

---

**Ames Laboratory**

Office	Environment, Safety, Health & Assurance	Procedure	10200.080
Title	Laboratory Notebook and Research Documentation Procedure	Revision	0
Page	Page 1 of 5	Effective Date	Date 05/01/10
		Review Date	Date 05/01/13

---

## LABORATORY NOTEBOOK AND RESEARCH DOCUMENTATION PROCEDURE

The Laboratory Notebook and Research Documentation Procedure sets forth guidelines for proper documentation, maintenance, capture, and storage of Ames Laboratory research. This will ensure that work performed here meets quality research requirements and can be replicated by future generations. It will also protect the intellectual property rights of the Lab and its researchers.

Comments and questions regarding this plan should be directed to the contact person listed below:

Name: Amy Tehan  
Training & Records Management Coordinator  
Address: 151 TASF  
Phone: 294-1376  
Email: [ajotehan@ameslab.gov](mailto:ajotehan@ameslab.gov)

---

**Ames Laboratory**

Office	Environment, Safety, Health & Assurance	Procedure	10200.080
Title	Laboratory Notebook and Research Documentation Procedure	Revision	0
Page	Page 2 of 5	Effective Date	Date 05/01/10
		Review Date	Date 05/01/13

---

## SIGN-OFF RECORD

The Laboratory Notebook and Research Documentation Procedure has been reviewed and approved as documented below:

**Approved by:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Tom E. Wessels, Manager, Environment, Safety, Health & Assurance

**Approved by:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Mark L. Murphy, Chief Operations Officer

**Approved by:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Debra L. Covey, Sponsored Research Administration Associate Director

**Approved by:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Dr. Cynthia Jenks, Chief Research Officer (Acting)

**Approved by:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Dr. Bruce N. Harmon, Deputy Director

**Approved by:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Dr. Alexander H. King, Laboratory Director

*Note: Original Sign-off Record with signatures is on file with ESH&A.*

---

**Ames Laboratory**

Office	Environment, Safety, Health & Assurance	Procedure	10200.080
Title	Laboratory Notebook and Research Documentation Procedure	Revision	0
Page	Page 3 of 5	Effective Date	Date 05/01/10
		Review Date	Date 05/01/13

---

**1.0 Revision/Review Log**

<b>Review Number:</b>	<b>Effective Date:</b>	<b>Contact Person:</b>	<b>Pages Affected:</b>	<b>Description of Revision:</b>
0	05/01/10	Amy Tehan	All	Original Issue

---

**2.0 Purpose and Scope**

The purpose and scope of this procedure is to implement the requirements of DOE O 243.1, "Records Management Program" as it applies to any research documentation produced at the Ames Laboratory.

**3.0 Responsibilities of Key Personnel****3.1 Records Management (RM) Coordinator:**

The Records Management Coordinator will make available to researchers and other staff this procedure and the Laboratory's Guidelines for Preparing and Maintaining a Research Notebook (Guide 10200.069), and provide training for researchers regarding Laboratory Notebooks and research documentation.

The RM Coordinator will also supply barcodes for storeroom personnel to affix to each notebook, microfilm notebooks when they are turned in to the Records Management Office. Notebooks will also be stored and tracked by the RM Coordinator, and checked out to staff as requested.

**3.2 Researchers and Scientific Staff:**

Researchers are responsible for preparing and maintaining Lab Notebooks according to the Laboratory's guidelines, and for turning in notebooks to the Records Management Office. Research staff will also complete Lab Notebook training as requested.

**3.3 Intellectual Property Coordinator:**

The IP Coordinator will work with researchers and scientific staff to ensure adequate documentation of potential intellectual property.

**3.4 Storeroom Personnel:**

Storeroom personnel will affix barcode stickers and copies of Guide 10200.069 to all Lab Notebooks purchased by researchers, and will record the name and employee number of each researcher who purchases a notebook, along with the notebook's barcode.

---

**Ames Laboratory**

Procedure 10200.080

Office Environment, Safety, Health &amp; Assurance

Revision 0

Title Laboratory Notebook and Research Documentation Procedure

Effective Date Date 05/01/10

Page Page 4 of 5

Review Date Date 05/01/13

---

**3.5 Radiation Safety Personnel:**

Radiation safety personnel are responsible for surveying Lab Notebooks that may have been exposed to radiation. These personnel will also label notebooks with a Survey Status label and document survey findings.

