IAMS
Interdivisional Authorization Management System
[https://iams.ext.jpl.net]

Caltech Campus Procedure Manual
For use with the JPL IAMS proposal review system
Interdivisional Authorizations (IA)

JPL Interdivisional Authorization (IA) - a financial vehicle used to fund work/research at Caltech campus

➢ When funding research, referred to as a Research IA

Effective October 22, 2012, all NEW JPL Research IAs must be processed via IAMS – a web based process that automates:

➢ The institutional export review and proposal submission process
➢ Reviews for export compliance PRIOR to OSR submission of proposal
➢ Status of research proposals so CPI can check
➢ Notices to IAMS users via email

Note: Research IAs reviewed using the paper-export review process in effect the last 2 years will continue as paper transactions until further notice.
JPL Interdivisional Authorization Management System (IAMS) Process Flow for Research IAs

JPL PI (JPI) enters IAMS at https://iams.ext.jpl.net/

JPI initiates IA Task Request

Caltech PI (CPI) completes Proposal and Statement of Work

Path for 90% of Research IAs

JPL IECO reviews JPL effort/role

Export Controlled

Not Export Controlled

JPI and CPI accept export-controlled task?

Campus EC reviews Campus effort/role

Yes

Campus EC reviews Campus effort/role

EAR Controlled

Process TCP

ITAR or USML Controlled

Process TCP & FP

Vice Provost approves?

Withdraw IA or cancel Mod

No

Yes

No

CPI submits IA to OSR

OSR submits IA to JPL Finance

JPL Finance issues IA

CPI submits IA to OSR

No

Withdraw IA or cancel Mod

CPI and CPI decide to revise scope of work?

JPI and CPI revise scope of work and resubmit

Yes

No
The path taken by 90% of the IAs reviewed
**First-time Users** - CPIs new to IAMS must first register with the system.

Go to: [https://iams.ext.jpl.net](https://iams.ext.jpl.net). Select the Caltech Authentication. Log on using your access.caltech ID & password. Mobile devices (phones) won’t work.

Afterward: Email [Sponsored.Research@caltech.edu](mailto:Sponsored.Research@caltech.edu) to say you have registered with IAMS so “user role” can be assigned.

When user role is assigned: JPL will log on to IAMS, initiate the Task Request select CPI’s name, and enter information describing the research being requested from Campus.

Recommend using Firefox/Safari/IE browser.
JPI completes/submits the Research IA Task Request. CPI receives an email notification requesting submission of a Campus proposal.

Research IA # IA00001 shown in subject line is an IAMS generated ID number.

Retain ID# for later reference. IAMS doesn’t always list CPI name or project title.
When the email notice requesting the proposal is received-

Presuming the CPI is expecting the Task Request, the following can occur:

- Retrieve IAMS proposal templates from OSR website - Samples shown below
- CPI prepares campus SoW [template required]
- Grant manager
  - Prepares budget & justification
  - Converts budget, justification & DAF to separate .pdf documents for upload into IAMS
  - Forwards .pdf docs to CPI for upload with SoW
  - Processes DAF + proposal through approvals

If CPI is not familiar with Task Request, he/she should communicate with JPI off-line.
When SoW & proposal documents are ready for submission - CPI follows link in the email notification and logs on to IAMS.

Select Caltech Authentication. Logs on using access.caltech ID & password.

If email notice is not readily available go to IAMS homepage at: https://iams.ext.jpl.net and navigate to “My Assignments”.
When IAMS opens to CPI page, information at top summarizes JPI input.

CPI completes questions 1-7.

Note: Grants Managers-please provide CPI with accurate contact info for ques. 1 & 2 so these fields are correct. IAMS does not auto fill or correct.
CPI page
[continued]

Question 6 & 7: upload .pdf documents based on OSR templates.

Templates available at: http://www.researchadministration.caltech.edu/osr/

DAF uploaded into 6c should have answers to all questions & be signed by CPI.
Note: If ok with division, upload & submit the proposal after PI signs DAF. While export review is occurring, obtain chair or other required signatures & submit to OSR.
After loading the .pdf documents - “Submit“ button will become active when all fields are complete. Submitting proposal forwards it for export review.

You may revise the SOW as often as you like. Simply update your Word document, save as a PDF file, re-enter the IAMS application and attach as above. The old file will be replaced with the new version. You may wish to work offline with the JPI to finalize the SOW before uploading it to the system.

NOTE: The system does not archive older versions.

Do not press SUBMIT until you and the JPI are in agreement and you are ready to submit the SOW to Export Compliance for their review.

