.



AIA LO2

Coordinate general and specific requirements for mock-ups, testing, delegated design requirements, etc. and incorporate required performance information into specification sections- critical elements of quality assurance and control.



AIA LO3

Edit specifications to conform to Owner procurement and contract requirements.



AIA LO4

Learn to specify substitution requirements and procedures and evaluate the acceptability of substitution request submittals in order to maintain project quality, code requirements, and sustainability goals.

DOMAIN 3:

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS



COMPETENCIES

- 3.1 Edit specifications to conform to owner procurement and contract requirements.
- 3.2 Coordinate Division 01 General Requirements with all other specifications.
- 3.3 Edit Division 01 specifications based on project-specific general requirements.
- 3.4 Specify the project measurement and payment procedures.
- 3.5 Specify substitution requirements and procedures.
- 3.6 Specify submittal requirements and procedures.

DOMAIN 3:

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

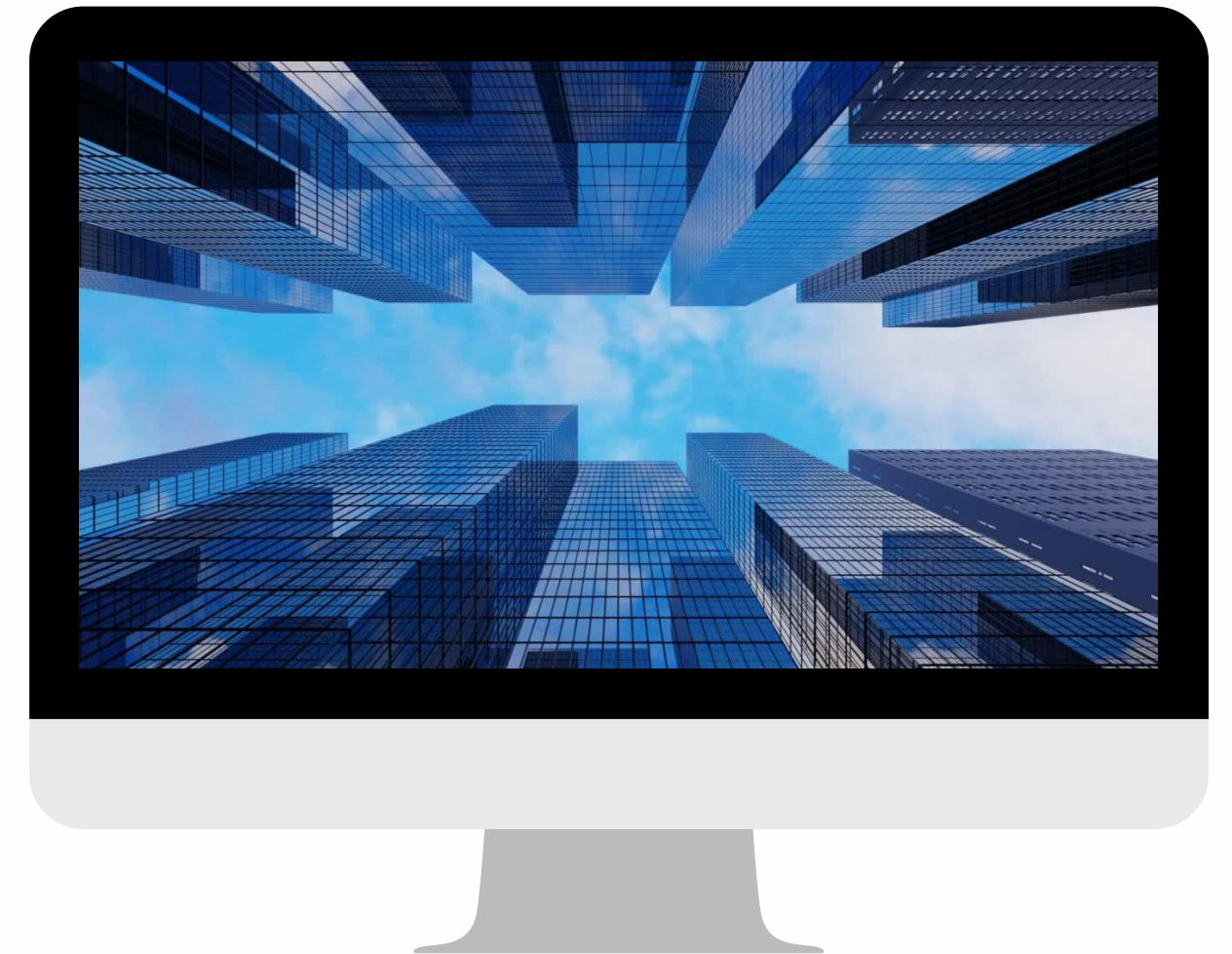


- 3.7 Specify RFI requirements and procedures.
- 3.8 Specify delegated design requirements (e.g., application, scope, process) and their related deferred submittal procedures.

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

“The sections in Division 01, which are collectively referred to as the General Requirements, specify administrative requirements, procedural requirements, temporary facilities and controls, performance requirements, and life cycle activities.”

-CSPG



PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3A



LEARNING OBJECTIVES

LO1 Identify the documents and specifications that need to be edited based on the owner's requirements.

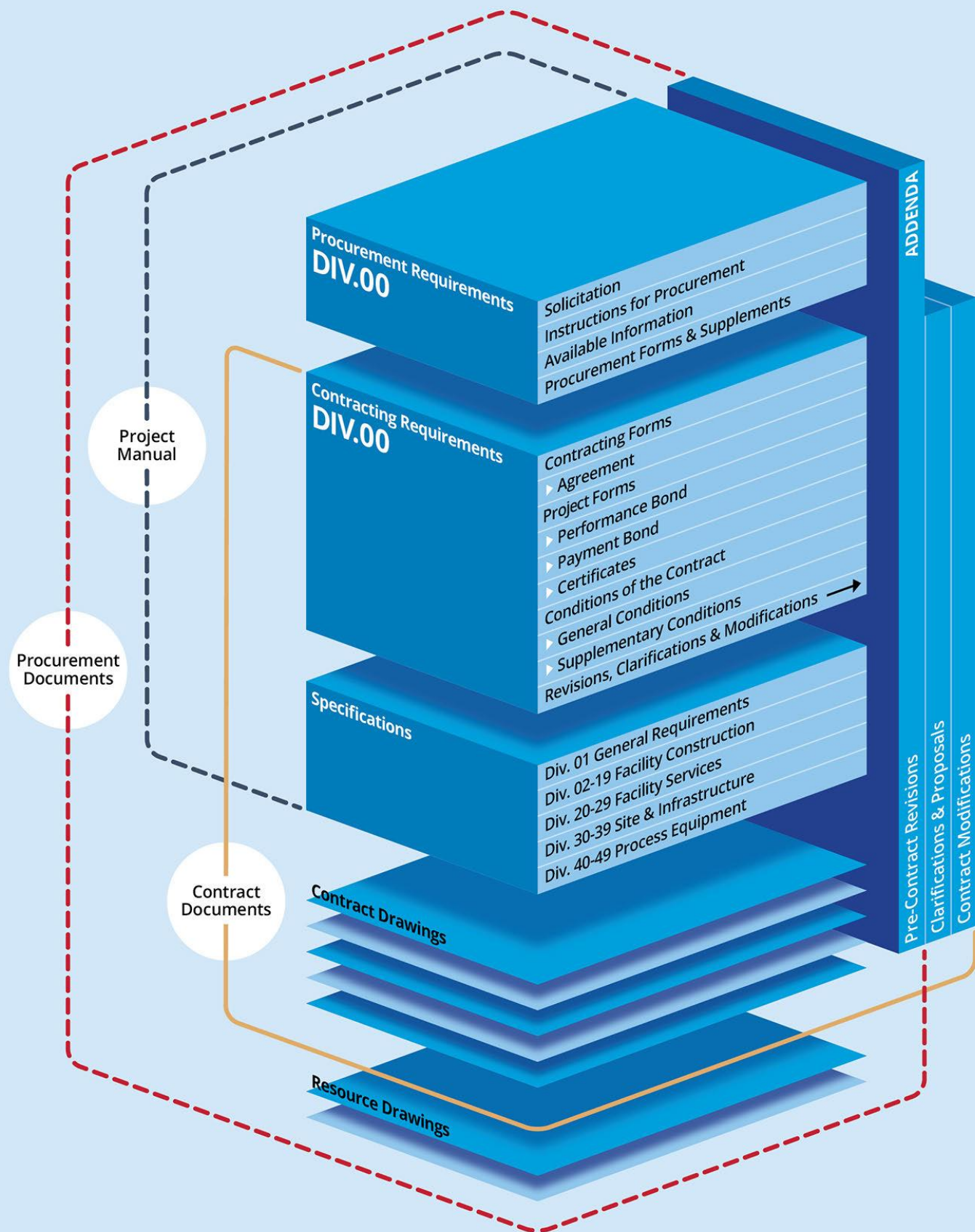
Edit specifications to conform to owner procurement and contract requirements.

