

CNSI Technology Incubator General Policies

1. Overview

The California NanoSystems Institute (CNSI) Technology Incubator is currently the only incubator space on the Central Coast that offers startups and students associated with entrepreneurial programs the ability to lease general-purpose lab facilities. Access to this type of space is critical to newly emerging technology-based companies, which often have to develop proof-of-concept data or prototypes to attract sufficient funding to have the resources required for full development.

The Technology Incubator supports CNSI's missions of fostering innovation and entrepreneurship and benefiting the economy and society through technology translation and commercialization.

This document lists out the General Policies for both companies seeking membership and those actively participating in the program. These guidelines are meant to provide context and structure beyond the UCSB Lease agreement.

2. Qualifying Tenants

Membership in the incubator is based on first-come-first-served, until all leasable workspaces are occupied. In the future, CNSI may move to a cyclical membership process.

The following criteria will be used to determine eligibility for Incubator membership:

- a. Companies requiring dedicated laboratory facilities, bench space, or advanced computing infrastructure
- b. Companies incorporated no more than 5 years before joining the incubator
- c. Companies that have not yet raised Series A funding
- d. Companies that are pre-production (cash-flow negative)
- e. In priority order:
 - i. Startups founded by UCSB students, post-docs, faculty, or alumni
 - ii. Companies licensing IP from UCSB
 - iii. Companies actively collaborating with a member of the UCSB community
 - iv. Companies founded by, or licensing technology from, other campuses in the UC system
 - v. Companies from the local community
 - vi. Companies relocating to Santa Barbara

3. Length of Term

Membership in the CNSI Technology Incubator will be limited to two years, extendable up to a 4-year maximum tenure in 1-year increments, pursuant to the sole discretion of the CNSI Technology Incubator advisory committee.

4. Footprint

In order to maximize the impact provided by the incubator to the local entrepreneurial community, the physical footprint available to any single company will be constrained to:

- a. A maximum of 3 stations comprising of
 - i. Up to 2 bench stations
 - ii. Up to 2 hood stations
- b. A maximum of 2 desks in the Incubator Offices
- c. A maximum of 2 equipment slots

Requests for additional space beyond these constraints may be accommodated provided that (a) the space is available and (b) the member company agrees to reduce its footprint back to the original limits upon request.

5. Available Facility Resources

Given the limited space available in the Technology Incubator for dedicated equipment, member companies are encouraged to utilize UCSB's multi-user recharge laboratories. To that effect, qualifying companies (see below) are eligible to access the CNSI-managed facilities at reduced rates. These labs include:

- The Biological Nanostructures Laboratory (BNL)
 - o <https://www.cnsi.ucsb.edu/facilities/biological-nanostructures>
- The Microfluidics lab
 - o <https://www.cnsi.ucsb.edu/facilities/microfluidics>
- The Quantum Structures Facility (QSF)
 - o <https://www.cnsi.ucsb.edu/facilities/quantum-structures>
- The high-performance computing cluster managed by the Center for Scientific Computing
 - o <https://csc.cnsi.ucsb.edu>
- The CNSI Innovation Workshop (makerspace)
 - o <https://www.cnsi.ucsb.edu/facilities/innovation-workshop>

CNSI has also partnered with the UCSB Nanofab (<https://nanofab.ucsb.edu>), the Materials Research Laboratory (<https://www.mrl.ucsb.edu/facilities>), and the Materials Processing Laboratory (<http://mpl.materials.ucsb.edu>) to provide discounted rates at those facilities.

To qualify for the fee break, member companies must meet the following requirements:

1. The CNSI incubator serves as headquarters for the company; the majority of the company's executive management (faculty founders excepted) resides at CNSI and most routine corporate activities take place in Elings Hall

2. The leased incubator space and UCSB recharge facilities are the company's only research facilities (contract manufacturing and foundry services excepted)
3. The startup company is in the first 2 years of incubator membership

Should any portion of the company's research activities move to leased space off-campus, a grace period of up to 6-months may be granted before a company will be transitioned to the external recharge rates.

For any activities requiring regulatory oversight, member companies are encouraged to maintain detailed records of their facilities use.

