	Title: YALE OFFICE OF FACILITIES PROCEDURE MANUAL Chapter: 01 – Substitution Procedures Division: 01 25 00 Standards	Section: <b>01 21 00</b> Requirements for Division 1
		Date: July 2025
		Author: Program Support & Technical Services

## GENERAL

### Summary


1. Section includes administrative and procedural requirements for substitutions.

### Definitions


2. Substitutions: Changes in products, materials, equipment, and methods of construction from those required by the Contract Documents.
  - a. Substitutions for Cause: Changes proposed by Contractor that are required due to changed Project conditions, such as unavailability of product, regulatory changes, or unavailability of required warranty terms.
  - b. Substitutions for Convenience: Changes proposed by Contractor or Owner that are not required to meet other Project requirements but may offer advantage to Contractor or Owner.

### Action Submittals

3. Substitution Requests: Submit documentation identifying product or fabrication or installation method to be replaced. Include Specification Section number and title and Drawing numbers and titles.
  - a. Substitution Request Form: Use form acceptable to Architect.
  - b. Documentation: Show compliance with requirements for substitutions and the following, as applicable:
    1. Statement indicating why specified product or fabrication or installation method cannot be provided, if applicable.
    2. Coordination of information, including a list of changes or revisions needed to other parts of the Work and to construction performed by Owner and separate contractors that will be necessary to accommodate proposed substitution.

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3. Detailed comparison of significant qualities of proposed substitutions with those of the Work specified. Include annotated copy of applicable Specification Section. Significant qualities may include attributes, such as performance, weight, size, durability, visual effect, sustainable design characteristics, warranties, and specific features and requirements indicated. Indicate deviations, if any, from the Work specified.
  4. Product Data, including drawings and descriptions of products and fabrication and installation procedures.
  5. Samples, where applicable or requested.
  6. Certificates and qualification data, where applicable or requested.
  7. List of similar installations for completed projects, with project names and addresses as well as names and addresses of architects and owners.
  8. Material test reports from a qualified testing agency, indicating and interpreting test results for compliance with requirements indicated.
  9. Research reports evidencing compliance with building code in effect for Project.
  10. Detailed comparison of Contractor's construction schedule using proposed substitutions with products specified for the Work, including effect on the overall Contract Time. If specified product or method of construction cannot be provided within the Contract Time, include letter from manufacturer, on manufacturer's letterhead, stating date of receipt of purchase order, lack of availability, or delays in delivery.
  11. Cost information, including a proposal of change, if any, in the Contract Sum.
  12. Contractor's certification that proposed substitution complies with requirements in the Contract Documents, except as indicated in substitution request, is compatible with related materials and is appropriate for applications indicated.
  13. Contractor's waiver of rights to additional payment or time that may subsequently become necessary because of failure of proposed substitution to produce indicated results.
- c. Architect's Action: If necessary, Architect will request additional information or documentation for evaluation within seven days of receipt of a request for substitution. Architect shall review substitution with Yale prior to notifying Construction Manager of acceptance or rejection of proposed substitution within 15 days of receipt of request, or seven days of receipt of additional information or documentation, whichever is later.
1. Forms of Acceptance: Change Order, Construction Change Directive, or Architect's Supplemental Instructions for minor changes in the Work.
  2. Use product specified if Architect does not issue a decision on use of a proposed substitution within time allocated.

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## Quality Assurance


4. Compatibility of Substitutions: Investigate and document compatibility of proposed substitution with related products and materials. Engage a qualified testing agency to perform compatibility tests recommended by manufacturers.

## Procedures


5. Coordination: Revise or adjust affected work as necessary to integrate work of the approved substitutions.
  - a. When the Specifications permit a choice among named products, materials or equipment, the Bidder must indicate which are included in its bid.
  - b. A Bidder who wishes to propose a Substitution must submit a bid that is fully responsive as to proposed specified products, materials and equipment, and shall separately and conspicuously identify proposed Substitution as a voluntary Alternate.

## Substitutions

6. Substitutions for Cause: Submit requests for substitution immediately on discovery of need for change, but not later than 15 days prior to time required for preparation and review of related submittals. Contractor shall be responsible for all costs and schedule impacts if substitution change is a direct result of Contractor's failure to secure the material and provide submittals in a timely fashion according to the project schedule.
  - a. Conditions: Architect will consider Contractor's request for substitution when the following conditions are satisfied. If the following conditions are not satisfied, Architect will return requests without action, except to record noncompliance with these requirements:
    1. Requested substitution is consistent with the Contract Documents and will produce indicated results.
    2. Substitution request is fully documented and properly submitted.
    3. Requested substitution will not adversely affect Contractor's construction schedule.
    4. Requested substitution has received necessary approvals of authorities having jurisdiction.
    5. Requested substitution is compatible with other portions of the Work.
    6. Requested substitution has been coordinated with other portions of the Work.
    7. Requested substitution provides specified warranty.

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8. If requested substitution involves more than one contractor, requested substitution has been coordinated with other portions of the Work, is uniform and consistent, is compatible with other products, and is acceptable to all contractors involved.
  9. Requested substitution does not require extensive revisions to the design or Contract Documents that would precipitate a need for extended services from Architect or Architect's Consultants.
7. Substitutions for Convenience: Architect will consider requests for substitution if received within 60 days after commencement of the Work. Requests received after that time may be considered or rejected at discretion of Architect.
- a. Conditions: Architect will consider Contractor's request for substitution when the following conditions are satisfied. If the following conditions are not satisfied, Architect will return requests without action, except to record noncompliance with these requirements:
    1. Requested substitution offers Owner a substantial advantage in cost, time, energy conservation, or other considerations, after deducting additional responsibilities Owner must assume. Owner's additional responsibilities may include compensation to Architect for redesign and evaluation services, increased cost of other construction by Owner, and similar considerations.
    2. Requested substitution does not require extensive revisions to the design or Contract Documents.
    3. Requested substitution is consistent with the Contract Documents and will produce indicated results.
    4. Substitution request is fully documented and properly submitted.
    5. Requested substitution will not adversely affect Contractor's construction schedule.
    6. Requested substitution has received necessary approvals of authorities having jurisdiction.
    7. Requested substitution is compatible with other portions of the Work.
    8. Requested substitution has been coordinated with other portions of the Work.
    9. Requested substitution provides specified warranty.
    10. If requested substitution involves more than one contractor, requested substitution has been coordinated with other portions of the Work, is uniform and consistent, is compatible with other products, and is acceptable to all contractors involved.

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**PRODUCTS (NOT USED)**

**EXECUTION (NOT USED)**

**END OF SECTION**