PROJECT MANUAL

Understand the distinction between:

- Project Manual.
- Contract Documents.
- Procurement Requirements.

Tip: Blank version provided in the study workbook- fill it out!



Procurement and Contracting Requirements

PROCUREMENT AND CONTRACTING REQUIREMENTS

	DIVISION 00
INTRODUCTORY INFORMATION	00 01 01 Project Title Page
	00 01 05 Certifications Page
	00 01 07 Seals Page
	00 01 10 Table of Contents
	00 01 15 List of Drawing Sheets
	00 01 20 List of Schedules
PROCUREMENT REQUIREMENTS	00 10 00 SOLICITATION
	00 11 13 Advertisement for Bids
	00 11 16 Invitation to Bid
	00 20 00 INSTRUCTIONS FOR PROCUREMENT
	00 22 13 Supplementary Instructions to Bidders
	00 30 00 AVAILABLE INFORMATION
	00 31 13 Preliminary Schedules
	00 31 19 Existing Condition Information
	00 31 32 Geotechnical Data
	00 40 00 PROCUREMENT FORMS AND SUPPLEMENTS
	00 41 00 Bid Forms
	00 43 00 Procurement Form Supplements
	00 43 13 Bid Security Form
	00 45 00 Representations and Certifications

Procurement and Contracting Requirements

CONTRACTING REQUIREMENTS

- 00 50 00 CONTRACTING FORMS AND SUPPLEMENTS
 - 00 52 00 Agreement Forms
- 00 60 00 PROJECT FORMS
 - 00 61 00 Bond Forms
 - 00 62 00 Certificates and Other Forms
- 00 70 00 CONDITIONS OF THE CONTRACT
 - 00 72 00 General Conditions
 - 00 73 00 Supplementary Conditions



Procurement Requirements

Provisions that are stated only in procurement requirements are not enforceable during the administration of the construction contract.

- Procurement requirements **should not** repeat Division 01 provisions.
- Procurement requirements **should** refer to the appropriate Division 01 sections, by number and title.
- Procurement requirements **should** state provisions applicable only during the procurement stage—such as document acquisition and cost, bid security requirements, and bid opening dates.

Owner-Contractor Agreements

The owner-contractor agreement includes by reference all other contract documents.

- Some provisions are supplemented by the provisions of Division 01 sections.
 - Division 01 provisions define the parties' responsibilities in greater detail.

General Conditions

The contract's general conditions govern the work's execution and apply broadly to all sections of the specifications, including those in Division 01.

- The topics usually covered that must be further detailed in Division 01:
 - Property surveys.
 - Temporary utilities and services.
 - Warranties.
 - Progress schedules.
 - Record documents.
 - Submittals.
 - Cutting and patching.
 - Cleaning.
 - Schedule of values.
 - Applications for payment.
 - Closeout procedures.

TIPS! “Say it once and in the right place” is not violated because the requirements are stated in two different levels of detail, without duplication or conflict.”

Supplementary Conditions

Supplementary conditions should not repeat information in the General Conditions or encroach on topics that belong more appropriately in Division 01.

- Supplementary conditions **should** avoid conflicts, omissions, and duplications with Division 01.
- Supplementary conditions **should not** contain general references to Division 01.
 - Exception: A statement establishing the authority of Division 01.

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3B



LEARNING OBJECTIVES

- LO1 Summarize the three-tier hierarchy of general administrative and procedural requirements.
- LO2 Differentiate between requirements that should be covered in Division 01 and requirements that are specific to individual specification sections.
- LO3 Edit specification sections of Divisions 02 through 49 to resolve requirements that overlap with Division 01.

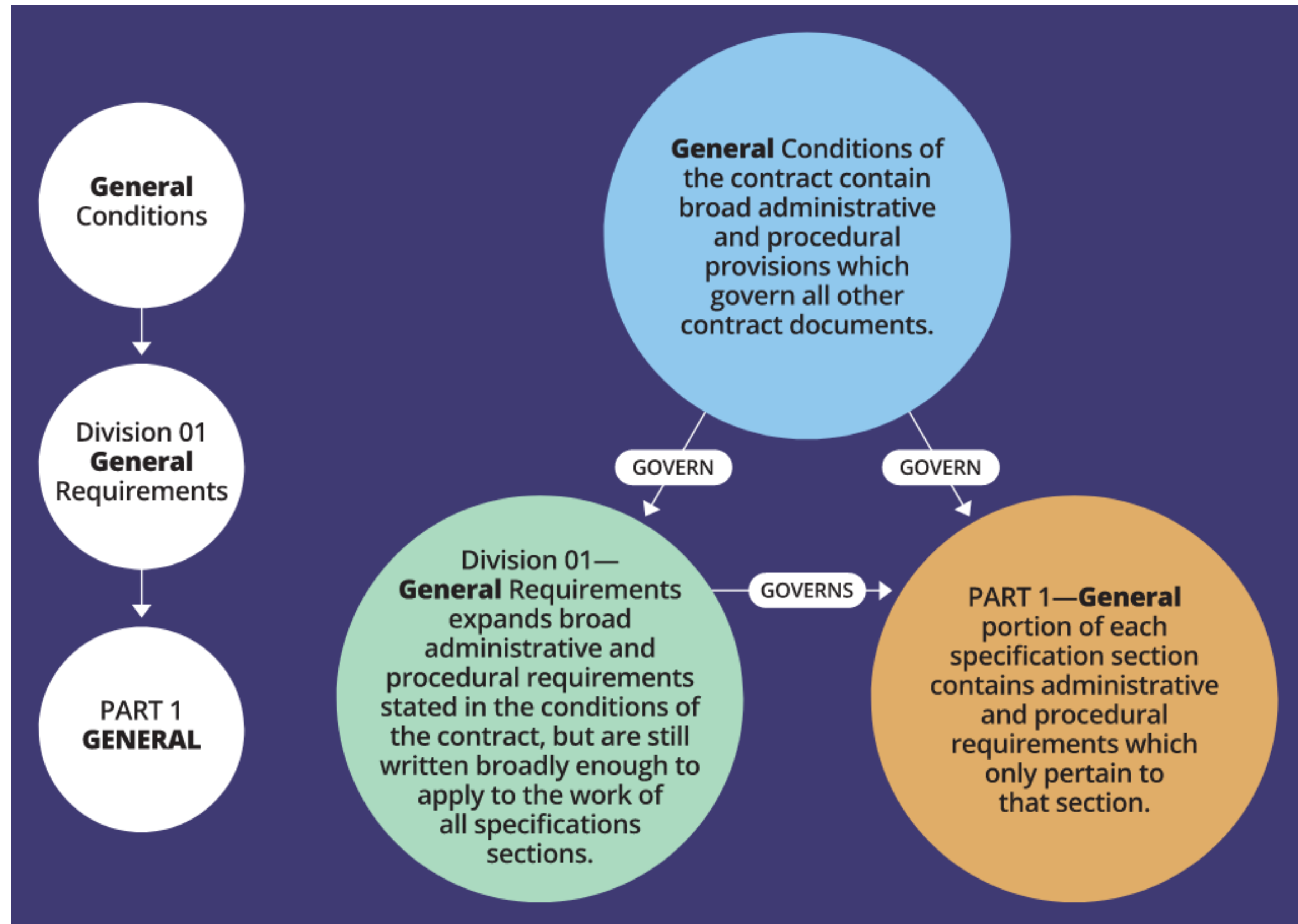
Coordinate Division 01 General Requirements with all other specifications.

