

SDV UTILIZATION PLAN MODIFICATION FORM (SDV-UP3) INSTRUCTIONS

Prime contractors must submit an **SDV Utilization Plan Modification Form (SDV-UP3)** prior to making any changes to an approved SDV Utilization Plan (SDV-UP).*

**All plan participants must be included on the modification.
Complete and accurate information is required.**

Page 1

1. **NYS Certified SDV Name, Address and Email** – Contact information for each SDV subcontractor or supplier. The SDV firms included must be businesses **the bidder seriously expects to include in the project activity.**
2. **Modification type** (Include all SDV firms from the approved plan.)
 - **ADD** – for firms that you are adding to the plan.
 - **DELETE** – for firms you are removing from the original approved plan. For any deletions or decreases in subcontract value, an explanation is required on page 2.
 - **UPDATE** – for firms whose value is being modified from original utilization plan, decreases to original plan value requires an explanation on page 2.
 - **NO CHANGE** - for firms on the approved plan with no modifications to report.
3. **Federal ID No.** – Provide **accurate** federal identification number for each SDV subcontractor or supplier.
4. **Scope of Work** – Provide a **brief but specific** description of work to be performed or supplies to be purchased from the SDV subcontractor or supplier.
5. **Approved Plan Value** – Total approved value of the signed subcontract.
6. **Revised Plan Value** – Total value of the revision to the signed subcontract. If this value reflects a decrease from the original plan, an explanation should be provided on page 2.
7. **Performance Dates** – Anticipated Start and Completion dates for each SDV subcontractor or supplier. Do not include the overall construction schedule for the life of the entire project.
8. **Signature** – must be signed by a Company Officer.

Page 2

9. Subcontractor Name – List the name of the subcontractor whose value decreased.

10. Explanation – required if modification value reflects a decrease from the original plan.

*Prior approval must be obtained from the Fund for all modifications that may result in a *decrease* in Participation. If the modified plan value is different from the amount in the approved SDV Utilization plan, a letter of explanation is required on page 2. Supporting documentation of efforts must be submitted to the Fund, with the explanation.

All information provided to the Fund, is subject to verification by the Fund.

A copy of the approved modified Utilization Plan will be provided to the contractor after the Fund's review and approval.

Questions regarding the Utilization Plan Modification Form (SDV-UP3) should be directed to the Opportunities Program Office at (518) 320-1650 or via e-mail: SUCF.OpportunityAdmin@suny.edu.