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.*
The path taken by 90% of the IAs reviewed

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

Export Controlled
- JPL IECO reviews JPL effort/role
- Campus EC reviews Campus effort/role & notifies PI/OSR

Not Export Controlled
- Camps EC reviews IA to OSR
- OSR submits IA to JPL Finance
- JPL Finance issues IA
**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:
JPI 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”.

Interdivisional Authorization Management System

The Interdivisional Authorization Management System (IAMS) is a new application that has been developed for processing interdivisional research collaborations between JPL and Campus. The tool is designed with a special emphasis on export control determination before the work is started.

IAMS features automated routing for approvals, the ability to track progress, and notification emails to all stakeholders for status changes.

References:

**

Need assistance?

JPL Users:
Technical support for IAMS application: Submit JPL IT Service Request, or call 4-HELP (818-354-4357) Business process (procedural) support: Pat Spray, (818) 395-3095

Campus users:
Technical support for IAMS application: Submit request to Campus IMSS Help Desk, or call (626) 395-3500 Business process (procedural) support: Gayle Lund, (626) 395-6705
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.
CPI Page [continued]

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.
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

October 2012
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

October 2012
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 -
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.
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).
Status continued

**Or for more details on status...**

log on at: [https://iams.ext.jpl.net](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”
All documents stored in IAMS are available as .pdf files. Complete list of IA actions is under “Review History”.

Research IA Information Stored in IAMS
Sample Review History page -

Interdivisional Authorization

Reviewer: Smyth, Patricia A (2132)
Completed On: 09/27/2012
Received On: 09/27/2012
Review Task: Validate Proposal
Action Taken: In Progress
Action Details:

Reviewer: Gayle Lund
Completed On: 09/27/2012
Received On: 09/26/2012
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 J. (Chris) Peteras
Completed On: 09/26/2012
Received On: 09/26/2012
Review Task: Enter Export Control Determination
Action Taken: Completed
Action Details: Export Controlled? - NOT Export Controlled; Provost approval required? - No

Reviewer: Brown, Tyler L (1662)
Completed On: 09/24/2012
Received On: 09/25/2012
Review Task: Enter Export Control Determination
Action Taken: Completed
Action Details: NOT Export Controlled - N/A

Reviewer: Madden, Gina (1062)
Completed On: 09/26/2012
Received On: 09/25/2012
Review Task: Enter Export Control Determination
Action Taken: Reassigned
Action Details: Tyler - Please review this IA 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
Received On: 09/13/2012
Review Task: Prepare or Revisit Proposal and Supporting Information
Action Taken: Completed
Action Details:

Reviewer: Werner, Michael W (7000)
Completed On: 09/13/2012
Received On: 09/12/2012
Review Task: Revisit IA Task Request
Action Taken: Completed
Action Details:

Reviewer: Werner, Michael W (7000)
Completed On: 09/12/2012
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 – Frank Rosas, 3679
  - Sponsored Research – Mary Gibson, X2494 or Christina Avina, X2882
  - Access/security – Caltech IMSS Help Desk x3500
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

- Christina Avina, x2882
- Lisa Miller, x3339
- Lucy Viramontes, x2372
- Leo Gonzalez, x3408
- Gaylene Ursua, x3353
- Jenny Mercado, X2115

- Cavina@caltech.edu
- Lisa.Miller@caltech.edu
- Lucy.Molina@caltech.edu
- Lois.Sierra@caltech.edu
- Gaylene.Ursua@caltech.edu
- Jenny.Mercado@caltech.edu