

## Laboratory Notebook Policy

### POLICY:

The Institute requires that all scientific information produced by its facilities or resources be accurately and clearly recorded in the GSHS laboratory notebook. Scientific information should be defined in sufficient detail to allow other researchers to understand the logic and the documentation of ideas and experimental procedures, and to repeat experiments. The GSHS laboratory notebooks must be held and protected responsibly. In addition, Scientific Information that might form the basis for an Invention Disclosure should be witnessed by an individual who is able to understand the idea, information or experiment but who is not a potential co-inventor.

The person who records information in the notebook ("Author") should follow the "Procedures for Laboratory Notebook Keeping" (below). The Principal Investigator is obliged to inform all laboratory staff of GSHS laboratory policies and handling of Laboratory books. He/she should regularly review the suitability of all notebooks authored by his/her laboratory members to ensure that Scientific Information is recorded and maintained accordingly and in conformity with these procedures.

### PURPOSE:

This policy facilitates continuity of the research project at the Institute, allows the Institute to verify and validate experimental data, and provides data and a legal basis for patents and licensing.

### PROCEDURE:

The GSHS Office will provide numbered GSHS laboratory notebooks to graduate students and postdocs. The Institute Administrative Assistants should keep track of the information below, for each notebook:

- Name of the Student
- Student ID number
- Name of the Graduate Program
- Notebook number
- Signature

### Practices for Laboratory Notebook Keeping

1. All research data must be recorded in special numbered GSHS Laboratory Notebooks with lined and numbered pages.
2. Notebooks should be kept intact and **pages should not be removed** or damaged.
3. Pens, but not pencils, must be used for all entries.
4. A notebook is a record of the primary scientific ideas and data produced by GSHS laboratories. Each notebook must contain the Scientific Information generated by the "Author", who is clearly identified on the front door of the notebook. A notebook should not

- be transferred to another technical person for data entry. In addition, if a person later stops working in a project that is being continued by a different researcher, a new notebook should be assigned.
5. Entries should clearly and explicitly describe the work that is planned or that has been performed.
  6. Ideas, proposals, plans or suggestions for work to be done should be labeled as such and described in the present or future tense; so they may be clearly differentiated from the experiments/work that was actually performed and described in sufficient details.
  7. Scientific experiments or other work that has already been done should be described in the past tense.
  8. Notebook entries should be entered in the order in which the experiments are performed.  
**Loose pieces of paper should not be used to record data for subsequent entry.**
  9. Abbreviations or terms that cannot be understood by a scientist working in a different field should be defined at the beginning or end of the notebook, and should be avoided if possible.
  10. All the entries and even errors in the notebook should be understandable. If an error is made, a single line must be drawn on the incorrect information and the change must be given at the beginning of the page and a date must be given. **Entries should never be deleted.**
  11. The Author **should enter the date** at the beginning of each page.
  12. Every page should be used and empty spaces on pages should be avoided. If he/she wants, the Author can cross-refer to previous pages or ahead to results later obtained. If a blank space is left on a page or a page is skipped then a diagonal line should be drawn across the blank space with the word cancel, the date and the signature of the Author.
  13. Photographs, drawings, graphs, computer printouts, and tables of analytical results should be pasted or otherwise firmly affixed onto a notebook page along one edge. These entries should also be dated. It should be indicated on the notebook page that such attachments have been made.
  14. Electronic data storage formats **shall not be used as a single or primary** recording of patented experimental results. Due to the ease of changing data, they are not likely to withstand a court challenge. An output and a printout of the data should be entered into a laboratory notebook, which is dated as described above.
  15. In cases where the printout of data is not feasible, the Author should state the location and date of the computer-based data on the Notebook pages and refer to the data as such in the subsequent pages. If the primary data is to be used for further computer-based experiments, it should be done so as a second copy and the original data should remain as originally indicated.
  16. Pages describing ideas or experiments that may lead to inventions should be dated shortly after the completion of the page. These pages provide valuable evidence when a patent dispute is occurred about who was the first to discover the invention.
  17. The supervisor should review the notebook with the Author on a regular basis to assure that the Author is in compliance with these Notebook Practices.

### **Disposition of Notebooks and Access to Data**

The Principal Investigator/Lab Head/Supervisor is responsible for keeping and maintaining all the notebooks. Notebooks containing information that may be relevant to a patent of a licensed technology will be retained throughout the period of the license. Other Notebooks will be kept for 5 years after publication or after completion of work for unpublished data. When leaving the Institute, the original Notebooks of the researchers should be left with the PI.

On leaving the Institute, the researcher is entitled to a copy of the Notebooks, but not to the original Notebooks, which will be retained by the Institute.

### **CONTACTS**

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