

12-2 Review and Complete Section E of the Form 1420 and Section D of the Form 1415, if applicable, for Contract Modification Order (RCRO)



Details

Responsible Parties

- Region Civil Rights Office (RCRO)

Revision Date of this Document

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Document Owner

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Procedure Objective

This document is intended to assist the Region Civil Rights Office with reviewing and completing Section E of the CDOT Form 1420 and Section D of the CDOT Form 1415 to request additional DBE eligible participation due to a Contract Modification Order (CMO).

System Procedures

1. Upon receipt of the CDOT Form 1420 and supporting documentation from the CDOT Project Engineer/Project Manager (PE/PM), the Region Civil Rights Office shall complete their review and analysis.
2. The Region Civil Rights Office should ensure that the form is completed in its entirety with all appropriate fields entered.
3. The Prime Contractor shall request approval of the method to obtain additional eligible participation on the CDOT Form 1420 due to a CMO based on the DBE standard special provision language.

Contract Modification Orders

- a. When one or more Contract Modification Orders, as defined in CDOT's Standard Specifications for Road and Bridge Construction, adds new work items or increases the total dollar amount of the contract, the Contractor is required to make Good Faith Efforts to obtain additional eligible participation sufficient to meet the Contract Goal

on the Total Earnings Amount. Under this section, the Contractor may obtain additional eligible participation by:


- i. Making a new Commitment to any unperformed work on the Contract by providing a completed Form 1415, Commitment Confirmation for each new DBE Commitment;
 - ii. Increasing the amount of an existing Commitment for any unperformed work on the Contract by submitting a revised Form 1415 for that Commitment;
 - iii. Utilizing other Eligible Participation on the Contract as part of Good Faith Efforts pursuant to this Section by submitting a completed Form 1420.
- b. When the Contractor elects to obtain additional eligible participation under subpart (iii), as identified above, such eligible participation does not need to be included as part of an approved Commitment. However, the Contractor is responsible to provide a completed Form 1420 documenting all additional eligible participation obtained under subpart (iii) before, or at the time of, Contract finalization. A CDOT Form 1432 shall be completed for the race-neutral DBE in order to count as eligible participation.

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

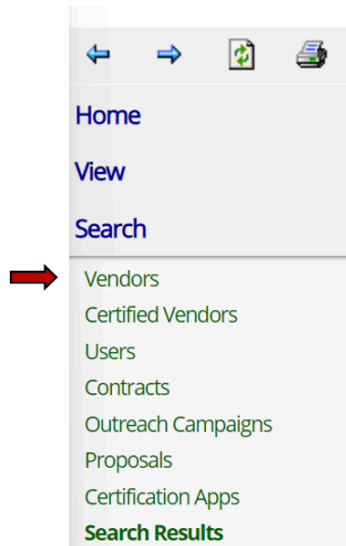
4. After review of the CDOT Form 1420 and all supporting documentation submitted, complete Section E, box 21 with either a recommendation for approval or recommendation for rejection.

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				<input type="checkbox"/> Recommend for Approval <input type="checkbox"/> Recommend for Rejection

5. Provide the completed CDOT Form 1420 to the CDOT PE/PM for final approval/rejection. Follow-up with the CDOT PE/PM if required.
6. If there is a request to make a new commitment to any unperformed work or increase the amount of an existing commitment for any unperformed work on the contract, a CDOT Form 1415 shall be submitted concurrently with the CDOT Form 1420.
7. Upon receipt of the submitted CDOT Form 1415 from the CDOT Project Engineer/Project Manager (PE/PM), the Region Civil Rights Office shall review the contents of the form and submitted documentation.
8. The Region Civil Rights Office should ensure that the form is completed in its entirety with all appropriate fields entered.
9. Steps 10-19 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.
10. Log into the B2GNow system at <http://cdot.dbesystem.com>.



