

Guide Document for Request to Modify Small Business Enterprises
Pre-Award Commitment (CRD15-1)

The CRD15-1 form has been adopted by the CTDOT to facilitate the Prime Contractor's request to revise a Pre-Award Commitment (PAC) in accordance with CTDOT specifications

Initial Steps:

Step 1: Allowable PAC revisions are listed in the drop-down list found on the CRD15-1 form. The Prime Contractor should review and be familiar with the project specifications and the regulations. If there are any questions, the Prime Contractor should contact [CTDOT's Subletting Team](#).

Step 2: The Prime Contractor should notify the effected PAC SBE in writing of the items and amount of, and the reason for the proposed PAC Modification.

Section 1: General

In the space provided enter:

1. Project Number
2. Prime Contractor name
3. Prime Contractor's Contact Person name - The contact person is the person that is designated in case of follow-up questions from CTDOT.
4. Prime Contractor's Contact Person Email
5. Prime Contractor's Contact Person Phone Number
6. The Advertised Project SBE Goal percentage - This is stated in the SBE specification, given at the time of award.

Section 2: Modifications

In the space provided:

1. Enter **PAC SBE Subcontractor** Name.
2. Select the most appropriate **Reason for Modification** from the dropdown menu.
 - a. The note, "*(attach supporting documentation)*" is intended to indicate that supporting documentation of the reason for the modification such as, copies of CTDOT Change Orders, or letters or emails related to performing work and/or the subcontractor letters or emails refusing work, or other written correspondence based on the reason selected. The Contractor must document all communications in writing.
3. Select the appropriate answer for "Has the SBE Subcontractor been given constructive notice?"
4. Select the appropriate answer for "Has the SBE Subcontractor responded to the constructive notice?"
 - a. Attachments: Both the written notice from the Prime Contractor to the PAC SBE and the PAC SBE's written response/concurrence/release should be attached or included with the CRD15-1 submittal. These written notices can be letters, e-mails, or meeting minutes signed by both parties.
5. Enter the **SBE Subcontractor Pre-Award Commitment** dollar value from approved CTDOT approved Pre-Award SBE Commitment Request Form for the subject subcontractor.
6. Enter the **Current SBE Subcontractor Commitment** dollar value, if applicable. This is the remaining commitment prior to the current requested modification after any previously approved PAC modifications are applied to the approved PAC for the subject subcontractor. *Note: If there were no prior approved PAC modifications, the Current SBE Subcontractor Commitment dollar value will be equal to the SBE Subcontractor Pre-Award Commitment dollar value.*
7. On Page 2 enter the **Item Number** (#), negative or positive dollar **Adjustment Value** (\$) of the proposed adjustment for each item, and applicable remarks if any.
8. Calculate and enter the **Total Modification Value** (\$) at the bottom of Page 2. This is the sum for all positive and negative revised **Adjustment Values** (\$) for the work items indicated above it on Page 2 of the CRD15-1 form.
9. Calculate and enter the **Revised SBE Subcontractor Commitment** dollar value for the subject subcontractor on Page 1 in the space allotted in Section 2. This is calculated by adding the value of the **Current SBE Subcontractor Commitment** (Page 1) for the subject subcontractor to the value of the **Total Modification Value** (\$) (Page 2) for the subject subcontractor. This will represent the Revised SBE Subcontractor

Commitment for the subject subcontractor if the current modification is approved by Division of Construction Operations (DCO).

Section 3: Good Faith Effort (GFE)

To document the Good Faith Effort (GFE), complete all parts of this section.

