Welcome to the 17th Annual ENUG BOSTON

#EMUG2019

EMUG 2019

Identity Confidence Check & People Record Management

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Identity Confidence Check (ICC)



Identity Confidence Check (ICC)

- There have been various cases of questionable authorship and fraudulent peer review in the news the past few years.
- Editors need a way to feel confident that Authors and Reviewers are who they say they are – actual real people!

- SOLUTION: EM generates a 'confidence rating' for corresponding/contributing Authors and suggested Reviewers, based on factors such as ORCID, Ringgold institution, country selection, email verification, and other sources.
- Released in EM version 15.1





ICC Indicators – Displayed for Author names in 12 Editor folders





High Alert



ICC - Automatic Triggers

- New or revised submission received by publication
- Author, Editor or Publisher edits the submission metadata
- Co-Author information is updated
- Co-Author confirms authorship (Co-Author Verification)
- Submission transferred in from another publication
- "On the fly" Authorized Editor can initiate the ICC manually



ICC Indicators – Displayed on Details and Search Submissions

Details for Ma	nuscript Number: JBJS-D- Research A Cancel Save Sav	-	Super]	mportai	nt					
Manuscript Notes Pro	duction Notes Editors Reviewers Alter Invited to Submit Comr		Information	Author(s)						
Discussion Forum:	Initiate Discussion									
Additional Manuscript Details:	Add/Edit Additional Manuscript Details	P Quicklinks				Search	Subm	issions - Se	arch Results	
Corresponding Author:	Michael Pinzur A , Loyola University Medi Maywood, IL UNITED STATES [Proxy]	c . 💾 👱 🔍 ?				Search		Title is containing		•
Corresponding Author E-Mail:	slavelle@ariessc.com		1 (6 total subm	issions)				1		
Author Comments:		■ Action	Manuscript Number	Article Type	Current Status	Article Title	Status Date	Initial Date Submitted	Author Name	Reviewers F
Other Authors:	Marco A Guedes A KF Matthew Saltzman A KF Fabio Batista A KF Frank A Gottschalk A KF Dainius Juknelis A KF Author Status	View Submission Details V 2 4 Initiate Discussion History File Inventory Edit Submission Solicit Commentary Classifications View Reviews and Comments Unassign Editor Notify Editor Invite Reviewers	JBJS-D-03- 00988R1	Clinical	Under Review	My Super Important Research Article	Feb 9 2016 2:05PM	May 12 2003 10:16AM	Michael Pinzur 📥	Michael J. Bosse, M.D. V John H. Bowker, M.D. V Douglas G. Smith, M.D. V John H. Bowker, M.D. *



ICC Indicators – Displayed on Authors Details (All Authors)

				Close					
Corre	sponding Author S	Status					View	Author Question	naire Summary
	Author Name		Email Address	ORCID Identifier	Acade Degre		tion Optio	ons	
L	Franklin D. Roosev	elt 🚨	trash449@ariessc	com 0000-0001-5187-27	98 M.D.			Author Details Questionnaire R	esponses
Judan	Author Name	Added in	Email Address	ORCID Identifier	Academic Degree(s)	Affiliation	Institution	Confirmed?	Options
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	Melanie Courtright		lhildreth@ariessys.com Edit	0000-0002-1920-2660		•	Courtauld Institute of Art	Yes May 23 2018 2:05 PM	Reset Confirmation Status View Author Details



ICC Indicators – Displayed when searching for Reviewers suggested by Author

Author's Reviewer Pres	ferences
Suggested Reviewers John Q Pajinsky jqp@emtesting.co.uk He's my best friend and would give me an easy time. Paul Mccartney Juniversity of Liverpool pmc@emtesting.co.uk	Search for Reviewer Suggested by Author All Reviewers - Manuscript Number Test-2017-08-21-01 Anne Author Sample of co-author verification in nine easy examples Author's Reviewer Preferences Manuscript Details Register and Select New Reviewer
None, really - never heard of the guy Close	Change Search Type • Search My Publication Search My Publication Suggested by Author # from All Reviewers Go Reviewers Suggested By Author John Q Pajinsky and jap@emtesting.co.uk; Paul Mccartney and pmc@emtesting.co.uk;
	The following Reviewers suggested by the Author were not found in the system. John Q Pajinsky Register and Select New Reviewer Paul Mccartney Register and Select New Reviewer
	Register and Select New Reviewer Request Unregistered Reviewer My Suggest Reviewer Preferences Editor Main Menu

