
Maryland's Race to the Top Local Education Agency Scope of Work Amendments

Introduction

MSDE recognizes that LEAs may wish to revise Scopes of Work, including their goals, activities, timelines, or budgets, in order to accomplish their goals. Such revisions can be made under the following circumstances:

1. They do not result in the LEA's failure to comply with the terms and conditions of the award and the program's statutory and regulatory provisions;
2. They do not change the overall scope and objectives of the approved proposal; and
3. MSDE and the LEA mutually agree in writing to such revisions, with MSDE having final approval rights.

All commitments contained in the LEA's Memorandum of Understanding and the proposed use in the State's grant application remain fully binding on the State and the LEAs unless otherwise approved by the United State Department of Education (USDE). In the event that MSDE determines that an LEA is not meeting its goals, activities, timelines, budget, or annual targets, or is not fulfilling other applicable requirements, MSDE will take appropriate enforcement actions.

Additionally, amendments to an LEA Scope of Work must adhere to the following Race to the Top principles:

- LEAs will be held accountable for increasing student achievement, increasing graduation rates, narrowing achievement gaps, and preparing students for success in college and the workforce. An LEA must ensure that Race to the Top resources are directed towards activities and strategies that support these student outcomes.
- The annual performance measures LEAs included in their applications are leading indicators of their success towards achieving student outcomes, and LEAs will be held accountable for meeting these targets or making significant progress towards them.
- Changes in an LEA's plan that would significantly decrease or eliminate reform in any of the four assurance areas constitute a fundamental change to the LEA's Scope of Work.
- An LEA must justify any revisions to its Scope of Work that substantially diverge from its original Scope of Work and must provide compelling evidence of how such a change will help it meet its performance measures and achieve increases in student outcomes.

When is an amendment required?

Amendments are required in the following circumstances (please allow two weeks from receipt at MSDE before making contact):

1. Substantial changes as defined in the Race to the Top principles above in program (including vision, goals, activities, timelines, annual targets, or performance measures)
2. Changes in budget -- \$1,000 or 15% of total object, program, or category of expenditure, whichever is greater
3. Requests for changes above \$100,000 also require USDE pre-approval

What documents are required to process an amendment?

1. Scope of Work Section Narrative(s) – “strike through” and “redline” as defined below
2. Scope of Work Section Action Plan(s) – “strikethrough” and “redline” as defined below
3. C-1-25 (A and B) – “yellow” cells as described below. Please note that the C-1-25 B must describe in the results section any impact the proposed amendment will have on performance measures or achievement goals.
4. Scope of Work Project Budget workbook(s) – “yellow” cells as defined below

How do LEAs prepare and submit amendments?

1. **Initial** requests for amendments will be submitted electronically to Patrick Kellinger (pkellinger@msde.state.md.us) via email with all documents attached. This initial submission is intended to expedite the process and eliminate the need to get the superintendent’s signature until the proposed amendment is considered approvable.
2. MSDE will communicate electronically the receipt of the **initial** amendment request.
3. If necessary, discussions will occur electronically – also intended to expedite and provide a record of the process.
4. Once the **initial** proposed amendment is considered **approvable** by MSDE, MSDE will communicate such status to the LEA electronically.
5. The LEA must then submit hard copies of all amendment documents for **final approval**.
6. The LEA superintendent’s signature (in blue ink) is required on all **final requests for approval**.
7. Upon receipt of the final documents, MSDE will send the LEA an **electronic final approval**, which shall be followed by **final approval in writing**.
8. LEAs may not move forward with the proposed amendment until they have received the **final electronic approval** from MSDE.
9. If the amendment request *also* requires USDE approval, the above approval process will be followed first. Once MSDE gives its **final approval pending USDE approval**, MSDE will communicate with USDE and the LEA in the manner prescribed by USDE. The LEA may not consider the amendment to have received **final approval** until MSDE communicates that USDE has also given its approval. The LEA should allow extra time (at least two additional weeks) for processing the amendment through USDE.
10. Amendment requests must be made 45 days prior to the end of the fiscal year (September 30 is the end of the fiscal year).

