

**§ 1206.52**

**36 CFR Ch. XII (7-1-05 Edition)**

and Records Administration, 700 Pennsylvania Avenue, NW, Washington, DC 20408-0001. Your properly completed application and any materials you send

with it (such as pamphlets and photographic prints) will not be returned to you. Additional copies must be sent as follows:

If you are applying for . . .	Then you must send . . .
(1) A documentary editing project that has previously been supported by the Commission.	Two additional copies to the NHPRC;
(2) A subvention grant .....	Two additional copies to the NHPRC;
(3) A new documentary editing project .....	Two additional copies to the NHPRC;
(4) A records grant and you are a Native American applicant ...	Two additional copies to the NHPRC;
(5) A records grant that is being done in a state where there is a State historical records advisory board.	One additional copy to the NHPRC and one copy to the State historical records coordinator. In order to help facilitate the review process, however, it is recommended that applicants send a copy for each member of the state board;
(6) A records grant whose work will take place in more than one State.	Two additional copies to the NHPRC.

**§ 1206.52 Who reviews and evaluates grant proposals?**

(a) *State boards.* State historical records advisory boards evaluate records proposals on technical merits as well as on their relation to State-plan priorities. The board can return proposals it finds inappropriate or incomplete, with recommendations for revision, on which we will not act unless the applicant submits a revision for consideration in a later cycle. The Board may also recommend that the Commission reject the proposal.

(b) *Peer reviewers.* The NHPRC asks from five to ten external peer reviewers, some of whom may be selected from a list provided by you, to evaluate the proposal if the proposal:

- (1) Requests NHPRC funds of \$75,000 or more;
- (2) Requests a grant period of two years or more;
- (3) Involves complex technological processes and issues with which the NHPRC staff may be unfamiliar;
- (4) Is a resubmission that the NHPRC invited; or
- (5) Is not reviewed by a State historical records advisory board.

(c) *Other reviewers.* We may subject on-going documentary editions to special review by NHPRC staff and outside specialists, particularly when:

- (1) You propose to change the project director/editor;
- (2) Your sponsoring institution encounters difficulties or you propose a change in that institution;
- (3) Your major search for materials has been completed;

(4) Your project finishes publication in one medium and plans to begin publication in another; or

(5) You change your project's estimate of quantity of publications and/or time needed to complete the project.

(d) *NHPRC staff.* NHPRC staff will analyze the reviewer's comments, State board evaluations, the appropriateness of the project toward Commission goals, the proposal's completeness and conformity to application requirements. The staff will, through a questions letter to you, raise important issues or concerns and allow you the opportunity to respond. The staff will then make recommendations to the Commission.

(e) *The Commission.* After individually reviewing the proposal and recommendations on it from State boards, peer reviewers, and NHPRC staff, Commission members will deliberate on all eligible proposals and recommend to the Archivist of the United States what action to take on each (fund, partially fund, endorse, reject, resubmit, etc.). By statute the Archivist chairs the Commission and has final authority to make or deny a grant.

**§ 1206.54 What formal notification will I receive, and will it contain other information?**

(a) The grant award document is a letter from the Archivist of the United States to you, the grantee. The letter and attachments specify terms of the grant. NHPRC staff notifies project directors informally of awards and any conditions soon after the Commission recommends the grant to the Archivist

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of the United States. Unsuccessful applicants will be notified within two weeks by letter.

(b) The grant period begins and ends on the dates specified in the award document. Grant periods must begin on the first day of a month and end on the last day of a month.

**Subpart F—Grant Administration**

**§ 1206.60 Who is responsible for administration of NHPRC grants?**

The grantee institution and the project director designated by the institution share primary responsibility for the administration of grants. In the case of grants made to individuals, the individual named as project director has primary responsibility for the administration of the grant.

**§ 1206.62 Where can I find the regulatory requirements that apply to NHPRC grants?**

(a) In addition to this part 1206, NARA has issued other regulations that apply to NHPRC grants in 36 CFR ch. XII, subchapter A. NARA also applies the principles and standards in the following Office of Management and Budget (OMB) Circulars for NHPRC grants:

- (1) OMB Circular A-21, "Cost Principles for Educational Institutions";
- (2) OMB Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments";
- (3) OMB Circular A-122, "Cost Principles for Non-Profit Organizations"; and
- (4) OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

(b) These regulations and circulars are available on our Web site at [www.nara.gov/nhprc](http://www.nara.gov/nhprc). Our regulations may also be found at <http://www.nara.gov/nara/cfr/subch-a.html>, and

OMB Circulars at <http://www.whitehouse.gov/omb/grants/>.

(c) Additional policy guidance related to Title VI of the Civil Rights Act of 1964, regarding persons with limited English proficiency, is provided in our guidelines.

**§ 1206.64 When do I need prior written approval for changes to the grant project?**

You must obtain prior written approval from the Commission for any changes in the grant project and terms of the grant, including:

- (a) Revising the scope or objectives of the project;
- (b) Changing the project director or other key project personnel who are specifically named in the grant application or award or related correspondence;
- (c) Contracting out, sub-granting, or otherwise obtaining the services of a third party to perform activities central to the purposes of the grant, unless specified in the grant proposal;
- (d) Changing the beginning date of the grant or extending the grant period;
- (e) Re-budgeting of grants of \$100,000 or more, when cumulative transfers among direct cost categories total more than 10 percent of the total project budget (*i.e.*, grant funds plus other funds). With written approval from the Executive Director of the Commission, grantees may adjust the amounts allocated to existing budget lines for both grant funds and cost sharing and may transfer grant funds among existing NHPRC-funded direct cost categories that appear in the final project budget approved by the Commission at the time of the grant award. Cost-sharing funds may also be shifted among existing cost-sharing categories; and
- (f) Creating the following new cost categories:

You must obtain approval from . . .	When your new cost category was not in the final approved budget where . . .
(1) The Executive Director of the Commission, or the Executive Director's designee.	(i) such action seems appropriate for the fulfillment of the original purposes of the grant; and (ii) the amount of funds involved does not exceed 10 percent of the amount of the award, or \$5,000, whichever is less.
(2) The full Commission .....	The amount of funds involved exceeds the amount in paragraph (f)(1)(ii) of this section.