Three-Tier Hierarchy

Project requirements become more specific for each successive level of a three-tier hierarchy:

- The general conditions state provisions in broad terms.
- Division 01—General Requirements elaborate on the broad provisions of the conditions of the contract, but it is still written broadly enough to apply to the work of all specification sections.
- PART 1—GENERAL in a specification section becomes very specific in project requirements for that section only.

Three-Tier Hierarchy



Three-Tier Hierarchy

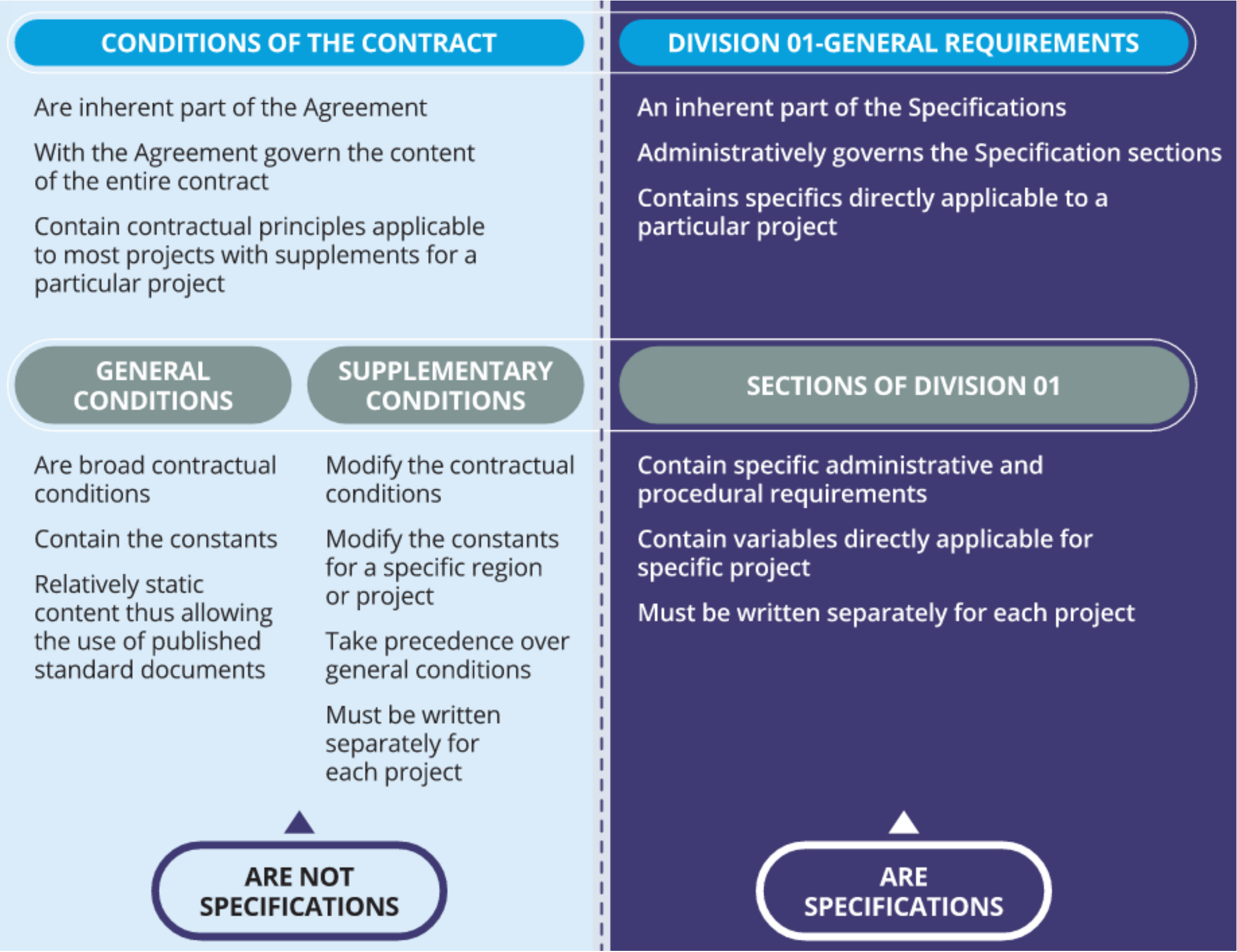
Division 01 specifies the broad administrative and procedural requirements.

The individual specification sections state further requirements and details applicable only to the work or products in that section.

- In Division 01 SectionFormat®:
 - PART 1—GENERAL should contain bulk of administrative and procedural requirements.
 - PART 2—PRODUCTS and PART 3—EXECUTION may include some items related to administrative and procedural requirements.