6. Conference Rooms and Phone Booths

As indicated in the Lease Agreement, member companies may reserve the CNSI conference rooms for up to four (4) hours a month. Reservations should be made through the CNSI Assistant Director's office, ideally with 24 hours' notice. Priority will be given to University's use of these conference rooms.

Single-person and 4-person sound insulated booths are available throughout the building for ad-hoc use without reservations. Guidelines for booths usage are as follows:

- Continuous use of the booths shall be less than one hour
- No food or drink are permitted in the booths
- Do not leave any trash in the booths
- Report all issues to the building manager for resolution

7. Other Resources

Technology Incubator companies are qualified to apply to the G2 Launchpad operated by the Technology Management Program and will have access to the wide variety of programming targeted at UCSB's innovation and entrepreneurship ecosystem. Applications open in late May of each year.

8. Safety

All users of incubator space must adhere to all building safety guidelines and shall not bring any hazardous materials or equipment into the building without first consulting with the Building Manger to establish proper procedures for use, handling, and storage of the item. A complete list of all materials on hand must be kept up to date in the company's Chemical Hygiene Plan (CHP).

All company CHPs should be placed in the designated spot in the lab, accessible by all lab users.

9. Visitors

Should incubator members want to take visitors into the Incubator laboratory (or any of CNSI's shared facilities):

- Notice of the visit should be given to both the Incubator Program Manager and the Building Manager
- Visitors should be accompanied at all times by individuals who have been cleared to work in the lab; doors should not be propped open to permit access
- Visitors should act only as observers and must wear appropriate PPE to be provided by the member company
- Visitors should be asked to sign a Waiver of Liability provided by CNSI

10. Shipping and Receiving

Shipping and receiving services are available to Incubator companies through CNSI with the following stipulations:

1. Shipping and receiving office hours (room 3448) are 9am-5pm. The office is closed between noon and 1pm.
2. Outgoing shipments must have a **pre-paid** label and can be dropped off for pickup by UPS or FedEx. Additional drop-off locations are available between Engineering 2 and the Materials Research Laboratory.
3. Companies leasing laboratory space may receive shipments of materials, supplies, and equipment at CNSI, provided that the materials will be used in a campus facility. Companies not leasing a bench space in the incubator may only receive paper mail and supplies relevant to office and computing use.
4. Companies may not have materials shipped to CNSI for use off-campus.

11. Code of Conduct

The UCSB Lease agreements details out the responsibilities of the Tenants (member companies) and the Landlord (CNSI). However, in an effort to provide a productive and safe environment to all members simultaneously occupying the space, a few points should be emphasized:

- a. Lab cleanliness – work and storage areas must be kept clean and decluttered. This is primarily in support of maximum safety, but it also creates a more hospitable working environment for the other tenants and ensures that visitors to the lab (e.g. prospective members and financial supporters) have a good impression of the facility.
- b. Staying within the lines – materials and equipment must be confined to the space leased by your company, even if adjacent stations are presently unoccupied. This will help us track how much space is available for future tenants. If you need additional space beyond your current lease, please discuss the possibility of expansion with the incubator management.

- c. Respecting IP – part of the value of the incubator is fostering corporate growth through access to a vibrant entrepreneurial community. We believe that sharing knowledge and experience will ultimately help all participants. However, please be aware that even though fellow members may be working in unrelated technologies or market verticals, certain information will be considered sensitive and should be respected as such. Ultimately, it is the responsibility of each individual company to safeguard their IP and any other confidential or proprietary information while working in the incubator (or any multi-user facility on campus).
- d. Resolving disputes – should any issues, problems, or concerns arise, whether major or minor, please contact the CNSI Technology Incubator management. Contact information is provided below.
- e. Opportunities for improvement – if you have ideas on how we can improve the incubator program or facilities, please contact the CNSI Technology Incubator management. Contact information is provided below.

12. Contact information

Incubator program:

Tal Margalith

Executive Director of Scientific Initiatives and Innovation

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Incubator support (conference rooms, lease amendments, programs):

Alana Beal

Administrative and Special Projects Analyst

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Incubator facilities, equipment, and safety:

Philip Becker

Building Manager

philip.becker@ucsb.edu

Read and Understood,

Print name

Title, company

Signature

Date