

# 11-2 Complete and Submit Form 1420 for Termination, Reduction, or Substitution and Add Additional DBE Participation (Form 1415), if applicable (Prime Contractor)



## Details

### Responsible Parties

- Prime Contractor

### Revision Date of this Document

June 2025

### Document Owner

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## Procedure Objective

This document is intended to assist the Prime Contractor with completing a CDOT Form 1420 to request a termination, reduction, or substitution for any applicable DBEs that have a commitment on a project and to make a new DBE commitment to the utilization plan, if required.

## Additional Information

There are a number of specific processes that shall be followed in order for a commitment modification to be approved. These steps are outlined in the DBE Standard Special Provision (Section 5: Commitment Modifications). Any deviation from these steps may result in the requested modification not being approved and ultimately a disincentive applied to the contract. A termination or reduction of a commitment will not be approved unless the Prime Contractor has good cause to modify the commitment. The Prime Contractor shall notify the DBE in writing of the contractor's intent to terminate or reduce the commitment, and the underlying reason(s) before submitting the CDOT Form 1420 requesting the proposed commitment modification. The Prime Contractor shall provide the DBE at least five days to respond to the notice and inform the prime of the reasons, if any, why the DBE objects to the proposed commitment modification. The Prime Contractor shall wait the full five day response period before submitting the CDOT Form 1420 to CDOT. The Prime Contractor is not required to provide the five days written notice in cases where the DBE has provided written notice that they are withdrawing from their subcontract or purchase order. In these instances, the written notification of withdrawal shall be provided with the CDOT Form 1420 submission. The Prime Contractor may submit the CDOT Form 1420 for a termination/reduction and substitution concurrently, however, the substitution is contingent upon the termination or reduction being approved.

# System Procedures

1. Download the CDOT Form 1420 from the CDOT Forms Catalog at <https://www.codot.gov/about/forms>.

## CDOT Forms Catalog

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Forms can be located by scrolling through the list or by using the search/filter tiles for the Program owner of the form, the Form Number, or the Form Title. Once located click on the File Hyperlink which will take you to the form.

Program ▾	Search by Form Number ▾	Form Title ▾
Program ▾	Form Number	Form Title
File Hyperlink		

2. Complete Section A of the CDOT Form 1420.

<b>COLORADO DEPARTMENT OF TRANSPORTATION</b>			
<b>DBE PARTICIPATION PLAN MODIFICATION REQUEST</b>			
<b>(CDOT Form 1420)</b>			
<b>Section A. Prime Contractor and Project Information</b>			
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)		<input type="checkbox"/> DBE Design Goal <input type="checkbox"/> DBE Construction Goal	
Applicable Contract Year: (July 1, <input type="text"/> - June 30, <input type="text"/> )			

**Note:** Section A, box 9. shall only be completed for FHWA-funded Design-Build projects.

3. Complete Section B of the CDOT Form 1420. For additional guidance in this section, refer to the CDOT Form 1420 Instructions.

<b>Section B. Contract Summary to Date (not including this request)</b>			
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):	\$ <input type="text"/> %	15. Commitment (to date):	\$ <input type="text"/> %
16. Participation (to date):	\$ <input type="text"/> %		



4. Complete Section C of the CDOT Form 1420. Check the appropriate box for the reason(s) for the DBE utilization plan modification request and complete the explanation of the request in box 18. Attach any supporting documentation and additional pages as necessary.

**Note:** If the CDOT Form 1420 is being submitted for a termination or reduction request, the written notification to the DBE and any response from the DBE shall be included with the submission.