Grant managers – After submission, collect approvals & signatures on DAF.

[Note: If the SoW or budget is modified during the export review process, the proposal package may need to be resubmitted to OSR.]
Here's a look at the IAMS Templates - - -

Campus Statement of Work Template must be used. It's a Word document that can be downloaded & saved. Should be completed by CPI. Only the CPI can adequately evaluate & answer these questions relative to the science.

Templates available at:
http://www.researchadministration.caltech.edu/osr
Templates cont’d.

Campus budget & budget justification sample pages

Must include categories shown in templates. Justification must explain items specified in template.

Templates available at:
http://www.researchadministration.caltech.edu/osr/IAMS
Logging off may not be intuitive
After export review - automated email notification is sent to JPI, with a copy to CPI & grant manager, indicating export determination –

Both JPL & Campus Export reviews are now complete.
When export review is complete

OSR receives email notification that a campus research proposal is ready for submission to JPL. If the signed DAF & paper copy of the proposal documents have been received from the division:

OSR reviews proposal for compliance with campus/sponsor research policies, then

Submits proposal to JPL Finance
JPL Finance receives notice OSR has submitted proposal. Then...

JPL Finance
- Reviews and approves proposal for JPL
- Prepares Research IA to fund
- Loads .pdf of IA into IAMS

OSR notified that IA has been funded.
- OSR accepts IA
- IAMS sends notice to CPI

OSR sends PTA set-up request to grant manager
When research is determined to be export controlled, the path changes –

IAMS notification gives JPI & CPI opportunity to discuss how to proceed. Options include:

- Change Campus SoW to remove activities that are export controlled, or
- Agree that Campus SoW cannot be changed, or
- Decide not to proceed with any effort on campus

When PIs decide to proceed:

- SoW may be modified by JPI or CPI, and then
- JPL export re-reviews & necessary action taken
- Campus Export Compliance re-reviews & if required, Provost reviews
When export controlled research is approved to occur on Campus, the CPI must agree to a Technology Control Plan (TCP) and provide additional information -

**REVIEW AND ACCEPT CAMPUS TCP**

**IA100002 - MSL: Recognizing Evidence of Aqueous Alteration While Roving (ITAR EC)**

* Required fields

Click [IA Task Reports](#) to view the reports for this Task.

You are here because the Proposal has been determined to be export controlled under ITAR. Transfer of technology has been approved by the Caltech Provost subject to the following conditions in the Technology Control Plan:

Caltech TCP: EC-TCP-12-9999

Technical Data must be safeguarded and not transferred to unauthorized Foreign Persons. All team members, including the CPI, must take the export compliance training "Caltech Faculty & Researchers - Export Compliance Awareness" that is available online. As a condition for this approval, the training needs to have been completed within the last twelve months. To view the SOW, click on the IA Task Reports link above, select PDF Files and then select SOW.

To view the TCP, click on the IA Task Reports link above, select PDF Files and then select TCP.

* 1. Please select one of the following options
   - I have read the above Campus Technology Control Plan (TCP) for this Task and agree with the conditions, including the implementation of the Caltech requirements for safeguarding export controlled information prior to its receipt.
   - I have read and reject the above Campus Technology Control Plan (TCP). By rejecting the TCP, I am withdrawing the entire IA Task Request or cancelling the Task Modification (note: withdrawing the Modification does not withdraw the original Task).
If a Foreign Person (FP) will work on the export controlled IA, he/she must be identified –

*Note: if a Foreign Person joins the project later, PI must report him/her in IAMS. Technology plans & licenses must be obtained before the named FP has access to controlled information.*

Definition of Foreign Persons in Campus Export Compliance Glossary at: [https://export.caltech.edu/glossary](https://export.caltech.edu/glossary).
These details are required for each Foreign Person working on a controlled project.
Until receipt of any signed Technology Control Plans, completion of required export control awareness training, & receipt of any required licenses, IAMS holds the IA in “pending” status.

When all items above are complete, campus export can sign-off in IAMS & the action is released.

JPL finance can then issue the Research IA.

Note: If FP doesn’t need access to export controlled material/data right away, options should be discussed with campus export compliance.
To check status of proposals under review... check on the IAMS CPI page

Status is shown just below the top banner.

This research IA is Active (accepted by OSR & campus PTA is active or in-process).
Or for more details on status...
log on at: https://iams.ext.jpl.net.
IAMS Homepage opens.

Select “View My Completed Assignments”.
Status cont’d.

Proposals are identified by the IAMS ID#. Identify the proposal of interest. Click on “Review Content” for the IA of interest.
Status cont’d.