Additionally:

Changes in Program Only

1. Complete the C-1-25 B form
2. Where applicable in a Section Narrative and/or Section Action Plan, strike through any deletions in the actual approved Scope of Work. (Example: ~~Extend the school day by 90 min.~~)—Revisions should be inserted in actual approved Scope of Work in red font in *italics* and **bold**. (Example: *Extend the school day by 60 min.*)

Changes in Project Budget Only

1. Complete the C-125 A form
2. Where applicable in the Project Budget workbook, Tab 2 (Project Budget Narrative) and Tab 3 (Project Budget Details by Category), strike through any deletions in the actual approved Scope of Work. (Example: ~~Extend the school day by 90 min.~~)—Revisions should be inserted in actual approved Scope of Work in red font in *italics* and **bold**. (Example: *Extend the school day by 60 min.*)
3. Verify that adjustments made in the Project Budget workbook, Tabs 2 and 3 automatically recalculated Tab 1 (Project Summary Budget). Changed cells should be highlighted in yellow.
4. Revise the approved RTTT C-1-25 workbook, changed cells should be highlighted in yellow.

Changes in Program and Project Budget

1. Complete the C-1-25 A and B forms
2. Where applicable in a Section Narrative and/or Section Action Plan, strike through any deletions in the actual approved Scope of Work. (Example: ~~Extend the school day by 90 min.~~)—Revisions should be inserted in actual approved Scope of Work in red font in *italics* and **bold**. (Example: *Extend the school day by 60 min.*)
3. Where applicable in the Project Budget workbook, Tab 2 (Project Budget Narrative) and Tab 3 (Project Budget Details by Category), strike through any deletions in the actual approved Scope of Work. (Example: ~~Extend the school day by 90 min.~~)—Revisions should be inserted in actual approved Scope of Work in red font in *italics* and **bold**. (Example: *Extend the school day by 60 min.*)
4. Verify that adjustments made in the Project Budget workbook, Tabs 2 and 3 automatically recalculated Tab 1 (Project Summary Budget). Changed cells should be highlighted in yellow.
5. Revise the approved RTTT C-125 workbook, changed cells should be highlighted in yellow.

Appendix

Grant Amendment Documents
C-1-25; C-1-25 A; C-1-25 B

Helpful website link

<http://www2.ed.gov/programs/racetothetop/fag.html>

LEA Scope of Work Project Budgets – Additional Guidance - Amendments and Track Changes

Background

At the March 17th Technical Assistance Meeting, LEAs were given instructions on amending their Scopes of Work, including how to make changes to the Project Budgets - *Maryland's Race to the Top Local Education Agency Scope of Work Amendments*. That guidance was updated in a communication – *Amendment Clarifications* issued on March 29, 2011. USDE provided final approval to Maryland's State and LEA Scopes of Work on April 8, 2011.

Update

The final LEA project budget Excel files have been formatted to use Track Changes to record changes to the project budgets (note that unlike Word, where the Track Changes option shows adjustments right on the document, Excel maintains a history of changes but they do not appear on the document). The project budget files are protected to ensure an accurate history of changes is recorded. Please do not attempt to unprotect the workbook. As in the original project budgets, the tabs in the workbooks are linked and automatically calculate changes from tab to tab.

How to make changes to Project Budgets

1. The project budgets have been protected to ensure an accurate history of changes is recorded. ***Please do not unprotect the workbook. Please do not use CUT and PASTE.***
2. If you have difficulty navigating the workbook and/or making changes, please call Donna Gunning, 410-767-0757 and she will work with you to complete the changes.
3. MSDE recommends the following process. Update the Budget Narrative data in Tab 2 first. Next, in the third tab, Details by Category, record the expected expenditure details. Stipends are a good example. In Details by Category tab, in the Salaries and Wages category, record the number of staff, the amount of the stipend and the number of times the stipend will be paid (meetings, training sessions, etc.). The total line in that category will sum all the data in the previous lines. That total data is also recorded in the first tab, Summary Budget. You may also want to refer to the initial documentation provided on how to create the Scope of Work project budget.
4. Record all changes to a project budget in this way. Please remember to highlight in yellow any changes that you make.
5. Project budgets must be maintained as separate documents within an amendment. Please save your project budget using the following nomenclature: two digit LEA code, two

digit project number, and the two digit amendment number. Please do not confuse this with the numbering of amendments. The specific guidance on numbering amendments is referenced below.

Next Steps

Submit your documents electronically per the original instructions. The original submission instructions are referenced below. Remember that the project budget document is just one part of the overall amendment packet.

Numbering Amendments

From the Amendment Clarifications Guidance: To address the questions/issues regarding amendments covering multiple assurance areas/projects, we have simplified the format for numbering an amendment. If you have already submitted an amendment using the previously discussed format, we will accept that for now. For future amendment requests following receipt of this notice, however, please use the simplified version below:

Use the 2-digit LEA Code and a two digit amendment number (consecutively from amendment # 1 forward). For example: Allegany County's first amendment will be 0101. Allegany County's second amendment will be 0102.

How do LEAs prepare and submit amendments?