1. Calculate and enter the ***Revised Estimated SBE Percentage*** value you estimate will be achieved. This is the sum of all PAC SBE Subcontractors plus the total value of all previous GFE work added to meet the goal (prior to this request), plus the value of all previously approved PACMODs (positive or negative) and this PACMOD (positive or negative, assuming it will be approved), divide by the Project's revised contract value, not the original contract value. The contractor is responsible to verify that the GFE Subcontractors are certified as SBEs for the work to be performed, and they will perform a CUF.
2. **Does this change impact your ability to satisfy the project SBE goal?** To answer the question, compare the ***Revised Estimated SBE Percentage*** value (Section 3) to the **Advertised SBE Goal** percentage (Section 1).
 - a. Select **No**, from the dropdown menu, if you will meet or exceed the project SBE Goal percentage and you do not wish to state GFEs.
 - b. Select **Yes**, from the dropdown menu, **and** complete the **GFE Section**, if you will not meet the project SBE Goal percentage.
 - i. If **Yes** is selected fill in the GFE and GFE additional information sections
 1. Select the most appropriate reason from the dropdown menu, and provide additional explanation, as applicable
 - a. Additional SBE subcontractor work is being proposed as a GFE. Enter the SBE Subcontractor being proposed with the work to be added as a GFE. State the Subcontractor's name, dollar value, and description of work assigned for the GFE on **Page 3**. Note: The Prime Contractor must verify the SBE Subcontractor is certified and complies with the CUF requirements for work to be counted for credit. The Contractor should contact the CTDOT (DCO) if there are questions related to GFEs.
 - b. If ***did not meet the goal, but documented GFE*** is selected, include any documentation of efforts made to obtain SBE subcontractors (contact CTDOT (DCO) for guidance), such as, additional subcontracting opportunities offered to SBE's to increase the likelihood of achieving the goal, efforts made to contact and solicit bids from SBEs, submitted subcontract proposals to SBE's which the Contractor considered unacceptable stating the reason(s) for this conclusion. (Refer to SBE Special Provisions)
 - c. If ***Other*** is selected, in addition to filling in the explanation of GFE, the Prime Contractor should reach out to the CTDOT (DCO) to ensure adequate GFEs are pursued and documented. The contractor should not delay the submission of a CRD15-1 form if waiting for communication with the CTDOT (DCO) regarding additional GFE opportunities.

Section 4: Release of Work

1. **Prime Contractor Authorized Signature:** The Prime Contractor's Representative must sign the CRD15-1 form in the space identified as Prime Authorized Signature, print their name, title, and the date, and send to the SBE Subcontractor for concurrence.
2. **SBE Subcontractor Authorized Signature:** The SBE Subcontractor must sign the CRD15-1 form in the space identified as SBE Authorized Signature, print their name, title, and the date, and send back to the Prime Contractor.
3. The Prime Contractor must request approval of the CRD15- 1 form by CTDOT by submitting one pdf document thru COMPASS in accordance with the Contractor's User Manual and the instructions below:
 - a. The file naming convention for the CRD15-1 is: Project Number Submittal Description Abbreviated Subcontractor Name, as show below using a maximum of 50 characters counting spaces:

0000-0000 PACMOD ABC Paving

- b. The submittal type to be used in COMPASS is ***PAC Modifications***
- c. The submittal naming convention is: Submittal Description Abbreviated Subcontractor Name as shown below using a maximum of 50 characters counting spaces:

PACMOD ABC Paving

- d. If the CRD15-1 submittal is returned to the Contractor to revise and resubmit, the Contractor must follow the instruction in the [COMPASS Contractor's User Manual](#).
 - i. Section 2.5.2 Revise and Resubmit
 - ii. Section 2.5.3 Revising and Replacing a File

The following is provided as a reminder:

- a. The CRD15-1 should be the cover of the submittal, all other documents and attached explanations should be attached to the CRD15-1
- b. The following backup documentation is required, as noted, to accompany the CRD15-1:
 - iii. Documentation of the reason for the modification (see section 2 instructions for additional information)
 - iv. Letter of constructive notice from the Prime Contractor to the SBE Subcontractor (see the initial steps instructions for more information.)
 - iii. Response to the letter of constructive notice from the SBE Subcontractor to the Prime Contractor (see the initial steps instructions for more information)

Section 5: CTDOT Concurrence and Comments

- 1. This Section will be completed by the DCO
 - a. If approved, a notification will be sent through COMPASS
 - b. If not approved, the CRD15-1 will be returned to the Prime Contractor with comments through COMPASS