

12-3 Review and Complete Section E of the CDOT Form 1420 for a Contract Modification Order (PE/PM)



Details

Responsible Parties

- CDOT Project Engineer/Project Manager (PE/PM)

Revision Date of this Document

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Document Owner

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Procedure Objective

This document is intended to assist the CDOT PE/PM with reviewing and completing Section E of the CDOT Form 1420, DBE Participation Plan Modification Request, to request additional DBE eligible participation due to a Contract Modification Order (CMO). 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, Commitment Confirmation, shall be submitted concurrently with the CDOT Form 1420.

System Procedures



1. Upon receipt of the CDOT Form 1420 and supporting documentation from the Region Civil Rights Office (RCRO) (with the completion of Section E of the form) the CDOT PE/PM shall complete their review and analysis. If a CDOT Form 1415 was submitted, the Region Civil Rights Office will have completed their review and either approved or denied the form. The form 1415 shall also be submitted to the PE/PM with the form 1420 submission.
2. The CDOT PE/PM should ensure that the CDOT Form 1420 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 outlined 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.	
<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 - to be selected ONLY for FHWA-funded Design-Build contracts

4. After review of the CDOT Form 1420, all supporting documentation, and the recommendation provided by the RCRO, complete Section E, box 21 with either an approval or 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
Project Engineer/Manager				<input type="checkbox"/> Approve <input type="checkbox"/> Reject

5. Provide the signed CDOT Form 1420 and CDOT Form 1415, if applicable to the Region Civil Rights Office and the Prime Contractor.
6. The CDOT PE/PM has successfully completed Section E of the CDOT Form 1420 for the request of additional DBE eligible participation due to a Contract Modification Order (CMO).