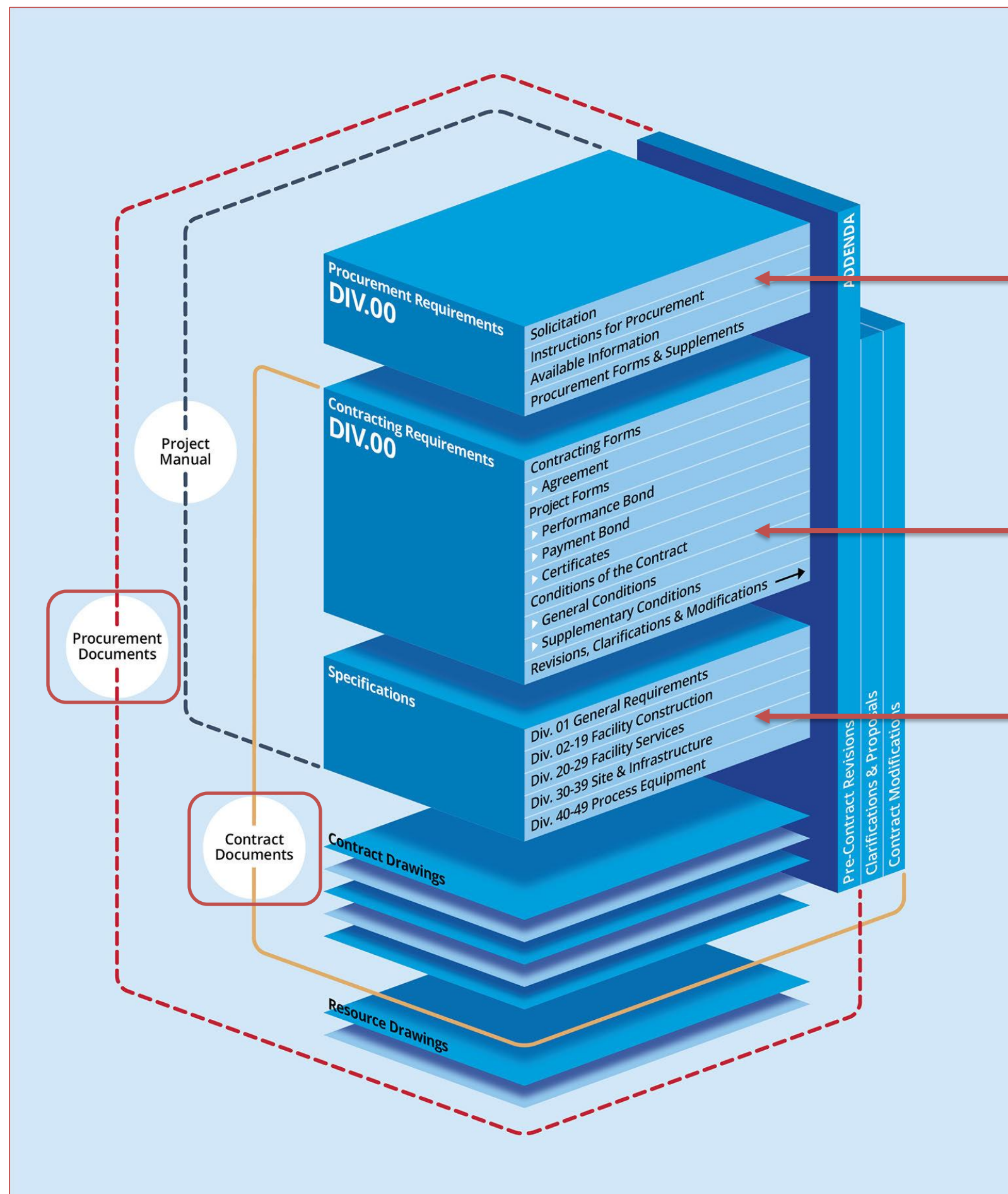
TIPS! “Sections of Division 01—General Requirements govern the work of all sections of the specifications.”

Coordination of Division 01 – General Requirements



Articles in the conditions of the contract are commonly developed in greater detail in Division 01.

- General and supplementary conditions are written in a paragraph style.
- Division 01 is written in the three-part SectionFormat®.



Procurement Requirements
Not Specifications

Contracting Requirements
Not Specifications

Specifications

Coordination of Division 01 – General Requirements

The coordination effort should include the following:

- Distributing a draft of Division 01 to specifications contributors early in project development.
- Preparing a list of requirements from consultants and other contributors on administrative, procedural, and temporary facility and control requirements for specific sections or divisions.
- Comparing this list of requirements with the draft of Division 01.
- Determining which requirements should be covered in Division 01 and which are specific only to individual specification sections.
- Resolving overlapping requirements, omissions, and conflicts.
- Revising the Division 01 draft for review by specification contributors.

TIPS! “The practice of including Basic Requirements or Special Provisions sections in individual divisions is not recommended and may result in conflicts with Division 01.”

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3C



LEARNING OBJECTIVES

- LO1 Identify commonly used Division 01 sections.
- LO2 Organize project-specific requirements in the appropriate Division 01 section.

Incorporate project-specific requirements into Division 01 sections.

Common Division 01 Sections

01 10 00 – Summary

- 01 11 00 - Summary of Work
- 01 12 00 – Multiple Contract Summary
- 01 14 00 – Work Restrictions

01 20 00 – Price and Payment Procedures

- 01 21 00 – Allowances
- 01 22 00 – Unit Prices
- 01 23 00 – Alternates
- 01 24 00 – Value Analysis
- 01 25 00 – Substitution Procedures
- 01 26 00 – Contract Modification Procedures
- 01 29 00 – Payment Procedures

01 30 00 – Administrative Requirements

- 01 31 00 – Project Management and Coordination
- 01 32 00 – Construction Progress Documentation
- 01 33 00 – Submittal Procedures
- 01 35 00 – Special Procedures

01 40 00 – Quality Requirements

Common Division 01 Sections Cont.

01 50 00 – Temporary Facilities and Controls

01 51 00 – Temporary Utilities

01 52 00 – Construction Facilities.

01 53 00 – Temporary Construction

01 54 00 – Construction Aids

01 55 00 – Vehicular Access and parking

01 56 00 – Temporary Barriers and
Enclosures

01 57 00 – Temporary Controls

01 58 00 – Project Identification

01 60 00 – Product Requirements

01 62 00 – Product Options

01 64 00 – Owner-furnished Products

01 65 00 – Product Delivery Requirements

01 66 00 – Product Storage and Handling
Requirements

Common Division 01 Sections Cont.

01 70 00 – Execution and Closeout Requirements

- 01 71 00 – Examination and Preparation
- 01 73 00 – Execution
- 01 74 00 – Cleaning and Waste Management
- 01 75 00 – Starting and Adjusting
- 01 76 00 – Protecting Installed construction
- 01 77 00 – Closeout Procedures
- 01 78 00 – Closeout Submittals
- 01 79 00 – Demonstration and Training

01 80 00 – Performance Requirements

01 81 00 – Facility Performance Requirements

01 82 00 Through 01 89 00 overall performance requirements.

01 90 00 – Life Cycle Activities

- 01 91 00 – Commissioning
- 01 92 00 – Facility Operation
- 01 93 00 – Facility Maintenance
- 01 94 00 – Facility Decommissioning

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3D



LEARNING OBJECTIVES

- LO1 Identify the appropriate section to use when specifying price and payment procedures.
- LO2 Coordinate allowance information between Division 01 and Divisions 02 through 49.
- LO3 Coordinate alternates information between Division 01 and Divisions 02 through 49.
- LO4 Coordinate unit price information between Division 01 and Divisions 02 through 49.

Specify the project measurement and payment procedures.

Price and Payment Procedures

01 20 00 – Price and Payment Procedures

01 21 00 – Allowances

01 22 00 – Unit Prices

01 23 00 – Alternates

01 24 00 – Value Analysis

01 25 00 – Substitution Procedures

01 26 00 – Contract Modification Procedures

01 29 00 – Payment Procedures

Specifying Allowances

The use of allowances in a construction project requires written provisions in several procurement documents.

- Procurement requirements.
- Conditions of the Contract.
- Division 01—General Requirements.
- Individual specification sections for items covered by the allowances.

These documents must state the following:

- Precisely what is included under the allowance.
- Who is to authorize items covered by allowances.
- How costs are adjusted if the actual price, quantity, or time varies from the amount stated.

Specifying Allowances – Conditions of the Contract

The *Allowances* articles in AIA Document A201™, *General Conditions of the Contract for Construction*, and ConsensusDocs 200, *Standard Agreement and General Conditions Between Owner and Constructor (Lump Sum)*, provide cash allowances included in the contract sum.

The *Cost of the Work; Allowances; Unit Price of Work* article in EJCDC® C-700, *Standard General Conditions of the Construction Contract*, provides for cash allowances included in the contract sum.