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

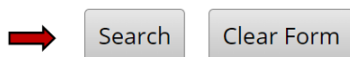


12. Type the DBE subcontractor name and other applicable search criteria.

A form titled 'Advanced Search Parameters' with a gray header. The form contains several search criteria with corresponding input fields or dropdown menus. The criteria are: 'ETHNICITY' with a dropdown menu showing 'Select one or more'; 'GENDER' with a dropdown menu showing 'Select one or more'; 'VENDOR STATUS' with a dropdown menu showing 'All Vendors'; 'SITE VISIT' with a dropdown menu showing '-- Select Option --', a text input for 'a site visit between' followed by a date field 'mm/dd/yyyy', and a dropdown for 'for' showing 'any purpose'; 'COUNTY' with a dropdown menu showing 'Select one or more'; 'FEIN/TAX ID NUMBER' with a text input field; 'OTHER IDENTIFIERS' with a text input field and a link 'DUNS Number, Unique Entity Identifier, CAGE Code'; 'SYSTEM VENDOR NUMBER' with a text input field; 'FAVORITE VENDORS' with a checkbox 'Limit results to any vendor marked as favorite' and a dropdown menu showing 'by me only'; and 'LIMIT TO "CONNECTED" VENDORS' with a checkbox and a description: '"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.”

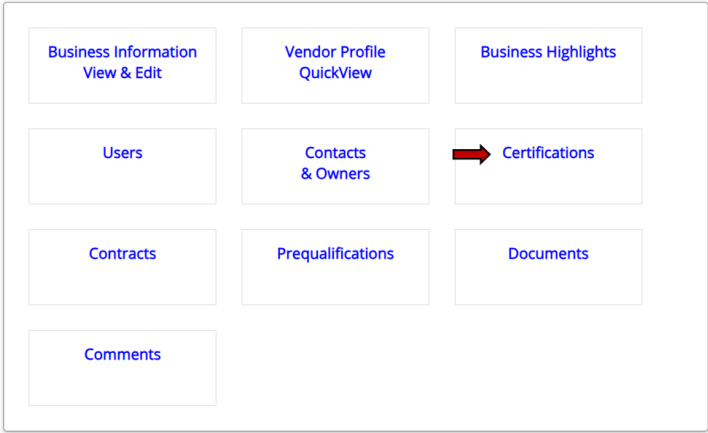
13. Click “Search.”



14. Under “Actions,” click “Go To...”

- Actions
- [Go To ...](#)
- [Go To ...](#)
- [Go To ...](#)
- [Go To ...](#)

15. Click “Certifications.”



16. 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 <small>(End: 9/30/2025)</small>	Colorado Department of Transportation	View	Edit ⓘ
DBE	No Change Affidavit	7/19/2023	8/31/2024	Colorado Department of Transportation	View	Edit ⓘ

17. 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 <small>(End: 9/30/2025)</small>	Colorado Department of Transportation	View	Edit ⓘ
DBE	No Change Affidavit	7/19/2023	8/31/2024	Colorado Department of Transportation	View	Edit ⓘ

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

18. Compare the NAICS codes listed in B2GNow with the NAICS codes included on the CDOT Form 1415 in Section B, box 18 c.

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. After review of the CDOT Form 1415 and a determination has been made, complete Section D of the CDOT Form 1415, including any applicable comments.

Note: It is recommended to include the DBE certification effect dates in the comments section.

SECTION D. Determination. This section must be completed by the CDOT Region Civil Rights Office or the CDOT Civil Rights Business Resource Center staff member.			
27. Review of Request	<input type="checkbox"/> Approved <input type="checkbox"/> Denied		
28. Comments			
29. CDOT Representative			
a. Name	b. Title	c. Signature	d. Date of Decision

20. Provide the signed CDOT Form 1415 and CDOT Form 1420 to the CDOT PE/PM.

21. The Region Civil Rights Office has successfully completed Section E of the CDOT Form 1420 and Section D of the CDOT Form 1415 for the request of additional DBE eligible participation due to a Contract Modification Order (CMO).