From Maryland's Race to the Top Local Education Agency Scope of Work Amendments: Initial requests for amendments will be submitted electronically to Patrick Kellinger (pkellinger@msde.state.md.us) via email with all documents attached. This initial submission is intended to expedite the process and eliminate the need to get the superintendent's signature until the proposed amendment is considered approvable.

**MARYLAND STATE DEPARTMENT OF EDUCATION
REQUEST BUDGET AMENDMENT C-1-25 A**

ORIGINAL GRANT BUDGET		AMENDED BUDGET #		REQUEST DATE	
GRANT NAME		GRANT RECIPIENT NAME			
MSDE GRANT #		RECIPIENT GRANT #			
REVENUE SOURCE		RECIPIENT AGENCY NAME			
FUND SOURCE CODE		GRANT PERIOD	FROM		TO

Provide the name of the **Category/Program** under the appropriate **Object, e.g., Administration/General Support** under **05 Equipment**.

EXPENDITURES BY OBJECT AND CATEGORY/PROGAM	CURRENT APPROVED BUDGET	ADJUSTMENTS Increase (+)/Decrease(-)	NEW AMENDED BUDGET
01 SALARIES AND WAGES			
			0.00
			0.00
			0.00
			0.00
			0.00
02 CONTRACTED SERVICES			
			0.00
			0.00
			0.00
			0.00
			0.00
03 SUPPLIES AND			
			0.00
			0.00
			0.00
			0.00
			0.00
04 OTHER CHARGES			
			0.00
			0.00
			0.00
			0.00
			0.00
05 EQUIPMENT			
			0.00
			0.00
			0.00
			0.00
			0.00
08 TRANSFERS			
			0.00
			0.00
			0.00
			0.00
			0.00
Total Expenditures By Object	\$0.00	\$0.00	\$0.00

THIS REQUEST MUST BE ACCOMPANIED BY A REVISED GRANT BUDGET FORM (C-1-25) AND GRANT CHANGE REQUEST FORM (C-1-25 B).

Grantee Project Manager Approval				
	Printed Name	Signature	Date	Telephone #
Finance Official				
	Printed Name	Signature	Date	Telephone #
MSDE Grant Manager				
	Printed Name	Signature	Date	Telephone #

**MARYLAND STATE DEPARTMENT OF EDUCATION
GRANT CHANGE REQUEST C-1-25 B**

GRANT CHANGE REQUEST #		REQUEST DATE	
GRANT NAME		GRANT RECIPIENT NAME	
MSDE GRANT #		RECIPIENT GRANT #	
REVENUE SOURCE		SCHOOL NAME	
FUND SOURCE CODE		GRANT PERIOD	From To

SECTION A. This Grant Change Request: (All changes must be explained in Section B)

<input type="checkbox"/>	Changes the Grant Period.		
<input type="checkbox"/>	Reallocates Funds to a Different Category/Program and/or Object.*		
<input type="checkbox"/>	Increases/Decreases the Amount of the Grant.*	\$0.00	\$0.00
<input type="checkbox"/>	Makes a Programmatic Change.	(Amount) From	(Amount) To
<input type="checkbox"/>	Specifies a Change Other Than Those Listed Above (e.g., a change of address, fiscal agent or grant manager).		

SECTION B. Fully explain the reason for all requested changes. (Increase row height to accommodate space if needed.)

CAT/PRGM	PROGRAM NAME	OBJECT	PURPOSE OF CHANGE	
			A. DESCRIPTION:	
			B. REASON:	
			C. EXPECTED RESULTS:	
			A. DESCRIPTION:	
			B. REASON:	
			C. EXPECTED RESULTS:	
			A. DESCRIPTION:	
			B. REASON:	
			C. EXPECTED RESULTS:	
			A. DESCRIPTION:	
			B. REASON:	
			C. EXPECTED RESULTS:	

***AN LEA/AGENCY APPROVED AMENDED GRANT BUDGET FORM (C-125-A) MUST ACCOMPANY THIS REQUEST. SECTION -B- IS TO BE COMPLETED IF A PROGRAM/OBJECT INCREASED /DECREASED IS 15% OR MORE OF THE LAST APPROVED BUDGET OR \$1,000, WHICHEVER IS GREATER.**

Grant Project Manager :	_____	_____	_____	_____
	Print Name	Signature	Date	Telephone #
Finance Official:	_____	_____	_____	_____
	Print Name	Signature	Date	Telephone #
Superintendent /Agency Head:	_____	_____	_____	_____
	Print Name	Signature	Date	Telephone #
MSDE Grant Manager:	_____	_____	_____	_____
	Print Name	Signature	Date	Telephone #