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## **Welcome to Potential Affiliates,**

The Advanced Studies Laboratory (ASL) is a partnership between NASA Ames Research Center (ARC) and the University of California, Santa Cruz (UCSC). Supported by a Space Act Agreement between the partners and directed from UCSC's Silicon Valley Initiatives, ASL is making innovation practical by creating a shared research space at NASA ARC operated by UCSC.

ASL's Vision is to implement a first-of-its-kind strategic alliance between a premier Federal research agency and one of the nation's most prestigious institutions of public higher education to create an exemplar research organization that can also serve as a model suitable for "franchising" to other locations and discipline areas. Our Mission is a collaborative facility with vigorous science and technology development activities on the NASA ARC campus, in Building N239. This facility has a mix of laboratory and office space with equipment and services supporting research in molecular and environmental biology, life sciences and astrobiology, earth and planetary sciences, chemistry and chemical engineering, nanotechnology and materials science, and other areas. ASL actively seeks new partners to become founding Affiliates of ASL.

ASL operates shared, 'common' spaces within N239. These include laboratory, office, meeting, and library facilities. In addition to locating activities within the common areas, space is available to operate Affiliate-specific equipment and pursue individual projects in access-controlled areas. ASL supports a suite of equipment/facilities available to Affiliates in a cooperative and dynamic environment of intellectual exchange. NASA, the federal science and engineering agency charged with exploring the Earth and space, and UCSC, part of the premier research and training university in California, provide the foundation for this endeavor.

## **Benefits of ASL Affiliation**

- 4 Innovation in a Commons-based laboratory architecture
- 4 An open-access, cooperative facility with a free flow of researchers and ideas
- 4 Respond to funding opportunities from multiple sources, for pilot and full-scale activities
- 4 Access to wet and dry laboratory facilities
- 4 Access to temporary and long-term office and lab space
- 4 Access to shared equipment
- 4 Partner with researchers and technologists from ARC, UCSC, and industrial Affiliates
- 4 Student engagement, from UC and other academic partners

To explore your future with the Advanced Studies Laboratories, please contact:

Rosalind A. Grymes, Ph.D., Director

[Rose.Grymes@NASA.gov](mailto:Rose.Grymes@NASA.gov); 650-604-3239



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## ASL Affiliation Packet

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### **ASL: How can it work for you?**

ASL's environment combines the strengths of the federal research enterprise (through NASA, a premier engineering and science agency with a unique mandate to explore Earth and space) with those of California's leading university system.

A major benefit of ASL affiliation is participation as an included partner in the suite of activities that create and maintain the dynamic research environment within ASL. The Director and her staff present several seminar series', organize selected workshops, and actively advocate joint research opportunities involving on-site facilities and field investigations. Because of the engagement of both the UC and NASA partners, funding opportunities develop that offer both pilot and full-scale research funding from multiple sources.

The engagement of industrial partners further expands ASL's sphere of opportunity. ASL staff actively monitors, investigates, advocates, and creates opportunities to fund work related to Affiliates. One of ASL's keystone Affiliates is the Bio-Info-Nano Research and Development Institute (BIN-RDI, <http://bioinfonano.org>). BIN-RDI is an active proponent and organizer of industrial involvement, facilitating connections with university and NASA research. ASL's association with BIN-RDI is a further stimulus to the success of the dynamic environment being created at NASA ARC.

ASL plays a central role in supporting the Affiliate by facilitating the agreements necessary to establish affiliation. This process is described below in **Steps in Developing an Affiliation**.

A key aspect of the active interchange of the research environment is cooperative access to expertise and facilities. In the context of the NASA ARC campus and ASL-focused work, the involvement of students, at all levels, and faculty researchers from UC and other academic partners is a unique asset. In addition to the fruitful combination of academic, federal, and industrial creative talent, ASL acquires and facilitates access to facilities and equipment appropriate to ASL-focused work. ASL staff manages the availability, operation, maintenance, and distribution of shared assets and facilitates access to Affiliate-specific assets.

On an ongoing basis, ASL addresses the practical concerns of the physical environment within N239, and constantly advocates improvements to operations. Affiliates become residents of NASA's N239 facility, and are provided with credentials (badges) to access the NASA ARC campus. ASL handles on-site logistics and interactions with ARC representatives needed to expedite necessary construction, renovation, and installations whether general or Affiliate-specific. Affiliates are advised that our location on the NASA Ames campus may require the use of NASA approved contractors for some activities and will require appropriate permits and related compliance.

ASL is creating a new paradigm for practical collaboration, and focuses on lubricating the workings of that paradigm.



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## **Steps in Developing an Affiliation**

### **First Contact**

You've made first contact, and as a result have been provided this packet of information. Included here are background information, a template for an **Affiliation Proposal**, and an **Affiliate Environmental Questionnaire**. It is optional to return the Affiliate Environmental Questionnaire with your submission; it is provided here for your review and information. All projects will interface, through ASL, with the NASA Ames Office of Safety, Reliability, and Mission Assurance prior to undertaking operations. A preliminary review of relevant issues will be initiated during the proposal evaluation.

