RESEARCH DEPARTMENT

PROCEDURE

TECHNICAL NOTEBOOKS

Introduction

Employees of the Research Department are engaged in the conduct of experimental work which is of great importance to the Company. Its importance cannot always be adequately judged at the time the work is done. For this reason it is essential that all experimental work be recorded in bound notebooks, following procedures which will protect the Company's interests.

Purposes

There are two main purposes for Research notebooks:

1. To provide a clear record of the conception of ideas and experimental development of those ideas which will provide a sound basis for patent prosecution if the ideas are patentably novel.

2. To provide a clear and permanent record of the important details of experimental work so that Research employees in the future can determine what was done and the results obtained if they are interested in doing similar work. With a well-kept record, duplication of effort can be avoided in the future, even if the original experimenter is not available for questioning.

Procedures

Each exempt Research employee who conducts experiments, or directs non-exempt employees in conducting experiments, is expected to keep a notebook in which the details and results of his experiments are recorded. Enough narrative should be included in the record to enable anyone skilled in the art to find out what was done without having to question the experimenter.

Procedures for the use of Research notebooks are as follows:

Notebooks

Technical bound notebooks, 8-1/2" x 11" in size, shall be used, and may be procured from the designated custodian.

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Entries

Notebook entries shall be in strict accordance with the general Rules for entries appearing therein, and the following more-detailed instructions:

1. All entries shall be legibly written in waterproof ink. Standard, generally-accepted nomenclature should be employed.

2. All entries in a given notebook shall ordinarily pertain to a single general topic of research, and shall be made in chronological order from the first to the last page. However, it may sometimes prove desirable to divide a notebook into sections to record entries concerning several different and unrelated topics that are being worked on concurrently or intermittently by the experimenter. In that case, the title of each section and the page number on which it begins, should be entered on the index page concurrently with the establishment of the section. Each section is thereafter treated as a separate notebook.

3. Blank spaces should be eliminated. When an entry does not fill a page, the next succeeding entry on the same subject matter may begin on the same page, with no space between the two. If it is preferred to start a new page for the next entry, any blank space on the preceding page should be ruled out, so that it would be virtually impossible to add anything to that entry at a later date.

4. The top of each notebook page should clearly state what subject matter the entries on the page relate to. It is not required to repeat the subject matter heading if it covers several consecutive pages. However, if it becomes necessary to continue a subject on a non-consecutive page, notations such as "continued on page ___" and "continued from page ___" should be made.

5. The author (and the experimenter, if he is not the author) should sign and date each notebook page after each independent entry is made. Each notebook page should also be read, signed, and dated

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by a witness who understands the subject matter recorded, but who is neither an inventor nor a co-inventor of any new concept that is discussed on that page. The witness should preferably sign on the same day as the author or, if this is not possible, as soon thereafter as may be feasible. In the case of multiple entries on a single page, the signatures and dates should appear immediately following each entry. There should be no writing below the last signatures and dates entered on a page.

Read and Understood By: _____ Date_____

6. The bound notebook is to be preserved intact. In no case should any page or part of a page be removed.

7. No erasures are to be made in the notebook. Any corrections or changes should be made by crossing out the incorrect entry, but leaving it legible.

8. The same rules as to signing, dating and witnessing are to be followed when the original notes are recorded on loose sheets, drawings, or forms other than a standard bound notebook.

Coding of Samples

Samples should be coded by marking them with the technical notebook number and page number on which the sample is first described. If more than one sample is referred to on one page, they may be distinguished by suffix letters, such as "250-16A", "250-16B". These would refer to notebook No. 250, page 16, samples A and B.

Inserts

The use of inserts should be kept to a minimum. However, any material which forms an important part of the record of the progress of experimental work should be permanently attached to the notebook by gluing or stapling directly to a notebook page. Materials left loose, put in with transparent tape, or inserted in an envelope in the notebook, are not considered part of the notebook and are therefore not a part of the legal record of the experiment described. If material is inserted in the notebook, adherence to the following instructions will simplify the microfilming of the records:

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1. It is preferable to attach and fold insert material so that it covers only the space on a single page between the subject and the signature. The page number and subject should not be obscured by the insert, nor should the space for signature and witnessing. The material should be fastened with staples or glued securely. To form a part of this permanent record, written inserts should be done in waterproof ink. Writing should appear on only one side of an insert.

2. If writing underneath the insert is desirable, the insert should be fastened only along the outside edge of the notebook. When the insert is unfolded, no part of the writing on the page should be obscured. If there is no writing under the insert, the statement "no writing underneath" should appear on the page below the insert.

Drawings and Sketches

All drawings and sketches should be initialed by the draftsman and signed and dated by the individual requesting the drawing.

Signatures

Except in extraordinary circumstances, notebook entries should be made by the experimenter and not by any other party. When necessary, another party may act as recorder for the experimenter, but the entry must so indicate and must be read, approved, and personally signed and dated by the actual experimenter.

"Active" versus "Complete" Notebooks

1. An "active" notebook is one in which further entries are to be made. Pages or portions of pages of an active notebook which are intended to be left blank should have a line drawn through them and should be signed and dated at the indicated place on the page.

2. A "complete" notebook is one in which no further entries are to be made, even if all the pages are not filled. Such notebooks should have a notation

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on the last written page to the effect that no further entries will be made in the book. They should be turned over to the custodian as soon as possible after completion. Individuals should not retain notebooks in their possession which are not in everyday use. Under no condition should a notebook issued to one person be transferred to another. The person to whom a notebook is issued is held individually responsible for it.

Index

An index of notebooks will be maintained by the designated custodian.

Approved By:

N. Skovran 6/2/81

N. SKOVRAN
Chief Patent Counsel

Joseph P. Glas 6/1/81

J.P. GLAS
Director of Research

BKD:mf
4/30/81