

**COLORADO DEPARTMENT OF TRANSPORTATION**
**DBE Participation Plan Modification Request  
(CDOT Form 1420)**
**Section A. Prime Contractor and Project Information**

1. Project S/A No. or PCN Number (5 digit #):		2. FHWA Project #, Subaward Agreement # from COTRAMS (FTA contracts), or PO # (for CM/GC-CM contracts):	
3. Project Name:		4. Name of Prime Contractor:	
5. Prime Contractor's Contact Name:		6. Prime Contractor's Contact Title:	
7. Prime Contractor's Contact Email:		8. Prime Contractor's Contact Phone Number:	
9. Applicable Small Business Goals (To be completed ONLY for FHWA-funded Design-Build contracts)		DBE Design Goal  DBE Construction Goal  Applicable Contract Year: (July 1,                      - June 30,                      )	

**Section B. Contract Summary to Date (not including this request)**

10. Original Contract Amount:		11. Total Change Orders (to date):	
12. Total Other Adjustments (to date):		13. Adjusted Contract Amount (applicable to goal):	
14. Goal (to date):	\$                      %	15. Commitment (to date):	\$                      %
16. Participation (to date):	\$                      %		

**Section C. Request for Approval** Attach supporting documentation and additional pages as necessary.

 17. Reason(s) for modification (check all that apply) **and complete the explanation(s) of request in Box 18.**

Termination (Attach copy of notice to DBE.)

Reduction (Attach copy of notice to DBE.)

Substitution (up to the contract goal) (Explain in Section 18b below.)

New Commitment to any unperformed work (Attach CDOT Form 1415.)

Increase the amount of existing Commitment for any unperformed work (Attach revised CDOT Form 1415.)

Recapture of prior Race-Neutral Participation (DBE participation that was not a part of a DBE Commitment)

Contract Modification Orders

New Commitment to any unperformed work (Attach CDOT Form 1415.)

Increase the amount of existing Commitment for any unperformed work (Attach revised CDOT Form 1415.)

Utilizing other Eligible Participation on the Contract as part of Good Faith Efforts pursuant to this Section.

New Commitment (Attach CDOT Form 1415.)

 Modification of Annual Utilization Plan - **to be selected ONLY for FHWA-funded Design-Build contracts**

**COLORADO DEPARTMENT OF TRANSPORTATION****DBE Participation Plan Modification Request  
(CDOT Form 1420)****Section C. Request for Approval (continued...)** Attach supporting documentation and additional pages as necessary.

18. Explanation of Request -- Within this explanation, include the commitment to date and participation to date for each DBE included in this request and reference any supporting data provided.

a) In order to modify the Commitment, either through a Termination or Reduction, list the reason(s) for the **good cause**.

b) When a Substitution is required (after a Termination or Reduction is approved), include a description of how the Contractor will substitute DBE participation for the original DBE Commitment (up to the contract goal). Include the participation to date and Commitment to date for the DBE that is being substituted. For the recapture of prior Race-Neutral Participation (DBE participation that was not a part of a DBE commitment), include the name of the DBE firm.

c) All other explanation of requests should be included here.

**Section D. Prime Contractor Signature** By signing this form, the Contractor certifies under penalty or perjury, and other applicable state and/or federal laws that the statements appearing on this form are true and correct.

19. Prime Contractor Signature:

20. Date:

**Section E. Determination**

21. Project Owner Representatives (CDOT or Subrecipient/Local Agency):

a. Title	b. First & Last Name	c. Signature	d. Date	e. Determination
CDOT Region Civil Rights Office				Recommend for Approval
				Recommend for Rejection
Project Engineer/Manager				Approve
				Reject

22. Comments: