Breaking Barriers with ORCID:
What do Research Administrators Need to Know?

Sheila Rabun (iD) https://orcid.org/0000-0002-1196-6279
Senior Strategist, Research Infrastructure Programs
Lyrasis

1

What is ORCID?

ORCID =
Open **R**esearcher & **C**ontributor **Id**entifier

ORCID
Connecting Research and Researchers

ORCID Organization

- Global
- Not for Profit
- Community-driven
- Supported by organizational members:
  - Funders
  - Publishers
  - Universities
  - Research Institutes
  - Software Vendors
  - Other Research-Related Groups

The ORCID iD: a unique, persistent identifier free of charge to researchers

An **ORCID record** connected to the ORCID iD

A technical component of **Application Programming Interfaces (APIs)**, that enable researchers to connect their ORCID iD/record with an organization/system

ORCID iD

ORCID provides free, unique identifiers for researchers.

Our volunteer researcher:
Sofia Maria Hernandez Garcia

and her ORCID iD:

https://orcid.org/0000-0001-5727-2427

Distinguish Yourself

Your ORCID iD **distinguishes you** from others and ensures your research outputs and activities are correctly attributed to you.

PubMed.gov
US National Library of Medicine
National Institutes of Health

PubMed ▼ |

Advanced

Format: Abstract ▾   Send to ▾

Autophagy. 2016;12(1):1-222. doi: 10.1080/15548627.2015.1100356.

Guidelines for the use and interpretation of assays for monitoring autophagy (3rd edition).

F, Yi L, Yin XM, Yip CK, Yoo YM, Yoo YH, Yoon SY, Yoshida K, Yoshimori T, Young KH, Yu H, Yu JJ, Yu JT, Yu J, Yu L, Yu WH, Yu XF, Yu Z, Yuan J, Yuan ZM, Yue BY, Yue J, Yue Z, Zacks DN, Zacksenhaus E, Zaffaroni N, Zaglia T, Zakeri Z, Zecchini V, Zeng J, Zeng M, Zeng Q, Zervos AS, Zhang DD, Zhang F, Zhang G, Zhang GC, Zhang H, Zhang H, Zhang H, Zhang H, Zhang J, Zhang J, Zhang J, Zhang J, Zhang JP, Zhang L, Zhang L, Zhang L, Zhang L, Zhang MY, Zhang X, Zhang XD, Zhang Y, Zhang Y, Zhang Y, Zhang Y, Zhang Y, Zhao M, Zhao WL, Zhao X, Zhao YG, Zhao Y, Zhao Y, Zhao YX, Zhao Z, Zhao ZJ, Zheng D, Zheng XL, Zheng X, Zhivotovsky B, Zhong Q, Zhou GZ, Zhou G, Zhou H, Zhou SF, Zhou XJ, Zhu H, Zhu H, Zhu WG, Zhu W, Zhu XF, Zhu Y, Zhuang SM, Zhuang X, Ziparo E, Zois CE, Zoladek T, Zong WX, Zorzano A, Zughaier SM.

7

Distinguish Yourself

WOULD THE REAL SOFIA GARCIA STAND UP?

Distinguish Yourself

Ⓘ https://orcid.org/0000-0001-5727-2427

WOULD THE REAL SOFIA GARCIA STAND UP?

ORCID Record

https://orcid.org/
0000-0001-5727-2427

Emails >
s.garcia@orcid.org

Website and social links >
Faculty profile webpage
@sofiamhg

Other IDs >
Profile system identifier: A-123456
ResearcherID: L-8716-2018
eScientist: 0000-0001-5727-2427

Countries >
United States

Is this you? Sign in to start editing

Published Name
Sofia Maria Hernandez Garcia

Printable version

| Name | Also known as > |
| Sofia Garcia | S. M. Garcia, Sofia Maria Garcia |

Biography

Sofia Maria Hernandez Garcia is used for testing and demonstrating ORCID records.

