

Small Business Participation Plan Modification Request (CDOT Form 1420)

Form Instructions

Section A: Prime Contractor and Project Information

1. Project (S/A) Number or PCN Number (5 digit #)– list the project CDOT subaccount number (ex: 12345) or PCN Number
2. FHWA Project # or Subaward Agreement # from COTRAMS (FTA projects) – For FHWA-funded projects, list the federal project number. This is the hyphenated alpha numeric code provided in the announcement. (ex. NHPP-0001-003). For FTA projects, list the Subaward Agreement # from COTRAMS.
3. Project Name – enter the name of the project
4. Name of Prime Contractor – enter the name of the Prime Contractor making the request
5. Prime Contractor's Contact Name – enter the first and last name of the Prime Contractor contact completing the modification request
6. Prime Contractor's Contact Title – enter the title of the Prime Contractor contact in A5
7. Prime Contractor's Contact Email - enter the email address of the Prime Contractor contact in A5
8. Prime Contractor's Contact Phone Number – enter the telephone number of the Prime Contractor contact in A5
9. Applicable Small Business Goals (for FHWA-funded Design-Build projects) – select the project goal and enter the applicable contract year that the modification request is applicable to

Section B: Contract Summary To Date – the information completed in this section SHOULD NOT include amounts for this modification request

1. Original Contract Amount – enter the amount of the original contract applicable to the contract goal (for FHWA-funded Design-Build projects, for the goal selected in A9)
2. Total Change Orders (*to date*) – enter the amount of change orders that have been issued to date that adjusted the original contract amount applicable to the contract goal (for FHWA-funded Design-Build projects, for the goal selected in A9).
3. Total Other Adjustments (*to date*) – enter the amount of other adjustments that may adjust the contract amount applicable to the contract goal (for FHWA-funded Design-Build projects, for the goal selected in A9).
4. Adjusted Contract Amount – the amount (as adjusted) that the contract goal is applied to (prior to this request)
5. Goal (*to date*) – enter the contract goal (%) and the dollar amount as calculated by multiplying the goal % to the Adjusted Contract Amount (B13) (for FHWA-funded Design-Build projects, for the goal selected in A9).
6. Commitment (*to date*) – enter the dollar value of the commitment made by the Contractor to date applicable to the contract goal and then calculate the % associated with that commitment by dividing the Commitment \$ by the Adjusted Contract Amount (B13)
7. Participation (*to date*) – enter the amount of payments made to date towards the contract goal (for FHWA-funded Design-Build projects, for the goal selected in A9) and calculate the % of participation by dividing the Participation \$ by the Adjusted Contract Amount (B13)

Section C: Request for Approval

1. Reason(s) for modification – check all that apply for the reason of the modification request

Termination (attach copy of notice to DBE)

Reduction (attach copy of notice to DBE)

Substitution

New Commitment (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

Contract Modification Orders

- New Commitment to any unperformed work (Attached CDOT Form 1415.)
- Increase the amount of existing Commitment for any unperformed work (Attach revised CDOT Form 1415).
- Recapture the prior Race-Neutral Participation (DBE participation that was not a part of the DBE Commitment)

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

2. Explanation of Request – within this explanation of request, 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. Refer to the contract’s DBE Standard Specifications for Road and Bridge Construction section 5. Commitment Modifications (a) Good Cause Requirement.
 - 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 – this section is to be completed by the Prime Contractor

1. Prime Contractor Signature – enter the signature of the Prime Contractor representative in A5.
2. Date – the date of the signature entered in D19

Section E: Determination

1. Project Owner Representatives (CDOT or Subrecipient/Local Agency)
 - a. Titles – the CDOT Region Civil Rights Project Specialist and Project Manager will complete their respective information here
 - b. First & Last Name – enter the first and last name of the respective CDOT Region Civil Rights Project Specialist and Project Manager Representative
 - c. Signature - enter the signature of the respective CDOT Region Civil Rights Project Specialist and Project Manager
 - d. Date - enter the date of the signature of the respective CDOT Region Civil Rights Project Specialist and Project Manager
 - e. Determination – Enter the determination of the respective CDOT Region Civil Rights Project Specialist and Project Manager
2. Comments – the CDOT representatives will provide any comments that are deemed applicable to the request and final determination rendered