

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

March 2022

The Minimum Overhead Review and Approval (MORA) form is required for any proposal or award that will be supported by non-federal funding sources that provide less than Caltech's full federal overhead rate. The Institute has established a minimum overhead rate that applies to all non-federal awards. Proposals to non-profit sponsors should request the full amount of overhead allowed by the sponsor. Awards from for-profit sponsors generally will be charged the full federal overhead rate.

The 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 or Gift & Endowment Accounting when the PTA is activated. To avoid last-minute processing of MORA forms, contact the Provost's Office via email at [jury@caltech.edu](mailto:jury@caltech.edu) (copy OSR), as soon as you know that you are submitting a proposal to a non-federal sponsor. Provide as much information related to the MORA form (e.g., PI name, name of sponsor, sponsor's budget guidelines, draft budget, proposal deadline, etc.) as possible.

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. Be sure to attach the sponsor's overhead policy to the form.
- b. Enter the total professorial salaries and benefits to be charged to the award. Only tenured and tenure-track professorial salaries are considered for general budget relief.
- c. Enter the amount of other funding required to meet the minimum overhead requirement. Also enter the PTA from which the 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.

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 'd'. Also provide information about any non-standard provisions in the award (e.g., sponsors that do not allow tuition costs to be charged with student stipends).

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. Upload the form and related proposal information as a single PDF file to your Division's designated box folder for review and approval. If you require access to your Division's box folder, send a request to [jury@caltech.edu](mailto:jury@caltech.edu) (copy your Division Operations Officer.)

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 division contact.