Activities   Collapse all

˅ Employment (2)   ☰ Sort

New Arizona State University: Sedona, Arizona, US

2015-09 to present | Associate Professor (Department of Geography)   Show more detail
Employment

Source: Sofia Maria Hernandez Garcia

ORCID: Bethesda, Maryland, US

2014-05-01 to 2019-10-25 | Engagement Lead   Show more detail
Employment

**Source:** ORCID *via* Assert-o-matic

10

ORCID Record

ORCID Records can include:
- Biographical information
- Employment
- Education & Qualifications
- Professional Activities
  - Invited positions & Distinctions
  - Memberships & Service
- Funding
- Works
- Peer Review
- Research Resources

Distinguish Yourself Over Time

Your ORCID iD **persists over time** and can tie you to your affiliations and activities throughout your career through your ORCID record.
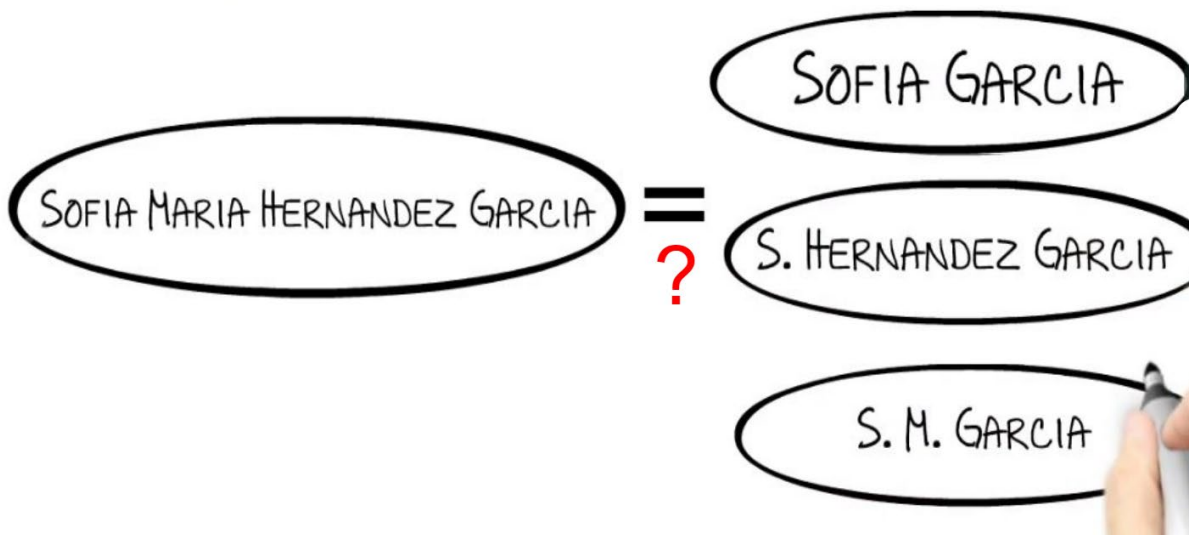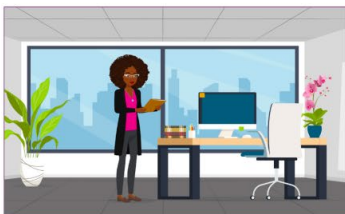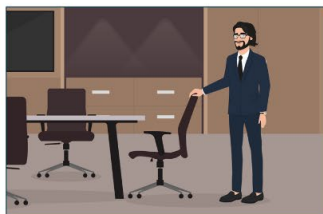
Connect with Organizations

You can connect your ORCID iD and share your ORCID record with the organizations that you work with, allowing them to:
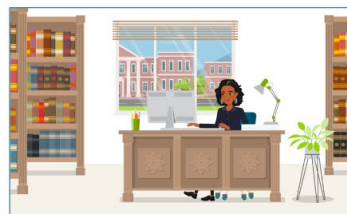- Get your ORCID iD number
- Read information from your ORCID record
- Write information to your ORCID record

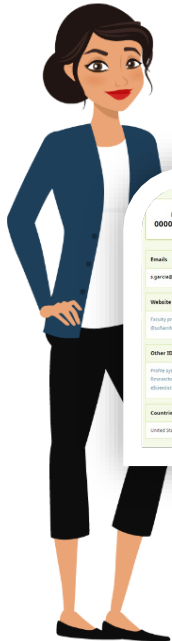Publishers

Funders

Research Organizations

ORCID API

The ORCID API allows member organizations to:

- Get researchers' ORCID iD numbers

- Read data from researchers' ORCID records - import data into local systems

- Write data to researchers' ORCID records - to validate researcher information for use by other organizations