<b>Section C. Request for Approval</b> Attach supporting documentation and additional pages as necessary.
17. Reason(s) for modification (check all that apply) <b>and complete the explanation(s) of request in Box 18.</b>
<input type="checkbox"/> Termination (Attach copy of notice to DBE.)
<input type="checkbox"/> Reduction (Attach copy of notice to DBE.)
<input type="checkbox"/> Substitution (up to the contract goal) (Explain in Section 18b below.)
<input type="checkbox"/> New Commitment to any unperformed work (Attach CDOT Form 1415.)
<input type="checkbox"/> Increase the amount of existing Commitment for any unperformed work (Attach revised CDOT Form 1415.)
<input type="checkbox"/> Recapture of prior Race-Neutral Participation (DBE participation that was not a part of a DBE Commitment)
<input type="checkbox"/> Contract Modification Orders
<input type="checkbox"/> New Commitment to any unperformed work (Attach CDOT Form 1415.)
<input type="checkbox"/> Increase the amount of existing Commitment for any unperformed work (Attach revised CDOT Form 1415.)
<input type="checkbox"/> Utilizing other Eligible Participation on the Contract as part of Good Faith Efforts pursuant to this Section.
<input type="checkbox"/> New Commitment (Attach CDOT Form 1415.)
<input type="checkbox"/> Modification of Annual Utilization Plan - <b>to be selected ONLY for FHWA-funded Design-Build contracts</b>

<b>Section C. Request for Approval (continued...)</b> 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 <b>good cause</b> .
<div></div>
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.
<div></div>
c) All other explanation of requests should be included here.
<div></div>

5. An authorized representative should sign and date on behalf of the Prime Contractor.

<b>Section D. Prime Contractor Signature</b> 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:	

- If additional eligible participation is required to make a new commitment to any unperformed work on the contract or increase the amount of an existing commitment for any unperformed work on the contract, the Prime Contractor shall follow steps 7-21 of this process guide.

**Note 1:** If a new or increased commitment is being submitted as a substitution concurrently with a termination or reduction, the request for additional commitment is contingent upon the approval of the termination or reduction.

**Note 2:** If the Prime Contractor chooses to submit the CDOT Form 1420 for a termination or reduction prior to the submission of a substitution (to have the determination first), that is acceptable. However, it is important to note that Prime Contractor shall submit the CDOT Form 1420 and CDOT Form 1415 if applicable requesting a substitution or submit evidence of good faith efforts to substitute via the CDOT Form 1416 within seven days from the approval date of the termination or reduction.

- Download the CDOT Form 1415 from the CDOT Forms Catalog at <https://www.codot.gov/about/forms>.

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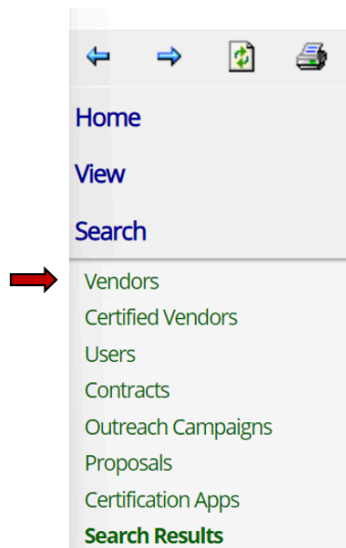
Program ▾	Search by Form Number ▾	Form Title ▾
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- Steps 9-16 of this process guide shall be followed to determine if the DBE is currently certified to perform the work included on the CDOT Form 1415.
- Log into the B2GNow system at <http://cdot.dbesystem.com>.



10. Under “Search” click on “Vendors.”

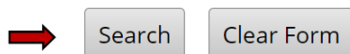


11. Type the DBE subcontractor name and other applicable search criteria.

A screenshot of the 'Advanced Search Parameters' form. The form has a title bar 'Advanced Search Parameters' and a light gray background. It contains several search criteria with corresponding input fields or dropdown menus: 'ETHNICITY' with a dropdown 'Select one or more'; 'GENDER' with a dropdown 'Select one or more'; 'VENDOR STATUS' with a dropdown 'All Vendors'; 'SITE VISIT' with a dropdown '-- Select Option --', a text input 'a site visit between mm/dd/yyyy and mm/dd/yyyy', and a dropdown 'for any purpose'; 'COUNTY' with a dropdown 'Select one or more'; 'FEIN/TAX ID NUMBER' with a text input; 'OTHER IDENTIFIERS' with a text input and a link 'DUNS Number, Unique Entity Identifier, CAGE Code'; 'SYSTEM VENDOR NUMBER' with a text input; 'FAVORITE VENDORS' with a checkbox 'Limit results to any vendor marked as favorite' and a dropdown 'by me only'; and 'LIMIT TO "CONNECTED" VENDORS' with a checkbox '"Connected" vendors include firms that are assigned to your records in this system and will exclude all other vendors.'.

