

CALTECH OFFICE OF SPONSORED RESEARCH
MINIMUM OVERHEAD REVIEW AND APPROVAL (MORA) PROCESS
October 2020

The Institute has established a minimum overhead rate that applies to all non-federal awards. Since many non-federal sponsors have policies that do not allow for the recovery of overhead (OH) equal to or exceeding the minimum required, the Provost's Office and the Office of Sponsored Research (OSR) have developed a process for the review of proposals to those sponsors. Awards from for-profit sponsors generally will be charged the full federal overhead rate.

The Minimum Overhead Review and Approval (MORA) form (available on the OSR website) is used to pre-identify the source(s) the PI will use to fulfill the minimum overhead requirement. The source(s) are identified when the proposal is submitted so that any resulting award will not be delayed.

The MORA should be completed and processed when the Divisional Approval Form (DAF) and proposal package are processed. The information on the form will be used by OSR when the PTA is activated. Contact the Provost's Office via email at provost@caltech.edu (copy OSR), as soon as you know that you are submitting a proposal to a non-federal sponsor.

The Provost's Office can answer questions related to the approval process. OSR can answer questions related to sponsor policy or guidelines.

MORA FORM INSTRUCTIONS:

TOTAL BUDGET REQUESTED: Enter the total award amount, including indirect costs. If the award will be paid in multiple year installments, enter the average annual budget across all program years. The applicable minimum overhead rate and dollars required will automatically calculate.

- a. Enter the indirect costs allowed by the sponsor to be charged to the award.
- b. Enter the total professorial salaries and benefits to be charged to the award.
- c. Enter the amount of discretionary funding required to meet the minimum overhead requirement. Also enter the PTA from which the discretionary funding will be provided.
- d. If the award will provide tuition remission greater than 66% of graduate student stipends, enter the additional tuition remission to be provided by the award.
- e. Enter the amount of any additional general budget relief required to meet the minimum overhead requirement.

The Total OH + GB Relief and Effective OH Rate will automatically calculate, and must meet or exceed the minimum overhead requirement for the award.

OH Assessment Options: Overhead from gifts and unrestricted funds will be taken in a single transfer at the time the award is budgeted. General budget relief provided in the form of professorial salaries and benefits or tuition remission will be assessed on actual costs. Check the box(es) that apply to this award.

Comments: Provide additional information about the selection provided in items 'a' through 'e'.

Current minimum overhead and tuition remission rates are shown on OSR website, under *Proposal Information for Caltech* at:

<http://www.researchadministration.caltech.edu/osr/proposalinfo>.

The completed form must be signed by the PI or designee. The Division Chair's approval is required if the effective overhead rate is below the minimum requirement. Forward the form & related proposal information to the Provost's Office at provost@caltech.edu for review and approval.

Upon final approval, the Provost's Office will distribute the signed MORA form to OSR, Gift & Endowment Accounting, the Budget Office, Advancement and Alumni Relations (as applicable), and the submitting grant manager.