

Revised on May 30, 2014.
(Established on January 1,
2015.)

Chapter 1 General Provisions

Article 1 【Purpose】 The purpose of these Guidelines is to prescribe matters necessary for Seoul National University's researchers to draw up and manage lab notes in order to manage and utilize systematically information, data and know-how obtained in the process of performing research.

Article 2 【Scope of Application】 ① These guidelines target all the principal investigators and participating researchers (hereinafter referred to as "researcher") who participate in research & development projects falling under any of the following subparagraphs and which are performed by Seoul National University (hereinafter referred to as "SNU"):

1. National research & development project;
2. Project wherein lab notes are drawn up and managed in accordance with the agreement.

② A researcher may apply these guidelines *mutatis mutandis* even to any research & development project not included in Paragraph (1) if the drawing up of lab notes is required in view of the nature of the project.

Article 3 【Definitions】

The terms used in these guidelines shall be as follows:

1. The term "lab note" refers to documented materials on which a researcher records his/her research process and results from the start of a research performance to the reporting or presentation of research & development results or acquisition of related intellectual property rights;
2. The term "written lab note" refers to a bound lab note on which contents are recorded using a writing tool, etc.;
3. The term "electronic lab note" refers to a lab note on which contents are recorded in the form of electronic document or document subject to computerization;
4. The term "electronic documents" refers to documents prepared, transmitted, received, or stored in electronic form by an information processing system;
5. The term "documents subject to computerization" refers to documents converted into a

form that may be processed by an information process system from documents not prepared in electronic form;

6. The term "recorder" refers to a person who directly records research performing processes and their results on lab notes while participating in a research project;
7. The term "inspector" refers to a person who confirms and signs the contents of lab notes.

- Article 4 【Duties】** ① The president shall use lab notes for the management of research & development projects, maintenance of continuity of researches, provision of know-how and protection of intellectual property rights, etc., but not use them for the purpose of controlling, etc. affiliated researchers.
- ② The head of the R&DB Foundation shall be responsible for general management of related affairs such as preparation and management, etc. of lab notes, and try to activate use of lab notes. However, if necessary, the head of the R&DB Foundation may entrust some of his/her duties to the head of the Management Institution.
- ③ The researcher shall faithfully perform his/her duties of preparation and management, etc. of lab notes according to these guidelines.

Chapter 2 Preparation of Lab Notes

- Article 5 【Requirements of Lab Notes】** ① A written lab note shall meet the requirements falling under the following subparagraphs:
1. As for a lab note, a bound form of note wherein insertion and deletion is difficult shall be used;
 2. When writing contents, a writing tool that makes the contents unchangeable in quality and preservable for a long time shall be used;
 3. On the first page of a lab note, the name of the institution, title of project, name of principal investigator, name of the recorder, and lab note management number shall be written down. On each page, its own page number shall be printed, and an edge with a margin shall be kept. In addition, the signatures of a recorder and an inspector, date of recording, date of inspection, etc., shall be included in each page.
- ② An electronic lab note shall meet the requirements under the following subparagraphs:
1. The function of certifying the recorder's signature on electronic documents shall be included;
 2. The function of automatically recording the date and time research records are inputted shall be included; and
 3. The function of identifying forgery or alteration made in the records shall be included.

- Article 6 【Preparation Method】** Lab notes shall be prepared according to the following subparagraphs:
1. On a lab note, only objective facts shall be recorded without forgery or alteration in

- detail and correctly;
2. For a project for which a lab note is to be prepared, a separate lab note shall be prepared by each participant. However, according to the nature of the project, a lab note may be prepared by a research project;
 3. The processes and results of research performance shall be prepared so that a third party may reproduce it.

Chapter 3 Management of Lab Note

Article 7 【Inspection】 ① The principal investigator shall serve as the inspector, confirm the recorder's lab note, and sign the note.

- ② The principal investigator may, considering the research's characteristics, select the second-ranked researcher as inspector.

Article 8 【Ownership of Lab Note】 Lab notes produced according to the results of research & development performance shall be the property of Seoul National University except as prescribed by the agreement.

Article 9 【Preservation and Management】 ① Lab notes shall be preserved according to the following subparagraphs:

1. In principle, a lab note shall be preserved for thirty (30) years from the date of preparation;
 2. In case of retirement, temporary retirement, or change in participation, etc., a researcher shall hand over the lab notes prepared up to that time to the succeeding researcher or return them to the principal investigator.
- ② The head of the R&DB Foundation may preserve written lab notes using separate preservation methods such as documents subject to computerization, micro film, or other electronic media, etc.
- ③ The head of the R&DB Foundation shall prepare a management ledger of lab notes and record and maintain matters necessary for the management of lab notes.

Article 10 【Disclosure and Removal】 ① Unless there is any particular reason, preserved lab notes shall neither be disclosed nor removed to the outside.

- ② The head of the R&DB Foundation may, where intending to disclose a lab note to the outside, disclose it after deliberation thereof through the Research Operations Committee.

Article 11 【Destruction】 ① In cases wherein lab notes whose preservation period has passed need not be preserved any longer or lab notes whose preservation period has not yet passed but deemed unworthy of preservation, the head of the R&DB

Foundation may destroy them.

- ② Where the head of the R&DB Foundation intends to destroy lab notes according to Paragraph (1) of this Article, such lab notes may be destroyed after deliberation thereof by the Research Operations Committee.

ADDENDA

Article 1 【Enforcement Date】 These Guidelines shall enter into force on January 1, 2015.

Article 2 【Transitional Measures】 Matters treated in accordance with the Seoul National University Lab Note Guidelines (established on November 3, 2008) before the enforcement of these Guidelines shall be regarded to have been treated in accordance with these Guidelines.

Article 3 【Repeal of Previous Guidelines】 Previous Seoul National University lab note guidelines are repealed by the enforcement of these Guidelines.