ICC – Editor can run the check dynamically

Quicklinks		Cont	New S		- Mary Mary, chnical Check. Use t		sort order.	
Page: 1 of	f 2 (11 total submissions)				1 2 🕨	м		
- Action	Manuscript Number	Article Type	Section Category	Article Title	Author Name	Initial Date Submitted	Status Date	Current Status
View Submission Details ♥ Initiate Discussion History Technical Check File Inventory Edit Submission Send Back to Author Remove Submission Classifications Set Final Disposition Initiate Production Similar Articles in MEDLINE Send E-mail Linked Submissions		Original Study-All 4 Payment Methods		Technically, It Is Already Spring	Franklin D. Roosevelt M.D. ♥ ♥ \$ 曾	Mar 27 2018 10:37AM	Mar 27 2018 10:37AM	Submitted to Journal



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New Submissions - Mary Mary, PhD, MD

Contents: These are the new submissions that require a Technical Check. Use the up/down arrows to change the sort order.





ICC Summary Example – Overall rating is 'Pass'

Michael Pizella, MD	
Search Google Scholar	
Institution	
😢 Loyola University Medical Center	
Country/Region	
VINITED STATES	
EM Activity	
This person has authored 1 accepted submissions to this publication This person has completed 3 reviews for this publication	
Recalculate Now Override and Trust this Person People Activity Details Close	
Last run: 01/02/2019 11:20:45	

ICC Summary Example – Overall rating is 'High Alert'





ICC Override indicates trust, despite the personal information supplied

Quicklinks			New St	ubmissions	- Mary Mary,	PhD, MD		
?	Contents: These are the new submissions that require a Technical Check. Use the up/down arrows to change the sort order.							
Page: 1 of	2 (11 total submissions)				12	H		
Action	Manuscript Number	Article Type	Section Category	Article Title	Author Name	Initial Date Submitted	Status Date	Current Status
Initiate Production Similar Articles in MEDLINE Send E-mail Linked Submissions								
View Submission Details $ abla$ Initiate Discussion History Technical Check File Inventory Edit Submission Send Back to Author Remove Submission Classifications Set Final Disposition Initiate Production Similar Articles in MEDLINE Send E-mail Linked Submissions		Original Study-All 4 Paymer Methods	Grover Alexande	e Duplex: pointment	Franklin D. Roosevelt M.D. 🏝 한 모 \$ 🎬	May 23 2018 1:26PM	May 23 2018 1:26PM	Submitted to Journal
View Submission Details $ abla$ Initiate Discussion History Technical Check File Inventory Edit Submission Send Back to Author Remove Submission Classifications Set Final Disposition Initiate Production Similar Articles in MEDLINE		Rapid Communication		Mookie Betts is on Fire	Grover Alexander ਨੂੰ ਸ	May 23 2018 3:12PM	May 23 2018 3:12PM	Submitted to Journ

ICC Information available in EAR and Custom Report (Authors and Submissions View)

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Add Subtotals



ICC Information available in EAR and Custom Report (Authors and Submissions View)