ORCID API

Get ORCID iD number → Research Institution

Reading data from ORCID record → Publisher

Writing data to ORCID record ← Funder

Funders

Reading Data from ORCID Record

Writing Data to ORCID Record

RESEARCHER
https://orcid.org/
0000-0001-2345-6789
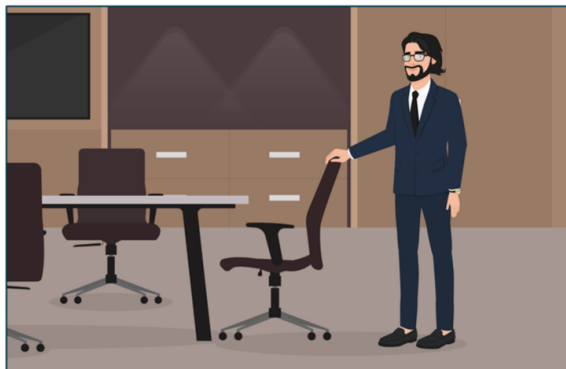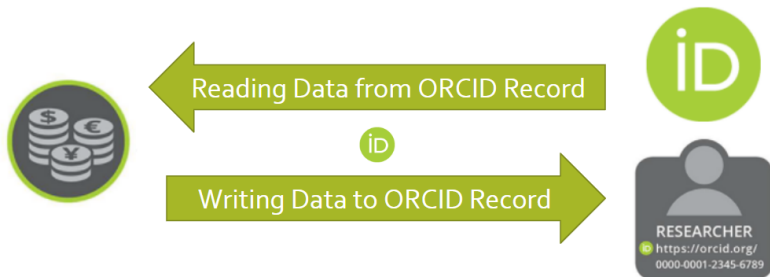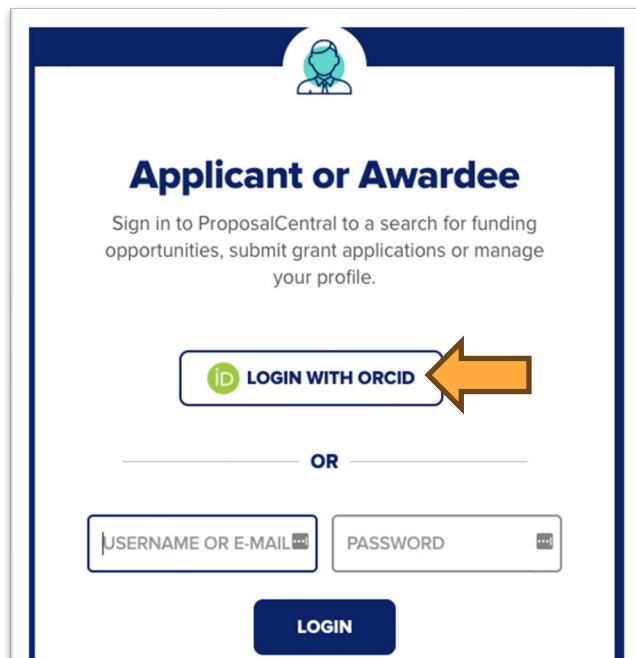
Many funders require or ask for investigator ORCID iD (especially in the health sciences) - a few examples:

- American Heart Association
- Autism Speaks
- Children's Tumor Foundation
- Damon Runyon Cancer Research Foundation
- Howard Hughes Medical Institute
- Melanoma Research Alliance
- National Institutes of Health
- Simons Foundation
- Wellcome Trust
- + many more

Many funders use a system called Proposal Central, where grant applicants & awardees can:

- Log in using ORCID
- Populate grant applications via direct import from ORCID
- Populate progress reports via direct import from ORCID
- Authorize the funder to write their grant award information to the funding section of their ORCID record

Applicant or Awardee

Sign in to ProposalCentral to a search for funding opportunities, submit grant applications or manage your profile.

iD LOGIN WITH ORCID

OR

| USERNAME OR E-MAIL | PASSWORD |

LOGIN

Raymond Kim

ORCID iD
https://orcid.org/0000-0002-2147-8674

🖨 Print view ❓

Websites & Social Links
Google Scholar profile
University Health Network
Hospital for Sick Children

> Employment (3)
> Education and qualifications (4)
⌄ Funding (1)

⇅ Sort

Cell-free DNA as a biomarker in Neurofibromatosis 1
Children's Tumor Foundation (New York)
2019-02-01 to 2021-02-01 | Grant
GRANT_NUMBER: CTF-2018-10-002

Source: Children's Tumor Foundation   ★ Preferred source

SRA INTERNATIONAL

NIH, NSF, DOE, etc. have applicants use SciENcv to create their Biosketch.