**We are available to help you complete these materials, and to review drafts at any stage. Please call with questions.**

### **Letter of Intent**

Interested parties are asked to communicate (letter, e-mail) with the Director of the ASL indicating their intent to pursue an Affiliation. The Letter of Intent should indicate:

1. The sender is authorized to enter into such partnerships and/or indicate appropriate points of contact within his/her organization and,
2. Provide general information on the scope of the activities to be included in the Affiliation.

ASL staff reviews these materials and evaluates the 'fit' of the new activity, considering ASL's strategic directions, the interests and activities of current ASL Affiliates, the facilities required by, and the benefits anticipated from, the potential Affiliate. Based on this initial review, the Director initiates a dialogue with her counterparts at UCSC's Silicon Valley Initiatives and NASA Ames Research Center (ARC) to discuss the proposed Affiliation and acquire provisional concurrence to proceed with a formal proposal for affiliation. Following this discussion, Proposers who are invited to apply will be assisted in completing an Affiliation Proposal.

## **Affiliation Proposal**

A complete Affiliation Proposal contains:

- 1. Research Plan**
- 2. Operations Plan (including staffing, management, resources)**

This section should include the Affiliate Environmental Questionnaire

- 3. Affiliation Plan (including facilities/space requirements)**

This section should be developed in consultation with ASL staff (see template attached).

3.1 This part of the proposal should explain how the research, approach, and partnership fulfill the ASL's Mission. ASL is a strategic partnership between the University of California, Santa Cruz (UCSC), and NASA ARC. ASL expects its Affiliates to work in a collaborative fashion, support a dynamic research and training environment, and bring tangible contributions to this cooperative and vigorous exchange.

3.2 The Proposal should address why the particular attributes of N239 are uniquely appropriate to the work (i.e. facilities, co-location with collaborators, access to common space and shared use equipment). It should explain how the Affiliate intends to enhance and expand the ASL, such as providing equipment, access to facilities, expertise, and/or student engagement. The ability of the Affiliate to provide resources for renovation, upgrades, and operations/maintenance should be discussed.

3.3 The mechanism of association with NASA Ames must be addressed (Reimbursable Space Act Agreement (SAA), Annex to an existing SAA, Enhanced Use Lease (EUL). The participation of UCSC faculty and staff may be covered by the existing ASL Reimbursable SAA between NASA ARC and UCSC. Projects managed through other UC campuses will be assisted in the development of a parallel RSAA. Similarly, if a project plans to operate primarily in an open, interactive environment, it will receive assistance from ASL in preparing to establish a formal relationship with NASA ARC. Projects requiring exclusive use of space and specific limitations on access to their research facilities may elect to lease facilities. ASL will consult with the Proposer, determine an optimum course, and support the development of documentation necessary to establish the Affiliation on terms consistent and equitable with other Affiliates.

The completed Affiliation Proposal is submitted to the ASL Assistant Director. DO NOT SUBMIT PROPRIETARY OR CONFIDENTIAL INFORMATION. If it is necessary to include such information, contact the ASL Assistant Director to ensure proper handling. The Proposal will be shared with appropriate advisory groups and individuals associated with ASL, and will provide content for ASL outreach materials if the affiliation is concluded.

## **Acceptance**

If the Affiliation meets the goals of ASL and the proposed work can be accomplished within the resources of ASL, the Director will initiate the final advocacy discussions with ASL's primary partners, NASA ARC and UCSC. When concurrence is obtained, the Proposer becomes an ASL Affiliate and may access shared-use ASL facilities, equipment, and other benefits of affiliation.. ASL will then work jointly with the Affiliate to develop any further necessary partnership documents (see 3.3 above). When all partnership documents are complete, the Affiliate may occupy individually assigned space within ASL, in addition to using shared-use spaces.

# Advanced Studies Laboratories (ASL) Affiliation Proposal

[Template; any format is acceptable]

## **Cover Sheet:**

Project or Entity Name:

Company, Institution, and/or NASA Affiliation:

Proposal Lead:

Name:

Contact Number:

Email:

Signature:

Date:

Responsible Senior Official (if not Proposal Lead)

Name:

Contact Number:

Email:

Signature:

Date:

Responsible Business Official (if not Proposal Lead)

Name:

Contact Number:

Email:

Signature:

Date:

## **Proposal Body:**

### 1. Research Plan

This section should include information sufficient to allow the reader to understand the background of the project, the purpose and scope of the work, how the research is conducted, and discuss the broader relevance of the research generally and in the context of ASL.

### 2. Operations Plan

In this section, please provide insight into how the work is directed and the organizational structure of the group. Describe the timeline of the project with anticipated milestones and discuss the project's resources including the status of all required funding. The names and project roles of all staff should be provided; a table such as the template attached may be used. Please include the completed Affiliate Environmental Questionnaire, if appropriate. (Projects that do not involve on-site work or NASA projects already resident in N239 may not need to complete this survey, please consult with your ASL contact to inquire.)