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All Authors Identity Confidence Score	rresponding Author First Name	Corresponding Author Last Nam	Corresponding Author Identity Confidence Score	Corresponding Author Identity Confidence Score Override	Manuscript Number	Initial D
Amy R. Author, MBA() Ai	<u> </u>	Author				6/1/2018
Big Bird (88.89 %); Michael Greenwell (68.75 %); Bi Frank Page (42.86 %); Andy Inhatko (87.50 %); Rene Richards (100.00 %)		Bird	89	False		5/23/2018
Buffy Anne Summers, PhD() Bu		Summers				6/1/2018
Daniel Baumgart (61.54 %) D		Baumgart	62		LC DEV151-D-18-00014	6/1/2018
Daniel Baumgart (61.54 %); Ilja Wende(); Ulrike D. Grittner()		Baumgart	62		LC DEV151-D-18-00013	6/1/2018
Franklin D. Roosevelt, M.D. (100.00 %); Harold Fr M. Stevens()	uklin	Roosevelt	100		LC_DEV151-D-18-00008	5/30/2018
Franklin D. Roosevelt, M.D. (100.00 %); Helen Fr Smith()	ıklin	Roosevelt	100		LC DEV151-D-18-00007	5/30/2018
Franklin D. Roosevelt, M.D. (100.00 %); J L Fr Bendict()		Roosevelt	100		LC DEV151-D-18-00010	5/30/2018
Franklin D. Roosevelt, M.D. (100.00 %); Kevin Fr McGann()	Iklin	Roosevelt	100		LC DEV151-D-18-00009	5/29/2018
Franklin D. Roosevelt, M.D. (100.00 %); Melanie Fr Courtright(); Joan Bissell (100.00 %)	ıklin	Roosevelt	100			5/23/2018
Franklin D. Roosevelt, M.D. (100.00 %); Nicholas Fr Rondinone(); Matthew Ormseth()	ıklin	Roosevelt	100			5/16/2018
Franklin D. Roosevelt, M.D. (100.00 %); Robin Fr Altaras()	ıklin	Roosevelt	100	·	LC DEV151-D-18-00012	6/1/2018
Franklin D. Roosevelt, M.D. (100.00 %); S C Fr Levinson()	ıklin	Roosevelt	100		LC DEV151-D-18-00011	5/30/2018
Franklin D. Roosevelt, M.D.() Fr	ıklin	Roosevelt		L	LC DEV151-D-18-00015	6/13/2018
Grover Alexander (100%) G		Alexander	30			5/23/2018
Harry Anthony Alves (100.00 %); Catherine Ho Wolters (37.50 %)	, , , , , , , , , , , , , , , , , , ,	Alves	100		LC DEV151-D-18-00006	5/22/2018
Harry Anthony Alves (100.00 %); Samantha Ha Thurmond (37.50 %); Glenda Jackson (37.50 %)	ry	Alves	100		LC DEV151-D-18-00005	5/22/2018
Harry Anthony Alves (100.00 %); Samantha H. Thurmond (42.86 %); Glenda Jackson (42.86 %); Wilma Flintstone (100.00 %)	γ	Alves	100		LC DEV151-D-18-00005	5/22/2018
Harry Henderson (11.11 %); Samantha H Thurmond(); Ronald Myer (25.00 %)	y	Henderson	11			5/25/201
					· A .	



ICC – Highly Configurable!

 PolicyManager >> Configure Identity Confidence Check

	, 5
	Expand All Collapse All
+	Registration and Login Policies
+	Status Policies
+	Submission Policies
+	Questionnaire Policies
+	Additional Data Policies
+	Editor Assignment Policies
+	Suggest Editor Policies
+	Reviewer and Editor Form Policies
+	E-mail and Letter Policies
-	General Policies
	Set Manuscript Number Type
	Set Manuscript Number Revision Suffix
	Set Date Format
	Set Time Zone Display Policy
	Configure Unavailability Check and Instructions
	Configure Identity Confidence Check
	Set ISO Country Standard
	Configure General Due Date Preferences
	Set Reviewer Preferences
	Configure Electronic Calendar Due Date Preferences
	Set Editor Deep Link Expiration
	Set Enterprise Analytics Reporting Deep Link
	Set View Reviewer Comments for Author Deep Link Expiration
	Define Details Page Layouts

PolicyManager Main Menu





ICC Configuration (PolicyManager)

Configure Identity Confidence Check

EM can be configured to carry out an Identity Confidence Check on Corresponding Authors, Co-Authors and Reviewers suggested by the Author on submission. This check looks for signs that the personal information supplied is trustworthy, and displays a visual indication of the confidence level next to the person's name in key folders early in the editorial process. The Identity Confidence Check is run when:

- A new submission is received by the publication
- · A revised submission is received by the publication
- Co-Author verification is carried out
- Co-Author metadata is changed
- An EM user with a score updates their personal information

This is informational to Editors only, and does not impede the editorial workflow in any way.