SciENcv allows applicants to:
- Log in using ORCID
- Populate their biosketch via direct import from ORCID

Publishers

Reading Data from ORCID Record

iD

Writing Data to ORCID Record

RESEARCHER
https://orcid.org/
0000-0001-2345-6789
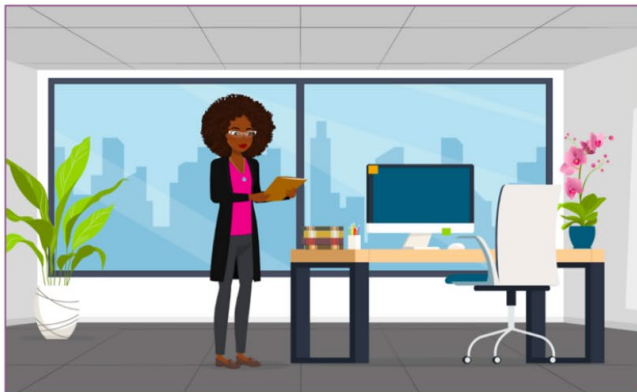
Many publishers require author ORCID iD - a few examples:

- American Chemical Society
- American Geophysical Union
- American Physical Society
- Biomedical Research Network
- BMJ Journals
- eLife
- IEEE
- PLOS
- SAGE Publications
- ScienceOpen
- Springer Nature
- Wiley
- + many more

SRA
INTERNATIONAL

Most scholarly journal publishers ask for authors' ORCID iDs upon submission, and allow authors to:

- Log in using ORCID
- Have their ORCID iD linked with their name on the publication
- Have their work & peer Review information automatically to their ORCID record via Crossref, or directly via the publisher
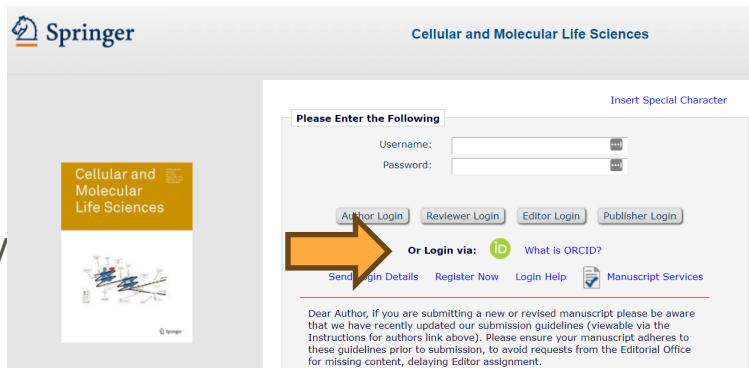

Springer — Cellular and Molecular Life Sciences

Please Enter the Following

Insert Special Character

Username:
Password:

Author Login | Reviewer Login | Editor Login | Publisher Login

Or Login via: iD   What is ORCID?

Send Login Details   Register Now   Login Help   Manuscript Services

Dear Author, if you are submitting a new or revised manuscript please be aware that we have recently updated our submission guidelines (viewable via the Instructions for authors link above). Please ensure your manuscript adheres to these guidelines prior to submission, to avoid requests from the Editorial Office for missing content, delaying Editor assignment.