- Provisions, in all contracts above, limit the cash allowance to the materials and equipment delivered to the site, including taxes.

Specifying Allowances – Specifications

Section 01 21 00—Allowances or the subordinate sections should specify the dollar amount or quantities, as well as administrative and procedural matters relating to handling allowances.

- **Items covered** by each allowance should be identified and may include the product's cost, delivery to site, installation (if applicable), and taxes.
- **Items not covered** by an allowance may include delivery, storage and handling at the site, installation of the product (if applicable), overhead and profit, and other expenses necessary for a complete installation.

Sections in Divisions 02 through 49 affected by allowances should contain an article in PART 1—GENERAL calling attention to allowances' provisions.

- A/E must provide enough information in PART 2 and PART 3 of each section so that bidders know precisely what is covered by the allowance.

Specifying Allowances – Specifications

CONDITIONS OF THE CONTRACT Supplementary Conditions

Delete Paragraph 11.8—Cash Allowances, and substitute the following:

11.8—Allowances: Include in the Contract Sum all allowances stated in the Contract Documents. Allowances include specific monetary sums and quantities of work for certain scheduled items. Refer to Section 01 21 13—Cash Allowances and Section 01 21 19—Quantity Allowances for allowance descriptions and requirements.

SPECIFICATIONS Division 01—General Requirements

SECTION 01 21 13 CASH ALLOWANCES	SECTION 01 21 19 QUANTITY ALLOWANCES
1.06 SCHEDULE OF CASH ALLOWANCES A. Section 04 20 00—Unit Masonry: Include the unit price of \$350.00 per thousand for purchase and delivery of facing brick. Stipulate the estimated quantity on the Bid Form. Include Installation costs in Contract Sum.	1.06 SCHEDULE OF QUANTITY ALLOWANCES A. Section 09 68 00—Carpeting: Provide 200 SY, including purchase, delivery, and installation of Type “A” Sheet Carpet. B. Section 09 68 00—Carpeting: Provide 400 SY, including purchase, delivery, and installation of Type “B” Sheet Tile.
Division 04—Masonry SECTION 04 20 00 UNIT MASONRY	Division 09—Finishes SECTION 09 68 00 CARPETING
1.05 ALLOWANCES A. Provide selected facing brick under cash allowances specified in Section 01 21 13—Cash Allowances.	1.05 ALLOWANCES A. Provide carpet quantities specified under Section 01 21 19—Quantity Allowances.



Specifying Allowances – Specifications

BID FORM

If quantities for the following allowance items vary from the amounts specified in Section 01 21 29—Quantity Allowances, the Contract Sum will be adjusted in accordance with the following unit prices:

ITEM DESIGNATION	UNIT OF MEASURE	UNIT PRICE
1. Tenant Corridor Entrance	Each	\$ _____
2. Corridor Partition	LF	\$ _____

SECTION 01 21 29—QUANTITY ALLOWANCES

1.06 SCHEDULE OF QUANTITY ALLOWANCES

- A. Item No.1 - Tenant Corridor Entrance: Allow a quantity of 55 installed entrances, each to include:
 - 1. Fire-rated hollow-metal frames, Section 08 11 00—Metal Doors and Frames.
 - 2. 1-1/2 hour fire-rated wood doors, 3 feet by 7 feet, Section 08 14 00—Wood Doors, and Section 08 15 00—Plastic Doors.
 - 3. Hardware Set No. 3, Section 08 70 00—Hardware.
 - 4. Doors sign, Section 10 14 00—Identification Specialties.
- B. Item No.2 - Corridor Partition: Allow a quantity of 250 linear feet of installed 8-foot high partition include:
 - 1. 3-5/8-inch, 0.0179-inch-thick steel studs spaced 24 inches on center, with two layers of 5/8-inch Type X gypsum board screw attached to each side, Section 09 21 16—Gypsum Board Assemblies.
 - 2. Tenant side finish: One coat of primer and two coats eggshell latex paint, Section 09 90 00—Painting and Coating.
 - 3. Corridor side finish: Type A vinyl wall covering, Section 09 72 00—Wall Coverings.



Specifying Unit Prices

The requirements and procedures for handling unit prices must be defined in the procurement documents.

- These requirements involve the bid or proposal form and carefully written Division 01 Sections.
 - Both must be coordinated with the applicable sections in Divisions 02 through 49.

Specifying Unit Prices – Conditions of the Contract

Most standard general conditions address unit prices, and these requirements need to be expanded in Division 01. Contract documents include the following paragraphs relating to changes in the work and unit prices:

- AIA Document A201[®] covers unit price adjustments caused by changes in quantities and includes determining the cost or credit to the owner resulting from a change in the work.
- EJCDC[®] C-700 defines the contract documents as including the contractor's bid when listed and attached as an exhibit to the agreement.
 - This document also:
 - Establishes authority for the engineer.
 - Establishes the contract price for unit price work.
 - Points out that estimated quantities are not guaranteed.
 - Stipulates that unit price bids include the contractor's overhead and profit.
 - Provides for claims for additional costs.

Specifying Unit Prices – Specifications

Section 01 22 00—Unit Prices is generally the place for establishing procedural requirements for unit prices. It may either establish or expand upon the following requirements:

- Unit prices include all necessary material, labor, equipment, overhead, profit, and applicable taxes.
- Substantiated measurements of quantities are included with payment applications.
- Quantities outlined in the bid form are estimates based on the work shown on the drawings. Payment is made for work actually performed and measured.
- The final contract sum is adjusted by change order to reflect actual quantities for unit price items. Section must define who is responsible for measuring quantities.

Specifying Unit Prices – Specifications Cont.

Section 01 22 00:

- Covers methods of determining actual quantities for both progress and final payments.
- must be coordinated with the general conditions.
- may include a listing of unit price items showing the item number, designation, unit of measurement, and measurement method.
- Describing unit price items in this section simplifies the bid or proposal form.

If the project contains quantity allowances used in conjunction with unit prices, then either the Level 2 Section 01 21 00—Allowances or the Level 3 Section 01 21 29—Quantity Allowances may contain the following unit price requirement:

- Quantities stated for allowances are estimates for the purpose of equitable bidding and establishing an estimated quantity of work. The owner reserves the right to increase or decrease quantities by a maximum stated amount. The requested unit prices are used to adjust the contract sum to reflect actual quantities.

