



Flowchart B-12-0: Contract Modification Orders and DBE Participation (Form 1420)

1. Start: The CDOT Project Engineer/Project Manager (PE/PM) determines that a contract modification order is needed during the project.
2. Decision Item: Is the contract modification order decreasing work items or the total dollar amount of the contract?
 - If yes, continue to step 3.
 - If no, continue to step 4.
3. All approved DBE commitments on the contract continue to be binding on the prime contractor unless good cause is established to substitute, terminate, and/or reduce the commitment in accordance with the DBE standard special provision. The process ends.
4. Decision Item: Is the contract modification order excluded from the total earnings amount calculation?
 - If yes, the process ends
 - If no, continue to step 5.
5. The PE/PM notifies the prime contractor that additional DBE participation is needed due to the contract modification order increasing the total earnings amount on the contract.
6. The prime contractor evaluates the approved DBE commitments.
7. Decision Item: Are approved DBE commitments sufficient to achieve the DBE goal percentage on the increased dollar amount?
 - If yes, the process ends.
 - If no, continue to step 8
8. Decision Item: Does the prime contractor have additional DBE participation (not identified in a DBE commitment) sufficient to meet the DBE goal on the increased contract dollar amount?
 - If yes, continue to step 9
 - If no, continue to step 11
9. Decision Item: Has the prime contractor completed a commercially useful function questionnaire for the additional participation?
 - If yes, continue to step 10

- If no, complete the commercially useful function questionnaire (Form 1432) for the DBE and continue to step 10.
10. The prime contractor completes and submits the Form 1420 documenting the intent to use race-neutral DBE participation prior to contract finalization.
 11. The prime contractor submits additional DBE eligible participation for contract modification order- Form 1415/Form 1420 (Figure 12-1)
 12. Decision Item: Was additional DBE eligible participation submitted?
 - If yes, continue to step 13
 - If no, continue to step 19
 13. The PE/PM provides Form 1420 and Form 1415, if applicable, to the Region Civil Rights Office.
 14. The Region Civil Rights Office reviews and completes Section E of Form 1420 and Section D of Form 1415, if applicable, for the contract modification order. The RCRO sends the form to the PE/PM.
 15. The CDOT PE/PM reviews Form 1420 and completes Section E with an approval or denial.
 16. Decision Item: Was Form 1420 and Form 1415, if applicable, approved?
 - If yes, continue to step 17
 - If no, continue to step 18
 17. The PE/PM sends the approved Form 1420 and 1415 to the prime contractor and RCRO. The RCRO uploads Form 1420 and Form 1415 in B2GNow and updates information in the B2GNow system (Figure 12-4).
 18. The PE/PM sends the denied Form 1420 and 1415 to the prime contractor and RCRO. The RCRO uploads Form 1420 and Form 1415 in B2GNow and updates information in the B2GNow system (Figure 12-4). The prime contractor may be subject to a payment reduction in accordance with the DBE Standard Special Provision. The process ends.
 19. The prime contractor completes and submits Form 1416 to document good faith efforts (Figure 12-5).
 20. Decision Item: Was Form 1416 submitted?
 - If yes, continue to step 21
 - If no, the prime contractor may be subject to a payment reduction in accordance with the DBE Standard Special Provision. The process ends.

21. The PE/PM sends Form 1416 to the RCRO.

22. The RCRO reviews and completes Section F of the Form 1416 to document good faith efforts. The RCRO sends the form to the PE/PM.

23. The PE/PM reviews and completes Section F of the Form 1416 with an approval or denial. The RCRO sends the form to the PE/PM.

24. Decision Item: Is the CDOT Form 1416 approved?

- If yes, the PE/PM sends the approved Form 1416 to the prime contractor and the RCRO. The RCRO uploads Form 1416 in B2GNow. The process ends.
- If no, continue to step 25

25. The PE/PM sends the denied Form 1416 to the prime contractor and the RCRO.

The RCRO uploads the denied Form 1416 to B2GNow. The prime contractor may be subject to a payment reduction in accordance with the DBE Standard Special Provision. The process ends.