

3-7 Review Submitted Utilization Plan and Associated Form(s) 1415 and 1416 (if applicable) (CRBRC)



Details

Responsible Parties

- CDOT Civil Rights & Business Resource Center (CRBRC)

Revision Date of this Document

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Document Owner

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Procedure Objective

This document is intended to assist the CRBRC staff in reviewing DBE utilization plans and associated CDOT Form(s) 1415 and CDOT Form 1416 (if needed) submitted in B2GNow.

System Procedures

1. Log into the B2GNow system at <http://cdot.dbesystem.com>.



2. On the dashboard, identify the Utilization Plan to be reviewed.

[Config](#)

Utilization Plans	
Pending Release	1
Pending Submission by Vendor	4
Pending Review	1
Returned, Pending Resubmission by Vendor	5

Displaying Organization Data - [Config](#)

- Click “View” next to the Utilization Plan to be reviewed.

Utilization Plans				
Actions	Phase, Version & Reference	Status	Dates	Contractor
View	Original Test	Resubmitted, Pending Review	Released: 7/26/2022 Due: 12/30/1899 Submitted: 7/26/2022	CDOT Prime
View	Original Test	Submitted, Pending Review	Released: 10/27/2023 Due: 11/1/2023 Submitted: 10/27/2023	CDOT Prime
View	Change Order, Version 1 Test	Pending Release	Release to Vendor	CDOT Prime

- Under the “Utilization Plan Information” section, verify in the bid documents that the amount listed for “Estimated Bid/Transaction Amount” is the correct total bid amount submitted by the bidder in the bid package.

Utilization Plan Information	
ESTIMATED BID / TRANSACTION AMOUNT	\$2,000,000

Note 1: It is important to make sure that the denominator for evaluating the percentage of DBE participation is correct.

Note 2: Verify that the Estimated Bid/Transaction Amount (in \$) is the correct bid amount and not only the total amount (in \$) committed to DBEs.

- To begin verifying each DBE commitment listed, review detailed information by clicking “View.”

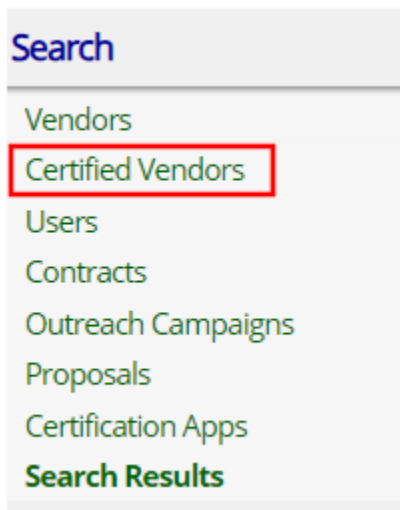
Subcontractors									
Subcontractor Name	Sub Tier	Cert	Inc in Goal	Type	Valid Work Code	\$ Commit	\$ Self Perf	\$ For Credit	Actions
1 CDOT Sub Test NAICS 541990: All Other Professional, Scientific, and Technical Services	1			Sub DBE		\$100,000 5.00%	\$100,000 5.00%	\$100,000 5.00%	View

- Under “Applicable Vendor Certifications,” verify that the firm has the correct, applicable certification. For example, if the firm is listed as a DBE commitment, verify that the firm is currently DBE certified.

Applicable Vendor Certifications


Type	Effective	Renewal	Organization
DBE	8/16/2018	8/31/2019	Colorado Department of Transportation

Note: If there is a question regarding the NAICS code, it is recommended to view the certification status and approved NAICS codes in the “Certified Vendors” search.



7. Under the “Subcontractor Details” section, review the DBE commitment by checking the following:
- The commitment amount (in \$) under “Proposed Amount & Percent”
 - Type of DBE participation under “Type of Participation” (note the special counting rules related to manufacturers, regular dealers, distributors, and brokers under 49 CFR 26.55(e))
 - Work to be performed under “Work Description”
 - NAICS code listed under “Work Codes” should support the work to be performed as listed under “Work Description”
 - Estimated start and end date listed

Subcontractor Details

VENDOR TYPE	Subcontractor
SUBCONTRACTOR TIER	Tier 1 Subcontractor to CDOT Prime
PROPOSED AMOUNT & PERCENT	Amount: \$100,000 Percent: 5.000%
TYPE OF PARTICIPATION	Subcontractor/Subconsultant at 100.0% Participation - Firm that directly provides services for the contract.
COUNT TOWARDS GOAL	Yes - assigned to DBE goal
WORK DESCRIPTION	Technical Services
WORK CODES	 All Other Professional, Scientific, and Technical NAICS 541990 Services (More)
ESTIMATED START DATE	
ESTIMATED END DATE	

Note 1: The listed commitment amount and work to be performed should be consistent with the information listed on the CDOT Form 1414 (submitted with the bid). Commitments can be increased, but not reduced or eliminated, without an approved Commitment Modification Request (CDOT Form 1420).