You can customize the Identity Confidence Check by adjusting each Factor's Level of Importance. You can also exclude one or more Factors from the calculation, or exclude a particular party (Corresponding Author, Co-Authors and/or Suggested Reviewers) using the appropriate checkboxes. Click the 'Configure' link to learn more about the logic behind each Factor and how to refine the parameters to suit your publication's needs. In order to include Email Domain and Country/Region in the Identity Confidence Check, you must configure at least one exception to be evaluated. Once you have adjusted the parameters, select the 'Enable Identity Confidence Check' checkbox to activate the feature. (less...)

		Enable Identity Confidence	Check		
Factor	Level of Importance 1 = lowest 5 - highest	Corresponding Author	Co-Authors	Suggested Reviewers **	
Email Domain	5 👻	\checkmark			Configure
Institution *	3 👻	\checkmark	\checkmark		Configure
Country or Region	5 👻	\checkmark			Configure
EM Activity	3 👻	\checkmark	\checkmark		Configure
ORCID Activity	3 -				Configure

* Institution is excluded from the Identity Confidence Check if Institution Name Normalization is not enabled.

** Suggested Reviewers are excluded from the Identity Confidence Check if no Article Types are configured with the Suggest Reviewers submission step displayed.



Cancel Submit

ICC – Email Domain Exceptions

- Pass/Alert/High Alert categories
- Domains not listed are ignored in the score
- Can use wildcards
 - For example, yahoo.co* includes the following domains: yahoo.com, yahoo.co.jp, yahoo.co.fr, etc.
 - Entry of *.ac.* includes academic institution domains in many countries.

Configure Email Domain Exceptions for Identity Confidence Check

Please enter any email domain extensions you want specified as exceptions. Wildcards (*) may be used to extend the breadth of email domains covered. For example, yahoo.co* includes the following domains: yahoo.com, yahoo.co.jp, yahoo.co.fr, etc. Entry of *.ac.* includes academic institution domains in many countries. The information entered below should include everything after the @ for the email domain.

Email addresses evaluated with these domains are allocated a pass, alert or high alert on the Identity Confidence Scorecard. If a person has an email domain that is not specificied on this page, the email address is ignored by the Identity Confidence Check for that person.

You must click the 'Submit' button to apply any changes to the email domain exceptions.









ICC – Institution Exceptions

- INN must be enabled (institutions are associated with Ringgold ID)
- Institutions with Ringgold ID = Pass
- Institutions without Ringgold
 ID = Alert or High Alert

Configure Institution Assessment Option for Identity Confidence Check

Institution Name Normalization (INN) must be enabled in order for Institution to be included in the Identity Confidence Check. To confirm that INN is enabled for this site, click here.

When INN is enabled and a user selects or enters an Institution recognized by Ringgold in EM, a Ringgold ID is assigned behind the scenes. Since the Ringgold ID is a univerally recognized identifier in the publishing industry, the Identity Confidence Check views a person associated with a Ringgold institution positively and a 'Pass' score is applied towards the Identity Confidence Score.

If the Institution is not supplied for the person being evaluated, Institution cannot be assessed and is ignored by the Identity Confidence Check. If the Institution name is populated but is not associated with a Ringgold ID, you may designate below whether an 'Alert' or 'High Alert' is applied toward the overall score.

To learn more about Ringgold Identifiers go to https://www.ringgold.com/identify/.