### 3. Affiliation Plan

This section should discuss how the project and proposed affiliation address the goals of the Advanced Studies Laboratories. It is helpful to identify the project's current and prospective partners, and their associations with UC, ARC, other academic entities or non-profit research organizations, and/or industry. The Proposer should clearly indicate how the facilities available in N239 are appropriate for the project, and describe any facility modifications, upgrades, installations, or renovations necessary for or beneficial to the project, addressing if possible how these will be supported. It is particularly important to discuss the contributions that the Proposer anticipates providing to the common architecture of ASL, whether those relate to personnel, equipment, access, or advocacy.

Finally, the Proposer should indicate their preferred mechanism of association with NASA Ames, in addition to their proposed Affiliation with ASL. ASL will facilitate the completion of this association, and the mechanism selected should be determined in consultation with ASL staff. Options include: Space Act Agreement (can be reimbursable), Annex Space Act Agreement (if a current and appropriate Agreement exists between the Proposer's institution/company and NASA), or Enhanced Use Lease Agreement. Projects led by NASA Ames personnel (civil servants or contractors) do not need a further association with NASA, but should indicate the project's status.

## **Submission**

Completed proposals should be submitted to:

Rosalind A. Grymes, Ph.D.  
Director,  
Advanced Studies Laboratories  
MS 239-24  
NASA Ames Research Center, Moffett Field, CA 94305

Rose.Grymes@NASA.gov

Please submit the cover sheet and proposal body electronically, with any attachments. It is only necessary to send a cover page, with original signatures, by mail. Electronic acknowledgments from the Proposal Lead, Responsible Senior Official, and/or Responsible Business Official are also acceptable; cc them on the proposal submission and have them respond with their support to the Director at Rose.Grymes@NASA .gov.

All proposals will be acknowledged.



**For Internal Use Only:**

Date

Received:

\_\_\_\_\_

Final Briefing to ARC POC:

\_\_\_\_\_

Concurrence Received:

\_\_\_\_\_

Final Briefing to USCS POC:

\_\_\_\_\_

Concurrence Received:

\_\_\_\_\_

Documentation Process:

*(check one)*

- SAA (Space Act Agreement) No. \_\_\_\_\_
- Annex SAA (Space Act Agreement) No. \_\_\_\_\_  
Original SAA Owner and No. \_\_\_\_\_
- EULA (Enhanced Use Lease Agreement) No. \_\_\_\_\_
- Grant/Cooperative Agreement No. \_\_\_\_\_
- Contract No. \_\_\_\_\_
- NASA Project

\_\_\_\_\_ (initiated)

\_\_\_\_\_ (completed)

Approved:

\_\_\_\_\_  
Rosalind A. Grymes, Ph.D.  
Director  
Advanced Studies Laboratories

\_\_\_\_\_  
Date

cc: Y. Pendleton, ARC/D:200-3  
S. Zornetzer, ARC/D:200-3  
M. Chemers, UCSC-SVI/MS19-25  
C. Sanchez, UCSC-SVI/MS19-25



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## Affiliate Environmental Questionnaire

**Prospective Affiliate:** \_\_\_\_\_

**Completed by:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Email:** \_\_\_\_\_

### General Description of Activities

#### **Environmental Permits**

Will one or more permits from an environmental regulatory agency be required for the proposed operation(s)?

**Yes**       **No**       **Don't Know**

If yes, please describe the operation and give the permitting agency and permit type (if known):

#### **Chemical and Biological Materials**

Will these materials be used and stored on site?

**Yes**       **No**

If yes, please complete a Chemical/Biologicals Inventory and attach

**Hazardous Materials Use/Storage (*May require permit*)**

Will hazardous materials be used or stored on site?

**Yes**       **No**       **Don't Know**

If yes, please indicate on the Chemical/Biologicals Inventory

**Hazardous Waste Generation/Storage (*May require permit*)**

Will hazardous waste be generated or stored at the site (see California Code of Regulations CCR Title 22, <http://www.dtsc.ca.gov/LawsRegsPolicies/Title22/index.cfm>)?

**Yes**       **No**

If yes, please indicate on the Chemical/Biologicals Inventory

**Air Emissions (*May require permit*)**

Will a dedicated exhaust system (other than general building ventilation) be required for any operation or equipment?

**Yes**       **No**

Will vapors, dust, fumes or smoke be generated by any operation or equipment?

**Yes**       **No**

Will toxic or noxious air emissions be generated by any operation or equipment?

**Yes**       **No**

If yes to any of the above, please provide further details (type, frequency, etc.):

**Waste Water (*May require permit*)**

Will waste water (other than domestic waste water) be generated?

**Yes**       **No**

If yes, please provide further details (type, frequency, etc.):

**Storm Water Contamination (*May require permit*)**

Will any materials be stored uncovered out of doors?

**Yes**       **No**

Will any activities take place outdoors in an uncovered area?

**Yes**       **No**

If yes to any of the above, please provide further details:

**Medical Waste (*May require permit*)**

Will any waste generated at the site be considered a medical waste under California Health and Safety Code 25015?

**Yes**       **No**

If yes, please provide further details (type, frequency, etc.):

**Radioactive Sources (*May require permit or license*)**

Will radioactive materials or radiation producing machines be used or stored on site?

**Yes**       **No**

If yes, please provide further details (source, type, dose rate):