Note 2: The green checkmark listed next to the NAICS code indicates that the firm is certified in that NAICS code. A red exclamation point indicates that the firm is not certified in that NAICS code. If the firm is not certified in the NAICS code that supports the work to be performed, then that commitment cannot be approved because the firm is not certified for the work it will be performing.

- Review that the completed CDOT Form 1415 for the DBE commitment is attached by clicking “View Attachments” and then click “View File” or “Download File.”

Subcontractor Details	
VENDOR TYPE	Subcontractor
SUBCONTRACTOR TIER	Tier 1 Subcontractor to CDOT Prime
PROPOSED AMOUNT & PERCENT	Amount: \$10 Percent: 10.000%
TYPE OF PARTICIPATION	Subcontractor/Subconsultant at 100.0% Participation - Firm that directly provides services for the contract.
COUNT TOWARDS GOAL	Yes - assigned to DBE goal
WORK DESCRIPTION	Construction Inspection
WORK CODES	No Codes Assigned
ESTIMATED START DATE	12/29/2021
ESTIMATED END DATE	2/28/2022
ATTACHED FILE(S)	<div>View Attachments</div>

- Ensure that Sections A and B of the CDOT Form 1415 are completed by the bidder, including a signature from an authorized representative of the bidder.

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		16. Anticipated Work Start Date:	
17. 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"/>)			
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. 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		

"Previous editions are obsolete and may not be used." CDOT Form No. 1415 (09/23) Page 1

10. Ensure that Section C is completed in full by the DBE, including a signature from an authorized representative of the DBE.

Section C. DBE Questionnaire. This section must be completed by the DBE firm. (Attach additional pages if necessary.)			
This document is not a contract with the Bidder/Contractor; it is an acknowledgement of the obligation that the Bidder/Contractor is making to CDOT. The amounts listed above may be less than the subcontract or purchase order amount, but can never be more, and shall not reflect any mark up by the Bidder/Contractor. All questions must be answered.			
20. Will the DBE firm be purchasing supplies or materials, or will the DBE firm be leasing or renting equipment from the Prime Contractor or its subcontractors? If so, explain.			
21. Does the DBE firm intend to subcontract any portion of the work listed in Section B of this form? If yes, state to whom the DBE firm intends to sublet, what work is to be performed by said subcontractor, and the approximate written agreed upon dollar amount. Include trucking subcontractors and owner-operators.			
22. Will the DBE firm provide trucking services on this project? If yes, state how many trucks are owned by the DBE firm and employees that will work on this project.			
23. Within the DBE firm, who will be supervising the work on this project?			
24. Will the DBE firm be acting as a broker on this project? If yes, state what the DBE firm will be brokering and the approximate brokerage fee.			
25. Will the DBE firm be acting as a supplier on this project? If yes, please state what the DBE firm will be supplying and whether or not they will manufacture the items.			
This section must be signed by an individual with the authority to verify the DBE's anticipated participation on the contract as listed on this form. You, the DBE Representative, 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 to the best of your knowledge. You attest that you are eligible to participate as a DBE on this contract for the work listed above and have the capacity to perform the work as stated.			
26. DBE Representative	b. Title	c. Signature	d. Date

11. Ensure that the information listed on the CDOT Form 1415 is consistent with the information listed in the B2GNow DBE utilization plan. Resolve any discrepancies with the DBE and/or bidder, if necessary.

Note: If Section C, box 21 of the CDOT Form 1415 indicates that the DBE firm intends to subcontract a portion of the contract, verify that the lower-tier subcontractor is also a DBE. If the lower-tier firm is not a DBE, this subcontract amount is not eligible participation that can count toward the contract DBE goal.

12. Repeat Steps 6-11 for each DBE subcontractor listed in the DBE utilization plan.
13. Under the “Goal & Waiver Summary” section, review whether the DBE contract goal was or was not met.

Goal & Waiver Summary				
Goal Type	Goal	Plan	Status	Waiver Status
Overall Goal	5.00%	5.00%	Met goal	
DBE	5.00%	5.00%	Met goal	
ESB	0.00%	0.00%	Met goal	

14. If the goal is met, see step 3-8, Approve Utilization Plan in B2GNow.
15. If the low apparent bidder does not meet the DBE goal, see process guide 3-9, Conduct Good Faith Effort Review.

16. The CRBRC staff has successfully reviewed the utilization plan and associated CDOT Form(s) 1415 and CDOT Form 1416 in B2GNow.