

From: Wachter, Bob
Sent: Wednesday, June 14, 2017 10:27 AM
To: Neeley, Eunice
Cc: Coughlin, Shaun R; Glantz, Stanton A; Mente, Kate; Schnetzler, Greta; neal.sweeney@uaw5810.org
Subject: Manuscript submissions

Dear Dr. Neeley:

This correspondence is regarding information that we received indicating that you have made submissions recently to two journals seeking publication of the Total Exposure Study ("TES") manuscript (also known as "Phillip Morris' Data Shows that Mandating Lower Combustible Cigarette Nicotine Delivery Would Protect Public Health").

As a preliminary issue, we are aware that you have submitted complaints to the UCSF Office of Prevention of Harassment and Discrimination (OPHD), and perhaps to other UCSF offices as well, and that the investigations into your claims are ongoing. We are fully supportive of your right to bring forward your concerns and to have them addressed according to University policies and procedures through a full and fair investigation. We are informed that all parties involved in the investigation, yourself included, have been admonished not to make statements or take actions that may interfere with or compromise the outcome of the investigation.

Stanton Glantz, PhD, is the principal investigator (PI) for the NIH grant under which the TES manuscript was researched, produced and supported. On May 26, 2017, the Cancer Epidemiology, Biomarkers, and Prevention (CEBP) Journal (EPI-17-0465) notified Dr. Glantz that you submitted the TES manuscript to CEBP. By this submission you listed yourself as corresponding author, omitted one of the authors (Dr. Anne Berit Petersen), listed Dr. Glantz as last author on the paper, failed to obtain authorization by Dr. Glantz to submit the manuscript, and failed to obtain permission by Dr. Glantz or Dr. Dorie Apollonio to be listed as authors. On June 3, 2017, the Tobacco Control Journal notified Dr. Glantz that you submitted the TES manuscript for publication. By this second submission you again listed yourself as corresponding author, omitted one of the authors (Dr. Anne Berit Petersen), listed Dr. Glantz as last author on the paper, failed to obtain authorization by Dr. Glantz to submit the manuscript, and failed to obtain permission by Dr. Glantz or Dr. Dorie Apollonio to be listed as authors.

As the PI, Dr. Glantz has authority and responsibility for leading and directing the NIH project, intellectually and logistically, and is responsible and accountable to NIH for the proper conduct of the project or program, including the submission of all required reports. This extends to his role as corresponding author on manuscripts produced and supported under the grant.

Per the International Committee of Medical Journal Editors (ICMJE), the corresponding author is the one individual who takes primary responsibility for communication with the journal during the manuscript submission, peer review, and publication process, and typically ensures the completion of all the journal's administrative requirements, such as providing details of authorship, ethics committee approval, clinical trial registration documentation, and gathering conflict of interest forms and statements. The corresponding author makes the final decision as

to who is designated as author, obtains final approval from authors of the version to be published, and is accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

Where you are neither the PI nor the corresponding author, you do not have authority to submit the TES manuscript for publication, nor do you have the authority to designate who is and is not an author of the manuscript. This correspondence is notice to you that you are to cease submitting this manuscript to any journal or any other venue for publication. While we understand that you may have differences of opinion with regard to issues of authorship, form or content of the manuscript, we would urge you and the other authors to follow the usual process of resolving such disputes through a mediation process. It is obviously to your benefit, and that of the other authors, to follow a process that leads to a manuscript that can be successfully published and we are hopeful that that will be the end result.

Sincerely,

Robert M. Wachter, M.D., Chair, Department of Medicine

Shaun Coughlin, M.D., OP.D., Director, Cardiovascular Research Institute

cc

Stanton Glantz, PhD, Professor, Department of Medicine; Director, Center for Tobacco Control Research and Education

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