**Guidance on the authorship of publications and other outputs originating from doctoral research**

This document provides guidance on the protocols, and associated procedures, which should be followed by supervisors and research students when planning the authorship of external publications, and/or associated other outputs, originating from a doctoral research programme. This guidance is not intended to be applied the documents produced as part of the normal assessment and monitoring of a research student’s progress nor to the final thesis. Recognising that practice differs both between and within disciplines this document is not prescriptive but seeks to establish the terms and references that should inform discussions between students and supervisors wishing to publish the outputs that arise from any research activity being undertaken under the name and authority of the University of Surrey.

In any discussion relating to the external publication of research findings and outputs all parties should remember the following principles:

1. The University requires, and encourages, research students and supervisors to work together to ensure the prompt and appropriate publication and/or dissemination of the findings of their research. Any publication, dissemination, or other exploitation of research outputs, must give acknowledgement to all parties that have contributed to the work. This should, where appropriate, include a statement that the work was undertaken using the facilities and support of the University of Surrey and acknowledge any funding bodies and other collaborators without whom the work would not have been completed.
2. Unless subject to some other agreement all data, and other outputs, arising from the research of individual students remain the property of the University and must be made freely available to the supervisor(s) at all times. The research student and supervisors must take appropriate steps to ensure that the data arising from a research programme are stored following the data retention requirements set out by the funding body and using the storage procedures and facilities provided by the University for that purpose.
3. Unless subject to some other agreement the rights of any information, findings, new thinking or intellectual property, arising from research carried out by registered students and/or through discussions with the supervisory team remain under the ownership of the University at all times. As a consequence, they may only be exploited, published, or otherwise disseminated following the requirements of the [University’s policy on Intellectual Property](https://www.surrey.ac.uk/sites/default/files/intellectual-property-code.pdf) which applies to staff, students and visiting academic researchers.
4. Research students and their supervisors are expected to be aware of the University’s policies regarding the confidentiality of the research findings arising from certain programmes of work. As a consequence they must take due care to ensure that they do not publish, or otherwise release into the public domain, findings that are subject to a confidentiality agreement.
5. Research students and their supervisors must ensure that all publications comply with current University regulations and any associated policies.

Based on the above principles, and in the absence of other agreements or requirements, the following approach to the publication process is recommended:

1. The content of any external publication to which a registered research student will make a contribution to should be discussed with the supervisory team and agreed before any direct work on the publication has begun. A target journal, or other route for dissemination, should be identified and its implications for the style, length, etc of the publication understood and agreed. As part of this discussion it is important than any issues relating to the protection of the intellectual property of the University (and its wider reputation and standing) are considered along with the issue of confidentiality.
2. Working together, the student and supervisors should agree who will be credited with authorship of the publication and identify one individual to act as the lead author responsible for any correspondence with the potential publisher. The ordering of the names to be used on the publication should be discussed at the outset. The normal expectation is that credit, and order of authors’ names, will reflect the relative amount of work that each contributor makes to that particular paper or article. However, where journals have their own convention for the order in which authors are named, e.g. alphabetical, this will need to be adhered to.
3. Where it has been agreed that a student will be the sole author of a paper, or other publication, then the supervisor(s) will provide appropriate input to the production process. This will reflect their normal role in the training of researchers and be in line with their duty-of-care to both the student and the University. As a consequence, a student should not submit anything for publication as sole author without the written consent of their supervisor(s). Such consent should not be unreasonably withheld. Similarly, a supervisor should not submit anything for publication, as sole author, which draws on, in part or whole, the unpublished work of a research student without the consent of both the student and the other supervisor.
4. The discussions relating to the publication process are expected to form part of the normal supervisory process and, as such, the agreed outcomes of any meeting should be formally recorded in the student’s monthly progress reports. Where either the student or supervisors feel that it is appropriate, in relation to the production and authorship of a particular paper (or other output), a short written agreement may be drawn up and signed.
5. Where publications are authored during the course of research leading to the submission of a thesis, and relate to the thesis, those outputs should normally be listed in an appendix of the thesis and, where it is reasonable do so, copies may be bound within the final document.
6. Where an individual, who has left the University, wishes to publish material which draws on previously unpublished data obtained during research conducted whilst registered as a student of the University, then they must inform the supervisor(s) of their intention to publish as soon as possible and seek confirmation of the University’s approval for such publication. Similarly, a supervisor who intends to prepare a publication that draws on the unpublished work of a student who has left the University should inform the individual concerned at an early stage and ensure that appropriate credit is given to the contribution made by that individual.
7. Where students and/or supervisor(s) are unable to agree on any of the above points the matter should be referred to the appropriate Director of Research who will mediate the matter on behalf of the Faculty.

It should be noted that nothing in this guidance replaces or supersedes the University’s regulations and policies. However, it provides a general background against which any dispute which may arise regarding the publication process will be addressed. In recognition of this a copy of the guidance should be discussed between the supervisors and the research student at an early stage of the research programme and signed by all parties and then stored on the student’s research profile.

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| Student Name | Signed | Date |
| Principal Supervisor Name | Signed | Date |
| Co-supervisor Name | Signed | Date |
| Collaborative Supervisor Name | Signed | Date |