Document that opens is the CPI page (also accessible from the url link in the IAMS email).

Status is “Active”
Research IA Information Stored in IAMS

All documents stored in IAMS are available as .pdf files. Complete list of IA actions is under “Review History”.

October 2012
### Interdivisional Authorization

**Report Generated Date:** 10/01/2012

**Reviewer:** Spray, Patricia A (2192)
- **Completed On:** 09/27/2012, 01:02:23 PM
- **Review Task:** Validate Proposal
- **Action Taken:** In Progress
- **Action Details:**

<table>
<thead>
<tr>
<th>Reviewer</th>
<th>Completed On</th>
<th>Received On</th>
<th>Review Task</th>
<th>Action Taken</th>
<th>Action Details</th>
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<tr>
<td>Spray, Patricia A (2192)</td>
<td>09/27/2012, 01:02:23 PM</td>
<td>09/27/2012</td>
<td>Validate Proposal</td>
<td>In Progress</td>
<td>Proposal is reviewed.</td>
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**Reviewer:** Gayle Lund
- **Completed On:** 09/27/2012, 12:54:27 PM
- **Received On:** 09/25/2012, 03:01:35 PM
- **Review Task:** Complete Review for Compliance with Campus Standards and Submit Proposal
- **Action Taken:** Completed
- **Action Details:** Proposal meets the Campus guidelines? Yes -

**Reviewer:** Christopher L (Chris) Catherasoo
- **Completed On:** 09/26/2012, 02:01:31 PM
- **Received On:** 09/26/2012, 11:22:00 AM
- **Review Task:** Enter Export Control Determination
- **Action Taken:** Completed
- **Action Details:** Export Controlled? - NOT Export Controlled; Provost approval required? - No

**Reviewer:** Benny, Tyler L (1652)
- **Completed On:** 09/26/2012, 09:28:05 AM
- **Received On:** 09/25/2012, 01:23:24 AM
- **Review Task:** Enter Export Control Determination
- **Action Taken:** Reassigned
- **Action Details:** Tyler - Please review this 1A and make an export determination. Rachel is working on a TAA for this effort. If you have any questions, please consult Rachel.

**Reviewer:** George Helou
- **Completed On:** 09/25/2012, 03:22:22 AM
- **Received On:** 09/12/2012, 03:45:54 AM
- **Review Task:** Prepare or Revise Proposal and Supporting Information
- **Action Taken:** Completed
- **Action Details:**

**Reviewer:** Warner, Michael W (70200)
- **Completed On:** 09/13/2012, 03:42:02 PM
- **Received On:** 09/12/2012, 04:44:10 PM
- **Review Task:** Revise 1A Task Request
- **Action Taken:** Completed
- **Action Details:**

**Reviewer:** Warner, Michael W (70200)
- **Completed On:** 09/12/2012, 04:39:02 PM
- **Received On:** 09/12/2012, 04:39:02 PM
- **Review Task:**
- **Action Taken:**
- **Action Details:**
Quick-Facts About Research IAs

- Campus roles currently limited to CPI, export compliance and OSR
  - CPI must enter his/her own proposal using access.caltech ID and password
  - Grants Manager can prepare .pdf of budget/justification/DAF for submission by CPI

- Export Compliance review/approval occurs prior to OSR review & submission of proposal to JPL

- Equipment & fabrications developed under this funding will be Government Property

- Foreign Travel requires prior approval & a travel briefing 7 days prior to journey
  - If the IA is export controlled, any presentation materials are subject to document review at JPL or Caltech, prior to presentation

- HELP at:
  - Export Compliance Office – Chris Catherasoo, 3679
  - Sponsored Research – Gayle Lund, 8705
  - Access/security – Caltech IMSS Help Desk x3500
IAMS - User Tools [complete by Oct 22, 2012]

- Log-on site located at https://iams.ext.jpl.net
  - Log on using your access.caltech ID and password
  - JPL user information under Help Resources in the upper right hand corner of the screen

- Campus information & templates at http://researchadministration.caltech.edu/osr
- Caltech Campus Procedure Manual for IAMS
- Templates:
  - Statement of Work (SOW) & campus export questions
  - Budget – Simple one year & multi-year complex templates
  - Budget Justification
- Sample copies of the:
  - JPL Quick Start User Guide
  - JPL At a Glance Pamphlet
For CPI form, question 2:
OSR Contact Information

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- Lucy Molina, x2372
- Lois Sierra, x3408
- Gaylene Ursua, x3353
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