

Documents in the Repository for Administrative Documents and Records (RADR) are associated with both a Document Group and a Document Type.

- *Document Group*: Used to assist in the organization of documents. The Document Group is included in the list of Search Results.
- *Document Type*: A lower level of organization of documents. Document Type is also included in the list of Search Results.

The definition of the Document Groups and Types is the same regardless of the source of a Post-Award document. Please note that there are some Document Types that exist in two or more Document Groups.

### Account Setups

Documents supporting the setup of financial accounts.

- *GL Setup*: Supporting the setup of a General Ledger (GL) funding source.
- *PTA Setup*: Supporting the setup of an Oracle Project, Task, and/or Award.
- *PTA Setup – Fabrication*: Supporting the setup of an Oracle Project, Task, and/or Award that will be used for expenditures related to an equipment fabrication.

### Docs from Central Admin

Documents that have been created by Caltech personnel.

- *Award Summary*: Summarizes the information related to the initial award agreement.
- *At Risk*: Supporting the specifics related to an Oracle Award that has been created with the status of At Risk. Typically these awards will have “Pre-Award Costs.”
  - ✓ For more information about Pre-Award Costs:  
<https://researchadministration.caltech.edu/theguide/tableofcontents/ch8#8.5>
- *Cost Sharing*: Supporting the specifics related to a cost sharing account.
  - ✓ For more information about Cost Sharing:  
<https://researchadministration.caltech.edu/search?query=Cost+Sharing>
- *Fabrication*: Supporting the specifics of an equipment fabrication account.
  - ✓ For more information about Caltech and Fabrications:  
<https://researchadministration.caltech.edu/search?query=fabrication>
- *Pledge Receivable Form*: Documents used by Caltech to book multi-year pledges and summarize the anticipated payment schedule for fulfilling the donor’s commitment.
- *Modification*: Summarizes the information related to a modification of an agreement.
- *No Cost Extension*: Summarizes the information related to the granting of a No Cost Extension, i.e., the extension of the period of performance beyond the expiration date to

allow the Principal Investigator to finalize a project. No additional funds are provided during a No Cost Extension.

- *Restrictions or Terms and Conditions:* Supporting the expectations of both Caltech and Donors/Sponsors in relationship to funding. Examples include provisions that restrict or limit payment of expenses or require prior approvals by the Donor/Sponsor.
- *Salary Cap:* Summarizes the information related to handling of a Salary Cap, i.e., the sponsor's limitation placed on the salary rate that can be charged to a grant.
  - ✓ For more information about Caltech and the NIH Salary Cap:  
<https://researchadministration.caltech.edu/pa/faq/nihscalcap>

## Docs from Donor/Sponsor

Documents that have been created by the Donor/Sponsor of funding.

- *Agreement:* The notification to Caltech that funding will be received, e.g., for Research Administration the legal documents issued to notify Caltech that an award has been made.
- *Modification:* Related to a modification of an award agreement.
- *No Cost Extension:* Related to the granting of a No Cost Extension, i.e., the extension of the period of performance beyond the expiration date to allow the Principal Investigator to finalize a project. No additional funds are provided during a No Cost Extension.
- *Supplement:* Supporting the receipt of additional funding.
- *Attachment:* Documents included by the Donor/Sponsor in support of other specific documentation received.
- *Facility Use and Technical Service:* Supporting Facilities Use and Technical Services agreements.
  - ✓ For more information about Facilities Use and Technical Services:  
<http://researchadministration.caltech.edu/theguide/tableofcontents/ch10>
- *Material Transfer Agreement:* Supporting Material Transfer Agreements.
  - ✓ For more information about Material Transfer Agreements:  
[https://researchadministration.caltech.edu/documents/515-accepting\\_external\\_funds\\_for\\_the\\_support\\_of\\_research\\_final\\_.pdf](https://researchadministration.caltech.edu/documents/515-accepting_external_funds_for_the_support_of_research_final_.pdf)
- *Representations and Certifications:* Related to the written guarantees that Caltech is required to provide to sponsoring agencies. While these are created by Caltech, they are included in the *Docs from Donor/Sponsor* group because they are typically completed on the sponsor's specific form and sent to the Sponsor.
- *Restrictions or Terms and Conditions:* Supporting the expectations of both Caltech and Donors/Sponsors in relationship to funding. Examples include provisions that restrict or limit payment of expenses or require prior approvals by the Donor/Sponsor.
- *Scope of Work:* Documents specific to the scope of the work expected.

## Pre-Award

Documents related to the work done prior to the acceptance of an award or prior to additional year funding.

- *Budget*: Related to the proposed budget for the funding.
- *Min OH Req Approval (MORA)*: Caltech's Minimum Overhead Review and Approval form. Documents approval of an exception to Caltech's minimum overhead rate.

**PLEASE NOTE:** The *Internal Budget Justification (IBJ)* forms have been given the Document Type of *Min OH Req Approval (MORA)*.

## Subcontracts

Documents supporting the issuance of a subcontract by Caltech to another entity.

- *Agreement*: Supporting the notification by Caltech to another entity that funding will be received.

## Reports

Documents related to the reporting produced for the Donors/Sponsors.

- *Donor or Grant Report*: Reports generated specifically for the Donor/Sponsor.
- *Financial*: Reports that are mostly financial in nature.
- *Narrative or Progress*: Non-financial reports discussing the progress made in the activities related to the funding.
- *Patent*: Reports related to any patents generated as a result of funding.