Specifying Unit Prices – Specifications

BID FORM

SCHEDULE OF PRICES

ITEM NO	DESIGNATION	UNIT OF MEASURE	UNIT OF PRICE	ESTIMATED QUANTITY	TOTAL PRICE
	Refer to Section 01 22 00 - Unit Prices		Dollars/ Cts		Dollars/ Cts
1	Earthwork for Utilities	CY	\$ _____	563	\$ _____
2	10-inch Ductile Iron Pipe	LF	\$ _____	62	\$ _____
3	30-inch Steel Pipe	LF	\$ _____	234	\$ _____
4	30-inch Prestressed Concrete Cycliner Pipe	LF	\$ _____	115	\$ _____
5	30-inch Valve and Vault	EA	\$ _____	2	\$ _____
TOTAL PRICE: _____			(\$ _____)		
(In Words)			(In Numerals)		

Specifying Unit Prices – Specifications

SECTION 01 22 00—UNIT PRICES

1.04 SCHEDULE OF UNIT PRICE ITEMS

- A. Item No. 1 Earthwork Utilities
 - 1. Trench Excavation, select granular backfill, and compaction in accordance with Section 31 23 00—Excavation and Fill.
 - 2. Unit Measure: Cubic yards of backfill compacted in place.
- B. Item No. 2 10-inch Ductile Iron Pipe
 - 1. Pipe and fittings including pressure-testing in accordance with Section 33 10 00—Water Utilities.
 - 2. Unit Measure: Linear feet of pipe installed.
- C. Item No. 3 30-inch Steel Pipe
 - 1. Pipe and fittings including pressure-testing in accordance with Section 33 10 00—Water Utilities.
 - 2. Unit Measure: Linear feet of pipe installed.
- D. Item No. 4 30-inch Pre-stressed Concrete Cylinder Pipe
 - 1. Pipe and fittings including pressure-testing in accordance with Section 33 10 00—Water Utilities.
 - 2. Unit Measure: Linear feet of pipe installed.
- E. Item No. 5 30-inch Valve and Vault
 - 1. Valve, vault, roadway box, frames, and covers in accordance with DPW Standard No. 890.01 and Section 33 10 00—Water Utilities.
 - 2. Unit Measure: Each valve with vault installed.

Specifying Alternates

If alternates are to be used, special provisions must be incorporated in the documents to make them useful.

Procurement Requirements:

- The solicitation should inform bidders or proposers of the request for alternate prices in the invitation for bids.
- Solicitation instructions may contain guidance for preparing alternate bids or proposals and state considerations for evaluation and contract award.
- Bid or proposal forms should clearly identify alternates with spaces for the respective prices.

Specifying Alternates – Conditions of the Contract

Agreement and Conditions of the Contract:

- Executed Agreement: Indicate, as part of the work description, which alternates have been selected by the owner.
- The contract sum must accurately reflect those decisions.
- Modifications of standard general conditions are generally not required.
- Alternates listed in the agreement form become part of the work.

Specifying Alternates – Specifications

Section 01 23 00—Alternates

- Identify each alternate and describe the work changes included in each.
- Refer to individual specification sections affected by the alternates.
- If not shown on the drawings, describe certain areas or portions of the work to clarify the locations of changes necessitated by the incorporation of alternates.

The sections in Divisions 02 through 49 affected by the alternates should contain a coordinating or clarifying statement calling attention to the provisions for alternates.

- Statements should be included in PART 1—GENERAL under the Summary article.

Specifying Alternates

PROCEDURE REQUIREMENTS

Invitation to Bid

Type of Bids: Bids shall be on a stipulated-sum basis of the base contract, and include a separate price for each alternate.

Instructions to Bidders

Each alternate is described is described in the Specifications and is provided for in the Bid Form.

The price of the Bid for each alternate will be the amount to be added to or deducted from the price of the Base Bid if the Owner selects the alternate.

The Owner may accept alternates in any order, regardless of how they are listed, and determine the lowest responsible bidder on the basis of the sum of the base bid plus any selected alternates.

Bid Form

Alternate No.1—Patient Room Televisions:

Add _____ Dollars (\$ _____)
(In Words) (In Numerals)

Specifying Alternates

CONTRACTING REQUIREMENTS

Agreement

The Contractor shall perform all work required by the Contract Documents for TLC Nursing Home at 123 Primrose Lane, Anywhere, USA, including Alternates No. 1, 2, 3 as described in Section 01 23 00—Alternates, of the Specifications.

SPECIFICATIONS

SECTION 01 23 00

1.06 ALTERNATIVE NO. 1—PATIENT ROOM TELEVISIONS

- A. Provide 72 bedside bracket-mounted television sets on the first floor of “A-Wing” as Specified in Section 27 41 19—Portable Audio-Video Equipment.

SECTION 26 61 50

1.04 ALTERNATES

- A. Refer to Section 01 23 00—Alternates, for description of work under this Section affected by alternates.

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3E & 3F



LEARNING OBJECTIVES

- L01 Interpret Section 01 25 00 – Substitution Procedures to determine the requirements for substitution requests.
- L02 Compare a substitution request to Section 01 25 00 – Substitution Procedures to determine acceptability of the submittal.

**Specify substitution requirements and procedures.
Evaluate the acceptability of substitution request submittal.**

Substitutions - Requirements

Section 01 25 00—Substitution Procedures:

- Procurement Requirements: Refer to this section as the basis for the procurement process.
- Procedures may serve both procurement phase and after contract is awarded.
- Specify basic requirements for consideration of the contractor's proposals for substitution of products.
 - Include general rules and procedures for determining whether products are equivalent.
- Specify requirements and procedures for substitution of a specified installer.

Substitutions – During Bidding/Negotiating Phase

SUBSTITUTION REQUEST

(During the Bidding/Negotiating Phase)



PROJECT: _____	SUBSTITUTION REQUEST NUMBER: _____
TO: _____	FROM: _____
RE: _____	DATE: _____
	A/E PROJECT NUMBER: _____
	CONTRACT FOR: _____

SPECIFICATION TITLE: _____	DESCRIPTION: _____
SECTION: _____	ARTICLE/PARAGRAPH: _____

PROPOSED SUBSTITUTION: _____		
MANUFACTURER: _____	ADDRESS: _____	PHONE: _____
TRADE NAME: _____	MODEL NO.: _____	

Attached data includes product description, specifications, drawings, photographs, and performance and test data adequate for evaluation of the request; applicable portions of the data are clearly identified.
Attached data also includes a description of changes to the Contract Documents that the proposed substitution will require for its proper installation.

The Undersigned certifies:

- Proposed substitution has been fully investigated and determined to be equal or superior in all respects to specified product.
- Same warranty will be furnished for proposed substitution as for specified product.
- Same maintenance service and source of replacement parts, as applicable, is available.
- Proposed substitution will have no adverse effect on other trades and will not affect or delay progress schedule.
- Proposed substitution does not affect dimensions and functional clearances.
- Payment will be made for changes to building design, including A/E design, detailing, and construction costs caused by the substitution.

SUBMITTED BY: _____
SIGNED BY: _____
FIRM: _____
ADDRESS: _____
TELEPHONE: _____

A/E's REVIEW AND RECOMMENDATION:

☐ Approve Substitution—Make submittals in accordance with Specification Section 01 33 00 Submittal Procedures.

☐ Approve Substitution as noted—Make submittals in accordance with Specification Section 01 33 00 Submittal Procedures.

☐ Reject Substitution—Use specified materials.

☐ Substitution Request received too late—Use specified materials.

