

國立中山大學研究記錄簿管理要點

Guidelines on the Management of Research Logs

104.05.13本校103學年度第2學期第6次行政會議通過

104.09.16本校104學年度第1學期第2次行政會議修正通過

106.06.14本校105學年度第2學期第9次行政會議修正通過

107.01.03本校106學年度第1學期第9次行政會議修正通過

107.09.12本校107學年度第1學期第2次行政會議修正通過

111.10.05本校111學年度第1學期第3次行政會議修正通過

112.11.15 本校 112 學年度第 1 學期第 6 次行政會議修正通過

Amended and approved at the 6th Executive Meeting on November 15, 2023

- 一、 為累積科學技術研發成果，保護智慧財產權，作為佐證原創性之法律證明，並保障從事研發人員之權益，特訂立本要點。
 - I. These guidelines are formulated to facilitate scientific and technological research and developments through the management of research log as a legal proof of originality to protect intellectual property rights.
- 二、 本校執行行政院農業部暨所屬單位計畫，計畫主持人及參與計畫人員，就從事研究、實驗或發明之過程和結果，包含初步構想、個人靈感、實驗數據、演算過程、發現、創意、建議、觀察、心得、訪談、討論摘要、成敗經驗等，均應確實填寫研究記錄簿。惟行政院農業部暨所屬單位有特別規定不需填寫研究記錄簿，或計畫合約未要求填寫研究記錄簿者，不在此限。
 - II. When carrying out projects granted by the Ministry of Agriculture (MOA) of Executive Yuan and its affiliated units, principal investigators and participants of the said projects shall accurately document in a research log all aspects of research, experiments, or invention, including preliminary ideas, personal inspirations, experimental data, calculations, discoveries, innovations, suggestions, observations, insights, interviews, abstracts of discussions, and experiences of both success or failure. Projects with a specific policy on not keeping a research log or contracts not requiring a log shall not be subject to this provision.
- 三、 研究記錄簿由本校全球產學營運及推廣處統一編印提供，發放時應予編號，其書脊不得使用活頁或可抽換之形式；記錄簿上需確實記載研究計畫名稱、計畫編號、計畫主持人姓名、記錄者及領用日期，由計畫主持人指派參與計畫人員負責領用、填寫及妥善保管。
 - III. Blank research logs with serial numbers shall be printed and provided by the Office of Global Industry-Academe Collaboration and Advancement (OGIACA), and not in a form of binders or replaceable pages. The logs shall record the project title, project serial number, name of principal investigator, person recording, and date of issuing, and the principal investigator shall designate a project participant to collect, write, and keep the log properly.

四、 研究記錄簿應即時填寫，針對每一件研究計畫案為記載，並應填載日期，每星期至少應填載一次，日期不同應分頁填寫，如未寫完一頁應劃去剩餘部份，且應連續填載勿留空白頁，並不得撕頁；同日記錄時應接續填寫使用，勿留下空白；書寫工具應使用可長久保留筆跡之工具(如原子筆、鋼筆)，不得使用鉛筆；記載內容無一定格式，以清晰明瞭詳實記載為原則，切勿使用未定義之簡稱、代號或編碼；以直接撰寫文字於內頁上為原則，如有黏貼圖片或圖表之需要，應在黏貼處親自簽名及註明日期；記錄錯誤或筆誤時，請用線條劃線方式刪去錯誤處並簽名及註記日期，並續行記載切勿撕頁、割除、挖除、黏貼新文字，或用修正液(帶)塗改；若需改變原記錄之文義時，應附註說明。

IV. Research logs shall be recorded in time. Each research project shall be documented in its log updated at least once a week with different dates on separate pages. Records on the same date shall be kept in the log without any blank in between, and if a page is not completely filled out for the date, the remaining blank of the page shall be crossed out. No pages shall be torn off. Logs shall be written using pens with permanent ink (such as ballpoint or fountain pens); no pencils shall be used. There is no specific format for log recording, but the principle of clear, detailed, and accurate recording shall be adhered to. Undefined abbreviations, codes, or symbols shall be avoided. Research records shall be handwritten, in principle; nevertheless, any adhered images or charts shall be signed personally and dated. Any errors or typos shall be crossed out with a line and confirmed by a signature and date; any tearing, cutting, removing, pasting a new text, or using a correction fluid (tape) is prohibited. If a correction of the original text is needed, an explanatory note shall be attached.