**Note:** It is recommended to enter the FEIN/Tax ID Number, if available within the “Advanced Search Parameters.”

12. Click “Search.”



13. Under “Actions,” click “Go To...”

Actions

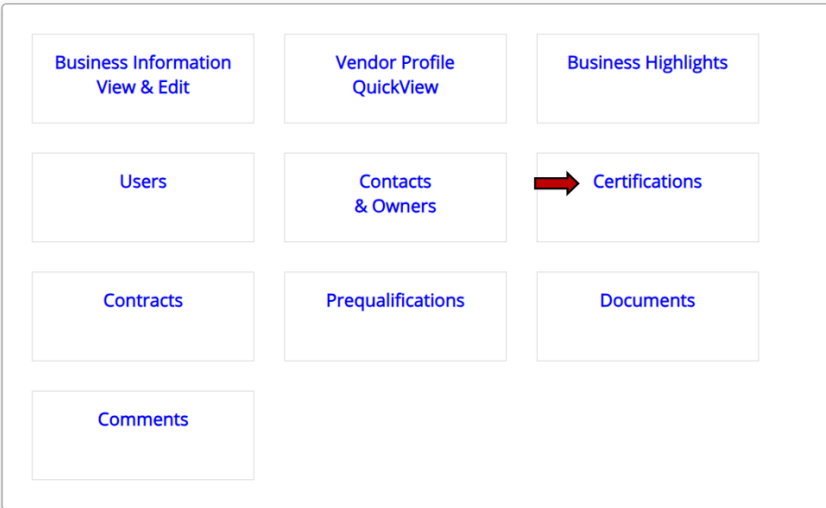
[Go To ...](#)

[Go To ...](#)

[Go To ...](#)

[Go To ...](#)

14. Click “Certifications.”



15. Review if the firm holds a current DBE certification under “Current Certification” by looking at the “Effective” and “Renewal” dates.

New Detailed Record

New Simple Record

Change Request List

Current Certifications						
Type	Action	Effective	Renewal	Organization	Actions	
ESB	Renewal	7/19/2023	9/30/2024 (End: 9/30/2025)	Colorado Department of Transportation	<a href="#">View</a>	<a href="#">Edit</a> ⓘ
DBE	No Change Affidavit	7/19/2023	8/31/2024	Colorado Department of Transportation	<a href="#">View</a>	<a href="#">Edit</a> ⓘ

16. To review the NAICS codes that the DBE firm is certified in, click “View” under “Actions.”

New Detailed Record

New Simple Record

Change Request List

Current Certifications						
Type	Action	Effective	Renewal	Organization	Actions	
ESB	Renewal	7/19/2023	9/30/2024 (End: 9/30/2025)	Colorado Department of Transportation	<a href="#">View</a>	<a href="#">Edit</a> ⓘ
DBE	No Change Affidavit	7/19/2023	8/31/2024	Colorado Department of Transportation	<a href="#">View</a>	<a href="#">Edit</a> ⓘ

Business Capabilities					
BUSINESS CERTIFIED FOR	Land restoration, reseeding, landscaping, weed control, erosion control, fencing.				
FULL DESCRIPTION OF CAPABILITIES/PRODUCTS	Land restoration, reseeding, landscaping, weed control, erosion control, fencing.				
COMMODITY CODES	Status	Type	Code	Description	Primary Tag
	Active	NAICS	237990	Anchored earth retention contractors <a href="#">(More)</a>	
	Active	NAICS	237990	Avalanche, rockslide, mudslide, or roadside protection construction <a href="#">(More)</a>	
	Active	NAICS	237990	Canal construction <a href="#">(More)</a>	
	Active	NAICS	237990	Channel construction <a href="#">(More)</a>	
	Active	NAICS	237990	Drainage canal and ditch construction <a href="#">(More)</a>	
	Active	NAICS	237990	Drainage project construction <a href="#">(More)</a>	
	Active	NAICS	237990	Earth retention system construction <a href="#">(More)</a>	
	Active	NAICS	237990	Flood control project construction <a href="#">(More)</a>	

17. Once it has been determined that the DBE has a current DBE certification with the applicable NAICS codes, complete Section A of the CDOT Form 1415.