SIGNED BY: _____	DATE: _____
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SUPPORTING DATA ATTACHED: ☐ Drawings ☐ Product Data ☐ Samples ☐ Tests ☐ Reports ☐ _____

Page _____ of _____

CSI Form 1.5C (August 2020 version)

Substitutions – After the Bidding/Negotiating Phase

SUBSTITUTION REQUEST

(After the Bidding/Negotiating Phase)



PROJECT: _____

TO: _____

RE: _____

SUBSTITUTION REQUEST NUMBER: _____

FROM: _____

DATE: _____

A/E PROJECT NUMBER: _____

CONTRACT FOR: _____

SPECIFICATION TITLE: _____

SECTION: _____ PAGE: _____

DESCRIPTION: _____

ARTICLE/PARAGRAPH: _____

PROPOSED SUBSTITUTION: _____

MODEL NO.: _____ PRODUCT AGE: ☐ New Product ☐ 1-4 years old ☐ 5-10 years old ☐ More than 10 years old

MANUFACTURER: _____

ADDRESS: _____ PHONE: _____

INSTALLER: _____

ADDRESS: _____ PHONE: _____

DIFFERENCES BETWEEN PROPOSED SUBSTITUTION AND SPECIFIED PRODUCT: _____

☐ Point-by-point comparative data attached — REQUIRED BY A/E

REASON FOR NOT PROVIDING SPECIFIED ITEM: _____

SIMILAR INSTALLATION: _____

PROJECT: _____ ARCHITECT: _____

ADDRESS: _____ OWNER: _____

DATE INSTALLED: _____

EXPLAIN HOW PROPOSED SUBSTITUTION WILL AFFECT OTHER PARTS OF WORK: _____

SUBSTITUTION WILL:

SAVE OWNER: \$ _____ CHANGE CONTRACT TIME (SPECIFY DAYS ADDED OR SUBTRACTED): _____

SUPPORTING DATA ATTACHED: ☐ Drawings ☐ Product Data ☐ Samples ☐ Tests ☐ Reports ☐ _____

CONTINUE ON NEXT PAGE

Page _____ of _____

CSI Form 13.1A (February 2021 version)

Substitutions – After the Bidding/Negotiating Phase

SUBSTITUTION REQUEST (After the Bidding/Negotiating Phase— Continued)



By signing this form, the undersigned represents that:

- The proposed substitution:
 - Will perform the same as the specified product;
 - Has the same or more extensive warranties as the specified product;
 - Requires the same or less maintenance as the specified product;
 - Has as many or more sources of replacement as the specified product;
 - Will not affect dimensions or functional clearances in this Project; and
 - Will not adversely affect other trades or delay the progress schedule for this Project.
- The cost data in this form is complete. The undersigned will, if the proposed substitution is accepted and is later found to have directly caused additional costs (e.g., changes to building design, A/E design, detailing, construction costs), pay those costs.
- The undersigned will, if the proposed substitution is accepted, coordinate, install, and change the Work as necessary.

SUBMITTED BY: _____

SIGNED BY: _____

FIRM: _____

ADDRESS: _____

TELEPHONE: _____

☐ Attachments

A/E'S REVIEW AND RECOMMENDATION:

- ☐ Substitution approved—Make submittals in accordance with Specification Section 01 33 00 Submittal Procedures and prepare Change Order.
- ☐ Substitution approved as noted—Make submittals in accordance with Specification Section 01 33 00 Submittal Procedures and prepare Change Order.
- ☐ Substitution rejected—Use specified materials.
- ☐ Substitution Request received too late and is rejected—Use specified materials.

SIGNED BY: _____

DATE: _____

OWNER'S REVIEW AND RECOMMENDATION:

- ☐ Substitution approved—Make submittals in accordance with Specification Section 01 33 00 Submittal Procedures and prepare Change Order.
- ☐ Substitution approved as noted—Make submittals in accordance with Specification Section 01 33 00 Submittal Procedures and prepare Change Order.
- ☐ Substitution rejected—Use specified materials.

SIGNED BY: _____

DATE: _____

ADDITIONAL COMMENTS:

☐ Contractor ☐ Subcontractor ☐ Supplier ☐ Manufacturer ☐ A/E

Page _____ of _____

CSI Form 13.1A (February 2021 version)

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3.6



LEARNING OBJECTIVES

LO1 Identify the appropriate section to use when specifying submittal requirements.

Coordinate submittal requirements between Division 01 and Divisions 02-49.

Specify submittal requirements and procedures

Submittals – General Requirements

Section 01 33 00—Submittal Procedures:

- Sets general submittal requirements from contractor.
- Defines submittals schedule requirements.
- Specifies requirements for:
 - Shop drawings.
 - Product data.
 - Samples.
 - Sustainability.
- Addresses submittal numbering, formatting (cover, page size), sample quantities, submittal distribution, review time.

Submittals – Specification Coordination

Section 01 33 00—Submittal Procedures:

- Do not specify submittal types not used by the project.
- Do not duplicate specification requirement sin 01 33 00 and Divisions 02-49.
- Section 01 33 00 – Submittal Procedures:
 - Contains general requirements.
- Divisions 02-49:
 - Identify what materials and systems require which type of submittal.
 - Provide atypical submittal requirements, such as a special number of samples.
- Section 01 33 00 and Divisions 02-49 complement each other.

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3G



LEARNING OBJECTIVES

LO1 Interpret Section 01 26 00 – Contract Modification Procedures to determine the requirements for a request for information (RFI).

Specify RFI requirements and procedures.

Contract Modification Procedures

Section 01 26 00—Contract Modification Procedures:

- Provide a method to allow the contractor or the owner to request clarification about an item of work insufficiently described or detailed in the contract documents.
 - Allow A/E to respond with a clarification that does not require a change to the contract sum or time.
- Specify the modification procedures to be followed and the data required to process contract modifications and substantiate claims for extra time and costs.

Contract Modification Procedures

Section 01 26 00—Contract Modification Procedures:

- Stipulate the required types of forms to be used by the contractor and A/E for requesting contract modifications and for issuing accepted contract modifications.
 - Include in the project manual a copy of a standardized request for information (RFI) form with space for requesting an interpretation and space for a response.

Contract Modification Procedures - RFI

REQUEST FOR INFORMATION



PROJECT: _____

TO: _____

RE: _____

R.F.I. NUMBER: _____

FROM: _____

DATE: _____

A/E PROJECT NUMBER: _____

CONTRACT FOR: _____

SPECIFICATION SECTION: _____

PARAGRAPH: _____

DRAWING REFERENCE: _____

DETAIL: _____

REQUEST: _____

SIGNED BY: _____

DATE: _____

RESPONSE:

☐ Attachments

RESPONSE FROM: _____

TO: _____

DATE REC'D: _____

DATE REC'D: _____

SIGNED BY: _____

DATE: _____

COPIES:

☐ Owner

☐ Consultants

☐ _____

☐ _____

☐ _____

☐ _____

☐ File

Page _____ of _____

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[illegible]

PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS

COMPETENCY 3H



LEARNING OBJECTIVES

- LO1 Determine circumstances for which delegated design is appropriate.
- LO2 Identify where in the documents delegated design should be specified.

Evaluate and specify delegated design (e.g., application, scope, process).

Delegated Design

There are some building components that are not fully designed or engineered by A/E.

- Primary reasons for this exception:
 - Building component has unique design requirements with which only the product manufacturer would be familiar.
 - Manufacturer has the capacity to design and engineer as part of their normal service.

