# 11-7 Complete CDOT Form 1416 to Document Good Faith Efforts (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 in submitting the CDOT Form 1416, Good Faith Effort Report, in the event that the Prime Contractor has not obtained sufficient substitutions up to the contract goal after a commitment modification (reduction or termination) has been approved by CDOT.

### **Additional Information**

The Prime Contractor shall have seven days from the submission date of the CDOT Form 1420 (for a reduction/termination request) to submit documentation of a substitution(s) and/or Form 1416 evidencing good faith efforts. This period may be extended at the discretion of CDOT.

# **System Procedures**

1. Download the CDOT Form 1416 from the CDOT Forms Catalog at <a href="https://www.codot.gov/about/forms">https://www.codot.gov/about/forms</a>.

# Use this page to find CDOT forms on a variety of topics. Please note: If you intend to fill out a form for submission, please first download it and save it. Do not fill it out in your web browser. 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 File Hyperlink

2. Complete Section A of the CDOT Form 1416. For additional guidance in this section, refer to the CDOT Form 1416 Instructions.

Section A. Bidder/P	rime Contractor and Proje	ect Information			
1. Project (S/A) No. or PCN Number (5 digit #):		2. FHWA Project #, Subaward Agreement # from COTRAMS (FTA projects), or PO # (for CWGC-CM contracts):		3. Project Name:	
Name of Bidder/Prime Contractor:		5. Bidder/Prime Contractor's Contact Name:		Bidder/Prime     Contractor's     Contact Title:	
7. Bidder/Prime Contractor's Contact Phone #:			8. Bidder/Prime Cor Email Address	ntractor's Contact	

3. In Section C of the form, (post-award), the Prime Contractor shall enter the contract summary to date information.

Section C. Contract Sun	nmary to Date (not in	cluding this re	quest) (	to t	be completed a	after project is	a	warded)		
12. Original Contract Amount:		13. Total Chan Orders (to date	-	\$		14. Total Othe (to date):	er	Adjustments \$		
15. Adjusted Contract Am the DBE goal):	ount (applicable to	\$			16. Contract DE date):	BE Goal (to	\$			%
17. Commitment (to date)	):	\$	%	6 1	18. Participation	n (to date):	\$			%
19. Applicable Small Busi (To be completed ONLY f Design-Build contracts)		At			sign Goal			onstruction Goal	)	
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Note 1: Section C, box 19 shall only be completed for FHWA-funded Design-Build projects.

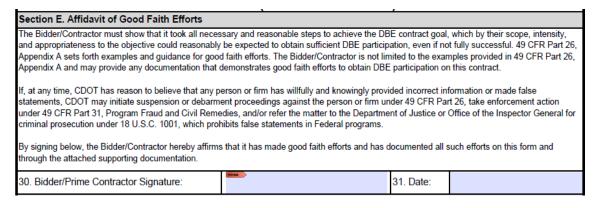
Note 2: Section B shall not be completed in the post-award phase of the project.

4. In Section D of the form, questions 20-29, describe the efforts that the Prime Contractor made to achieve DBE participation. The prime shall complete the questions in this section of the form and provide any supporting documentation demonstrating the prime's good faith efforts. Attach additional page(s) as necessary when submitting the completed CDOT Form 1416.

Section D. Efforts to Achieve DBE Participation. Complete the questions below and provide any supporting documentation which
demonstrates the Bidder/Prime Contractor's good faith efforts. Attach additional page(s) as necessary.
20. Describe the overall plan or approach to meet the contract goal.
21. List the amount and the type of work the Bidder/Prime Contractor intends to self-perform on the contract.
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22. List the amount and the type of work the Bidder/Prime Contractor intends to subcontract.
23. List the amount and type of work for all subcontracting opportunities for DBEs. Using the DBE Directory, include the number of
DBEs that are certified in the specific NAICS codes for each contracting area.

Section D. Efforts to Achieve DBE Participation (continued) Describe the efforts to obtain DBE participation (i.e. how the
Bidder/Contractor attempted to execute the plan or approach to meeting the contract goal). Cost alone shall not be a reason to reject
a DBE and will be considered in the evaluation. Attach additional page(s) if necessary.
24. List the direct outreach conducted (state the name of the DBE solicited, date(s) and method of outreach - phone, email, or fax)
(attach all supporting documentation for the direct outreach conducted).
25. List the indirect outreach conducted to contact DBEs such as events, publications, and/or communication with minority and other
organizations. Include date(s), location, and audience of each event, and attach all supporting documentation for the indirect outreach
conducted.
26. List other efforts made to assist DBEs in competing for or obtaining contracts (accepting quotes from DBEs that may be higher
than other subcontractors, modifications to contract scopes, unbundling, mentoring, etc.).
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5. An authorized representative of the Prime Contractor shall sign and date Section E of the CDOT Form 1416.



- 6. The Prime Contractor shall submit the completed CDOT Form 1416 and all applicable supporting documentation to the CDOT Project Engineer/Manager.
- 7. The Prime Contractor has successfully completed and submitted the CDOT Form 1416.