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June 21, 2017

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Dear Mr. Pavlovcak:

This correspondence is regarding a May 26, 2017, submission to the Cancer Epidemiology, Biomarkers, and Prevention (CEBP) Journal (EPI-17-0465) by Dr. Eunice Neeley seeking publication of the Total Exposure Study ("TES") manuscript (that she titled "Philip Morris' Data Shows that Mandating Lower Combustible Cigarette Nicotine Delivery Would Protect Public Health"). Dr. Neeley submitted the TES manuscript to CEBP listing herself as corresponding author and omitting one of the authors (Dr. Anne Berit Petersen). She did not obtain permission from the other authors she listed, Dr. Stanton Glantz and Dr. Dorie Apollonio.

Dr. Neeley informed the University that CEBP granted her an exception to the journal's policy that the corresponding author has to obtain all authors' permission before submitting a manuscript for publication. She stated that the journal granted her exception after she informed the journal that she had filed complaints internally against Dr. Glantz. We feel it is important to state that the University has encouraged Dr. Neeley to resolve her existing complaints through established University policies and procedures, which provide a fair and thorough process for both complainant and respondent. Dr. Neeley's complaints that have been filed are already in process. We also have repeatedly admonished Dr. Neeley that all parties involved in the investigation should not to make statements or take actions that may interfere with or compromise the outcome of the investigation.

Dr. Neeley submitted the TES manuscript shortly after Dr. Glantz submitted a different version of the manuscript that did not include Dr. Neeley as an author (EPI-17-0464). It is important for CEBP to understand that the reason that Dr. Glantz did not include Dr. Neeley as an author when he initially submitted the manuscript on May 26, 2017 was that, despite repeated requests, Dr. Neeley had refused to grant Dr. Glantz permission to include her as an author on the paper.

As to the issue of submission of the TES manuscript to the journal, the University recognizes Stanton Glantz, PhD, as the principal investigator for the NIH grant under which the TES manuscript was researched and written. 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 the 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.



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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 Dr. Neeley is neither the principal investigator nor the corresponding author, the University does not recognize that she has authority to submit the TES manuscript for publication, nor does she have the authority to designate who is and is not an author of the manuscript. The University recognizes that these responsibilities rest with Dr. Glantz.

On June 14, 2017, the University noticed Dr. Neeley that she is to cease submitting this manuscript to any journal or any other venue for publication. The University also informed Dr. Neeley that it supports and encourages the authors to follow the usual process of resolving such disputes through a mediation process. Dr. Neeley and Dr. Glantz subsequently engaged in mediation, however they were unable to reach agreement.

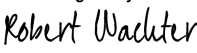
We support Dr. Glantz executing his role and responsibilities as principal investigator and corresponding author. Consistent with that, we concur that it is his role and responsibility to make decisions as to who is submitted as an author on the TES manuscript as well as to the final content of the manuscript. Where a contributor refuses to approve the manuscript, the principal investigator and corresponding author has sole decision-making responsibility to submit the paper without that contributor as author or under acknowledgements, as both those acts require the individual's approval. The University supports Dr. Glantz' decision to submit the paper as he has approved it for submission.

We sincerely hope that this episode will not influence the scientific review of this important work.


Sincerely,



Theresa O'Lonegan, PhD, MA, Assoc. Vice Chancellor,
Research Integrity Officer

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