Delegated Design - Specifications

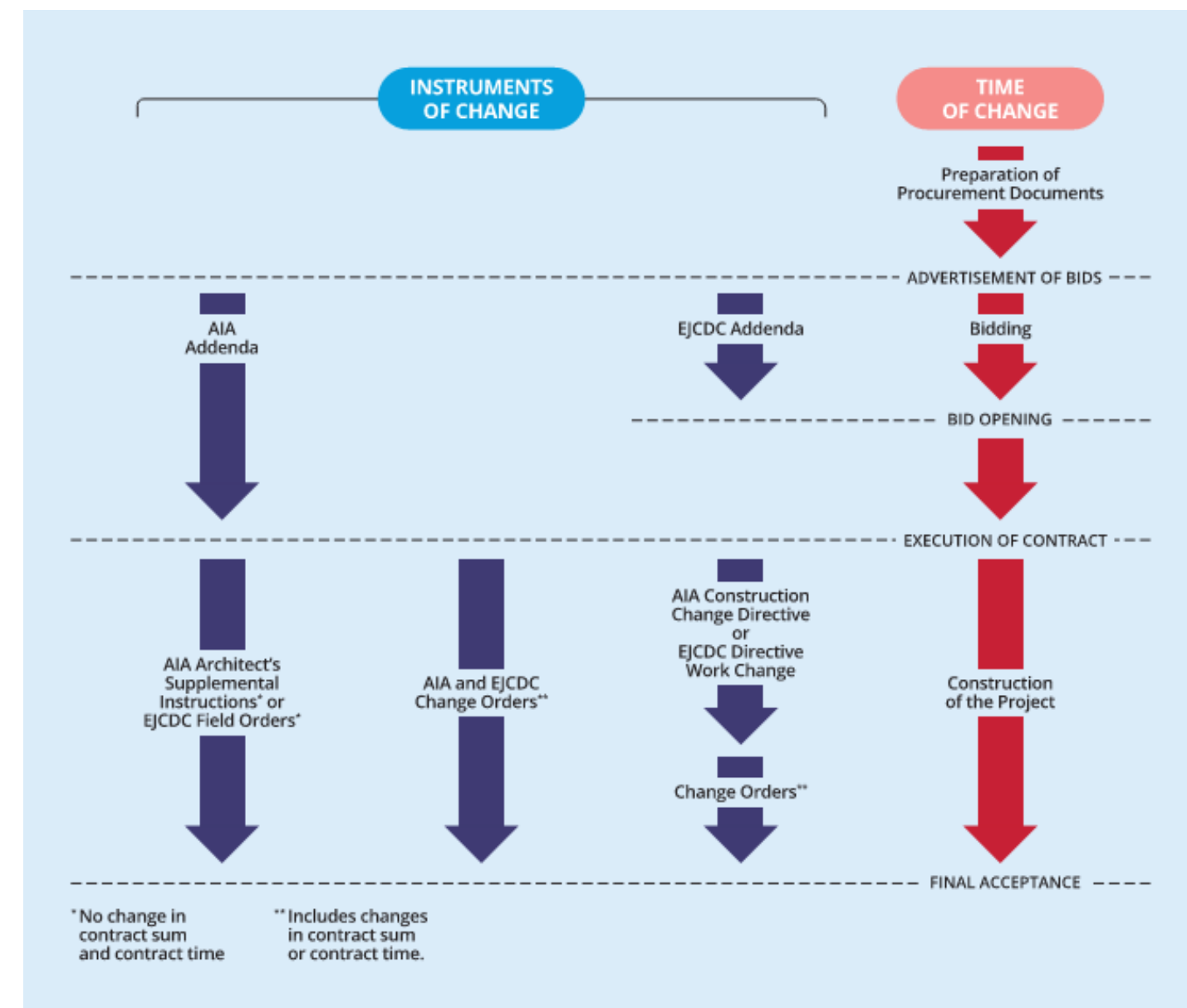
A/E specifies that the responsibility for the design and engineering is delegated to the contractor.

- Include requirements for delegated design and engineering in the respective specification section.
 - There are two options in response to this requirement:
 - Contractor will retain a properly licensed A/E to design and engineer the installation of the material, product, system, or equipment.
 - Subcontractor or supplier will either have A/E on staff or will obtain the services of an independent A/E to perform the work.
 - Manufacturer or subcontractor will submit drawings and engineering calculations or certifications as submittals through the contractor.

Chapter 4 Modifications

When do modifications happen?

- Procurement
 - Addenda
- Contract
 - AIA
 - Change Order, Construction change directive, Minor changes to the work
 - EJCDC
 - Change Order, Work change directive, Field Order, Written interpretation or clarification
- DBIA
 - Change Order, Work change directive, Minor changes
- Other
 - Change Order
 - Proposal Request



Chapter 5 Specifying for Purchase of Goods



Uniform Commercial Code, UCC

- Protects the buyer.
- Protects the seller.

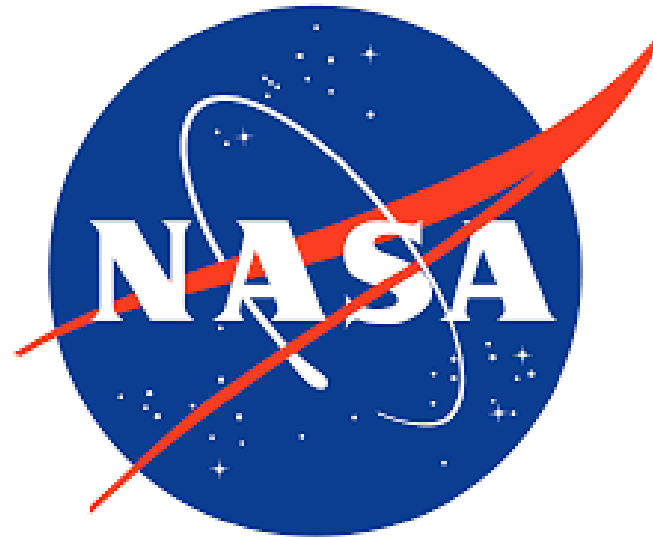
Purchasing documents

- AIA A151 & A152
- EJCDC P-200, P-520, P-700, P-800
- ConsensusDocs 702, 702.1, 703

Terms to remember

- Buyer, seller, goods, services

Chapter 6 Federal Agencies



Federal Acquisition Regulation, FAR

- Prepared, issued, and maintained jointly by:
 - DoD
 - NASA
 - GSA
- Be aware of the acronyms in this chapter

Chapter 6 Federal Agencies

Agency Name	Procurement and Contracting Requirements		Divisions 01–49			
	Agency Supplies	Agency Supplements	A/E Supplies	Agency Supplies Guide Specifications	Agency Approves A/E Specifications	Agency Supplements A/E Specifications
COE	×			×		
EPA		×				×
FmHA	×				×	
FAA		×			×	
FBOP	×		×	×		
FHWA			×			×
FHA	×			×		
FS	×			×		
GSA	×					
HUD		×			×	
NASA	×			×		
NAVFAC	×			×		
NIH		×			×	
NPS	×				×	
SCS	×				×	×
USPS	×		×	×		
VA	×			×		

Acronyms for the definition of abbreviations used in this figure.

COE	Department of the Army, Corps of Engineers	FS	Forest Service	NIH	National Institutes of Health
EPA	Environmental Protection Agency	GSA	General Services Administration	NPS	National Park Service (agency of the Dept. of Interior)
FmHA	Farmers Home Administration	HUD	Department of Housing and Urban Development	SCS	Soil Conservation Service
FAA	Federal Aviation Administration	NASA	National Aeronautics and Space Administration	USPS	United States Postal Service
FBOP	Federal Bureau of Prisons	NAVFAC	Naval Facilities Engineering Command	VA	Veterans Administration
FHWA	Federal Highway Administration				
FHA	Federal Housing Authority				

*GSA uses a commercially available master guide specification system.

RECAP: PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS



COMPETENCIES

- 3A Edit specifications to conform to owner procurement and contract requirements.
- 3B Coordinate Division 01 General Requirements with all other specifications.
- 3C Incorporate project-specific requirements into Division 01 sections.
- 3D Specify the project measurement and payment procedures.
- 3E Specify substitution requirements and procedures.

RECAP: PROCUREMENT, CONTRACTING, & GENERAL REQUIREMENTS



COMPETENCIES

- 3F Evaluate the acceptability of substitution request submittal.
- 3G Specify RFI requirements and procedures.
- 3H Evaluate and specify delegated design (e.g., application, scope, process).

QUESTIONS?

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