○ Alert ● High Alert
Cancel Submit



ICC – Country/Region Exceptions

	Configure Country/Region Exception	s for Identity Confidence Check	
Below you may designate which co country/region. If all countries/reg	Below you may designate which countries/regions are allocated an Alert or High Alert designation when the person being evaluated for the Identity Confidence Check is associated with that country/region. If all countries/regions are listed in the Pass column, country is not evaluated in the Identity Confidence Check.		
	You can modify the lists by selecting all, or choosing one or more values in one list and clicking the appropriate 'Move To' button. On a PC, multiple values may be selected by holding down the 'Ctrl' key on your keyboard, while using the mouse to select the desired items in the selection box. On a Mac, hold down the 'Command' key while using the mouse to select the desired items		
You must click the 'Submit' button	to apply any changes to the country/region exception.		in the
Pass Select All / Clear All	Alert Select All / Clear All	High Alert Select All / Clear All	
UNITED STATES (US) AFGHANISTAN (AF)			•
er ALBANIA (AL) ALGERIA (DZ)			
AMERICAN SAMOA (AS) ANDORRA (AD) ANGOLA (AO)			
ANGUILLA (AI) ANTARCTICA (AQ)			
ANTIGUA AND BARBUDA (AG) ARGENTINA (AR) ARMENIA (AM)			
ARUBA (AW) AUSTRALIA (AU)			
AUSTRIA (AT) AZERBALJAN (AZ) BAHAMAS (BS)			
BAHRAIN (BH) BANGLADESH (BD)			
BARBADOS (BB) BELARUS (BY)			
BELGIUM (BE) BELIZE (BZ) BENIN (BJ)			
BERMUDA (BM) BHUTAN (BT)			
BOLIVIA, PLURINATIONAL STATE O BONAIRE, SINT EUSTATIUS AND SA			•
	Move to Pass Move to Alert	Move to High Alert	
	Cancel	ubmit	

ICC – EM Activity Exceptions

- 4 criteria are examined
- Customizable thresholds
- 'Always trust Editors' option supersedes other EM Activity criteria

Configure EM Activity Exceptions for Identity Confidence Check

The following elements are examined when the Identity Confidence Check evaluates EM Activity. People with activity in these categories are viewed positively in the overall Identity Confidence Score.

Always trust Editors - If a person has an Editor Role or Editor assignment history, s/he will automatically be assessed a 'Pass' overall score and no other factors will be assessed for this person.

- 1. Person currently has an Editor Role or historical Editor assignments on this publication
- 2. Person has authored 2 or more accepted submissions on this publication
- 3. Person has submitted 1 or more invited papers on this publication
- 4. Person has completed 3 or more reviews on this publication

Cancel Submit



ICC – ORCID Activity

 Checks for presence of authenticated ORCID iD in EM

0000-0001-5187-2798 🚇

 May add additional ORCID criteria in future

Configure ORCID Assessment Option for Identity Confidence Check

The Identity Confidence Check views a person with an authenticated ORCID in EM positively and a 'Pass' score is applied towards the Identity Confidence SCore.

If the ORCID is not supplied for the person being evaluated, ORCID cannot be assessed and is ignored by the Identity Confidence Check. If a person does not have an authenticated ORCID in EM, you may designate below whether an 'Alert' or 'High Alert' is applied towards the overall score.

○ Alert● High Alert
Cancel Submit



ICC – Editor RoleManager

 New permission: View Identity Confidence Check Results

Edit Role Definition				
Role Name:*	Managing Editor			
	Maximum Role name is 40 characters.			
Check the functions that this role is permitted to perform. Note: in boxes with multiple rows displayed, you may select or deselect multiple terms by holding down the CTRL (PC) or CMD/Apple key (Mac) when clicking.				
Expand Al	I Collapse All			
Expand All Collapse All New Submissions Editor Assignment Reviewer Invitations Editor Decisions Editor Decisions Editor Decisions Editor Decisions Editor Decisions Editor Decisions Editar Searching and Viewing Edit Submission Forums Edit Submission Forums Edit Submission Flags Edit Submission Flags Edit run off Submission Flags Edit run off People Flags Edit run off Submission Flags Edit run off Su				



Discussion

- Do you/would you use Identity Confidence Check?
- What other criteria might be useful?
 - Additional factors?
 - More detailed ORCID criteria?
- More searches from the scorecard? (e.g. in addition to Google Scholar)
- Other?