**3.6 Laboratory Notebook Borrower**

Staff who borrow Laboratory Notebooks are responsible for maintaining them and returning the notebooks to the Records Management office when they are no longer needed.

**4.0 Performance****4.1 Pre-Performance Activities**

The RM Coordinator will provide unique barcodes to Storeroom personnel to be affixed to Lab Notebooks. Storeroom personnel will purchase Lab Notebooks from the approved vendor, and affix barcodes and copies of the Guidelines for Preparing and Maintaining a Research Notebook (Guide 10200.069) to all notebooks. The guide and this procedure are available on the Ames Laboratory website at [http://www.external.ameslab.gov/esha/ESH&A\\_Documents/proclist.html](http://www.external.ameslab.gov/esha/ESH&A_Documents/proclist.html). Storeroom personnel will also record each notebook's barcode and the name and employee number of the purchaser. The Records Management Coordinator will obtain the data recorded by storeroom personnel regarding the locations and owners of Lab Notebooks on a regular basis, and will enter this information into a tracking system. The Records Management Coordinator will provide training to researchers on a regular basis regarding this procedure, the guide, and other basic components of research documentation best practices.

**4.2 Maintaining and Tracking Lab Notebooks**

Researchers will maintain notebooks according to Guide 10200.069. When notebooks are full, research projects are completed, or researchers leave the Laboratory (whichever comes first), notebooks will be turned in to the Records Management Office.

**4.3 Post-Performance Activities**

Once notebooks are turned in, Radiation Safety personnel will survey notebooks that may be contaminated with radiation. The Records Management Coordinator will microfilm each notebook and have a duplicate of the microfilm made. Microfilm will be checked for quality and notebooks will then be indexed and stored in the Records Holding Area or returned to another researcher as requested. The coordinator will also track the location of all Lab Notebooks and check out notebooks requested by staff for the Laboratory's business purposes.

**5.0 Attachments**

Guide 10200.069 Guidelines for Preparing and Maintaining a Research Notebook

## GUIDELINES FOR PREPARING AND MAINTAINING A RESEARCH NOTEBOOK

Research notebooks are the physical property of Iowa State University and must be turned in to the Ames Laboratory's ESH&A Office upon termination of the researcher's appointment or project.

In order for your notebook to be of maximum legal value, use only the official bound and serially numbered notebooks available from the Ames Laboratory Storeroom.

### How to Make an Appropriate Entry

- Entries must be legible and made in blue or black ink.
- Every page or entry must be dated and signed.
- NEVER obscure the notebook page numbers.
- Never tear pages out of the notebook or leave pages blank.
- A brief description of the purpose of the work will aid in interpreting the data in years to come.

### How to Appropriately Correct an Entry

- Never erase. Draw a single horizontal line through any material you wish to eliminate. Initial this change.
- Blank pages or portions of pages must have an "X" placed on them to indicate the blank was intentional.

### How to Include Cross-References and Attachments

- Insertions to the notebook (e.g. photographs, maps, charts, and/or additional information) must be glued in place and **must not cover any existing entry on the page.**
- Insertions must **not** cover the page number or restrict access to any other information on the page.
- **Insertions should not be larger than the surface of the opened notebook.** Large insertions will be microfilmed in segments in order to align with the camera.
- Date, sign, number, and cross-reference insertions to their related notebook entries.
- Sketches, drawings, or lists held outside the notebook must be numbered, dated, and cross-referenced to the relevant pages in the notebook.

### How to Protect Your Work

- Record inventions or significant findings in your notebook as they occur. Do not allow time to elapse before having these developments properly witnessed and recorded.
- Have any important entry signed by two witnesses sufficiently trained to understand the entry but unrelated to the work involved.
- Use the witness statement listed below that reflects the circumstances:

The description on page(s) \_\_\_\_\_ was disclosed to and understood by me this \_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_.

Witness \_\_\_\_\_

Witness \_\_\_\_\_

or

The work described on page(s) \_\_\_\_\_ and the results obtained thereby were observed and understood by me this \_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_.

Witness \_\_\_\_\_

Witness \_\_\_\_\_

- Credit must be given to any individual(s) who has made a contribution to the work recorded in this notebook.

### What to Do with a Completed Research Notebook

- Upon completion, all research notebooks should be brought to ESH&A's Records Management Office located in 151 TASF to be microfilmed.
- Researchers terminating their employment are **required** to submit their notebooks to the Records Management Office before checking out of the Lab.
- Microfilming is a black and white process. Therefore, colors and color related distinctions will be lost during filming.