五、 研究記錄簿每頁均應有至少一名見證人簽名，如係重要研發成果關鍵部分，應請二位以上之見證人於研究記錄簿相關頁次上簽名及註記日期；同一計畫之研究人員或共同發明人不得擔任見證人。

V. Every page of a research log shall be signed by at least one witness, but critical sections of key achievements shall be signed and dated by two or more witnesses; nevertheless, project participants (including principal investigators) or co-inventors of the same project shall not be the witnesses.

六、 研究記錄簿由研究計畫之直屬主管管理，該主管或其授權人員每二個月應至少查閱所屬同仁之研究記錄簿一次，本校全球產學營運及推廣處每年並應規劃進行一次全校性之抽閱程序。上述查閱或抽閱時，主管或其授權人員應簽註查閱紀錄。

VI. Research logs shall be reviewed at least every other month by project immediate supervisors or their authorized personnel, and the OGIACA shall plan and conduct an annual random check university-wide, during which the supervisors or authorized personnel shall record checking details with their signatures.

- 七、 研究記錄簿使用完畢後，應將已用完之研究記錄簿，繳回本校全球產學營運及推廣處並領用新簿。計畫結束後，亦應將研究記錄簿繳回本校全球產學營運及推廣處。研究人員於離職、退休、轉調單位異動時應將研究記錄簿繳回上級管理單位，並列入工作移交重要文件；上述離職或退休繳回程序須於離職單中註記。
- VII. A completely-filled research log shall be returned to the OGIACA which then issues a new one, and the log shall also be returned to the OGIACA upon the completion of the project. Project participants (including principal investigators) resigning, retiring, or transferring to another unit shall return their logs to their supervising management unit, and also ensure the logs are included in their handover documents; for cases of resignation or retirement, the returning of research logs shall be noted on the resignation form.
- 八、 研究記錄簿列為機密文書，不得對外揭露其內容，領用人員應善盡保管責任，妥善存置並不得重製，如有遺失、毀損應立即提出補發申請，經本校全球產學營運及推廣處核定後補發。
- VIII. Research logs are classified as confidential documents, and shall not be disclosed to the external. Personnel in charge of the logs shall secure them and not make any copies. In cases of loss or damage, a request for reissuing a logbook shall be submitted promptly, with a replacement issued after the approval from the OGIACA.
- 九、 欲進行技術移轉之廠商或其他具正當理由之人士請求查閱研究記錄簿，需由計畫主持人及智財新創組組長評估確有查閱之必要性，並應要求廠商或其他查閱人簽署保密合約或切結書，始得於計畫主持人或其授權人員陪同下查閱其內容。查閱人及查閱時間、地點、方式並應確實記錄。
- IX. Companies interested in technology transfer or individuals with justifiable reasons may request to review a research log provided that their request is approved, following an assessment of necessity by both the project principal investigator and the director of the Innovation Intellectual Property Division. The said companies or individuals may only review the log in the presence of the project principal investigator or the authorized personnel after signing a confidentiality contract or an affidavit. The information about the review time, location, way of access, and name of viewer shall be properly documented.
- 十、 繳回之研究記錄簿應由本校全球產學營運及推廣處永久保存。
- X. Returned research logs shall be permanently archived by the OGIACA.
- 十一、 本要點經行政會議通過，陳請校長核定後施行，修正時亦同。
- XI. These guidelines are approved by the Executive meeting and the President before implementation. Amendments to these guidelines shall follow the same procedure.