COLORADO DEPARTMENT OF TRANSPORTATION COMMITMENT CONFIRMATION (CDOT Form 1415)					
Section A. Bidder/Prime Contractor and DBE Information. This section must be completed by the Bidder/Prime Contractor.					
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 Bidder/Prime Contractor:		5. Bidder/Prime Contractor's Contact Name:		6. Bidder/Prime Contractor's Contact Title:	
7. Bidder/Prime Contractor's Contact Phone Number:		8. Bidder/Prime Contractor's Contact Email Address:		9. Name of DBE Firm:	
10. DBE Firm Physical Address:		11. DBE Contact Name:		12. DBE Contact Email Address:	
13. DBE Contact Phone Number:		14. Subcontracted to Whom:	<input type="checkbox"/> if Prime		
15. Is the DBE part of a Joint Venture? (if Yes, attach joint venture agreement)		<input type="checkbox"/> Yes <input type="checkbox"/> No			
17. Applicable Small Business Goals (To be completed ONLY for FHWA-funded Design-Build contracts)		16. Anticipated Work Start Date:			
		<input type="checkbox"/> DBE Design Goal			
		<input type="checkbox"/> DBE Construction Goal			
		Applicable Contract Year: (July 1, <input type="text"/> - June 30, <input type="text"/> )			

18. In Section B, enter the commitment details, including the work to be performed by the DBE, the corresponding DBE work code for the work to be performed, the “Commitment Amount” (in \$), and the “Amount Eligible for DBE Participation” (in \$).

**Note 1:** The “Commitment Amount” should be identical to the “Eligible Participation” amount unless the DBE is subject to special DBE counting rules for suppliers under 49 CFR 26.55(e), whereby regular dealers may only count 60% of the cost of materials and supplies as “Eligible Participation” by a DBE or brokers may only count the total amount of its commission and fees as “Eligible Participation” by a DBE. The “Commitment Amount” may also be greater than the “Amount Eligible for DBE Participation” if the DBE is subcontracting out any work to a non-DBE firm.

**Note 2:** Eligible participation is the work by a DBE which counts as valid DBE participation on the contract and may be used towards fulfillment of a commitment. The DBE must be certified by the Colorado UCP in the work to be performed. DBEs are certified in particular areas of work which are designated by a work code. Each DBE’s work codes can be found on



their profile on the Colorado UCP DBE Directory.

Section B. Commitment Details. This section must be completed by the Bidder/Prime Contractor.				
18. DBE Commitment Details				
a. Work Category	b. Work to be Performed	c. DBE Work Code(s) (NAICS + Descriptor)	d. Commitment Amount	e. Amount Eligible for DBE Participation
Construction				
Trucking				
Supplies				
Services				
Other				
Design Services (for FHWA-funded Design- Build contracts and FTA Consultant Contracts only)				
Total:				

19. An authorized representative should sign on behalf of the Prime Contractor. Include the printed name, title, signature, and date.

19. Bidder/Prime Contractor Representative:			
This section must be signed by an individual with the authority to contractually bind the Bidder/Prime Contractor to the DBE commitment listed on this form. You declare under penalty of perjury in the second degree and any other applicable state or federal laws that the statements made in this document are complete, true, and accurate to the best of your knowledge. If a DBE commitment is being made and the subcontract is between a lower-tier subcontractor and a DBE firm (not the Prime Contractor), the Prime Contractor shall provide this signed CDOT Form 1415 to that lower-tier subcontractor and the DBE Standard Specification shall be followed.			
a. Name	b. Title	c. Signature	d. Date

20. Forward the form to the DBE subcontractor for the completion of Section C.

21. Upon receipt of the completed form from the DBE, submit the CDOT Form 1415 to the CDOT PE/PM.

22. The Prime Contractor has successfully completed and submitted the CDOT Form 1420 for a termination, reduction, and to make a new DBE commitment to the utilization plan (to recapture prior race-neutral participation). The Prime Contractor has also successfully completed and submitted the CDOT Form 1415, if applicable, to request additional DBE eligible participation due to a termination or reduction.