Elisabeth Wildling

ORCID iD
https://orcid.org/0000-0001-7663-485X

Print view

Works (1 of 1)   ⬆ Sort

Coincidences, Correlations, Thoughts, Processes: A Journey from Space to Silence and Back
Scope: Contemporary Research Topics (Art and Design) 18
2019 | journal-article
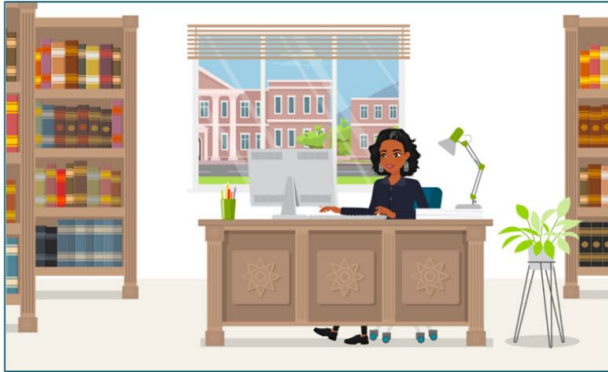Part of ISSN: 1177-5661
DOI: 10.34074/scop.1018022

Source: Otago Polytechnic   ★ Preferred source

SRA INTERNATIONAL

Research Organizations

Reading Data from ORCID Record

Writing Data to ORCID Record

RESEARCHER
https://orcid.org/
0000-0001-2345-6789

Research organizations across the globe are using ORCID. The ORCID US Community has over 200 member organizations:
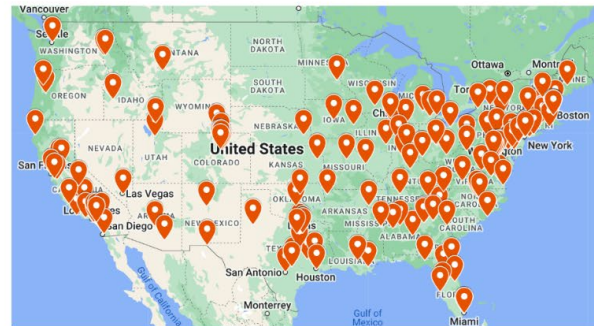
Universities and research institutes are integrating ORCID with local systems, allowing researchers to:

- Connect their ORCID iD with their institution ID
- Authorize the institution as a trusted organization to read data from and write data to their ORCID record

Universities and research institutes are integrating ORCID with local systems, allowing researchers to:

- Import data from ORCID into research information reporting systems
- Have the institution write relevant information to their ORCID record (employment, education, professional activities, funding, works)

Import data from ORCID to your Faculty Annual Report

Why do research administrators need to know about ORCID?

Presidential Memorandum on United States Government-Supported Research and Development National Security Policy

NATIONAL SECURITY & DEFENSE | Issued on: January 14, 2021

★ ★ ★

NATIONAL SECURITY PRESIDENTIAL MEMORANDUM – 33

https://trumpwhitehouse.archives.gov/presidential-actions/presidential-memorandum-united-states-government-supported-research-development-national-security-policy/

25

SRA
INTERNATIONAL

NSPM-33 = National Security Presidential Memo 33 - talks about **Digital Persistent Identifiers** (DPIs) for individuals:

"(v) Consistent with applicable Federal laws and statutory authorities, within 1 year of the date of this memorandum, funding agencies shall establish policies regarding requirements for individual researchers supported by or working on any Federal research grant to be registered with a service that provides a **digital persistent identifier** for that individual."

"(vi) Agencies shall standardize disclosure processes…policies and forms related to disclosure of conflicts of interest and commitment. Where appropriate and consistent with applicable Federal laws and regulation, agencies should standardize forms for initial disclosures as well as annual updates, integrating **digital persistent identifiers** wherever appropriate and practicable, and should provide clear instructions to accompany these forms and to minimize any associated administrative burden."

SRA
INTERNATIONAL

NATIONAL SCIENCE AND TECHNOLOGY COUNCIL

GUIDANCE FOR IMPLEMENTING NATIONAL
SECURITY PRESIDENTIAL MEMORANDUM 33
(NSPM-33) ON NATIONAL SECURITY
STRATEGY FOR UNITED STATES
GOVERNMENT-SUPPORTED RESEARCH AND
DEVELOPMENT

A Report by the

Subcommittee on Research Security

Joint Committee on the Research Environment

January 2022

What does the NSPM-33 Guidance say about "DPIs"?

- "Research agencies should work to **implement DPIs** into their electronic systems and processes **as quickly as is feasible**"

- "Research agencies should **allow submission of required disclosure information* via a DPI service**…"

*Disclosure information = employment and other affiliations, past and current research activities and collaborations, other funding received, etc.

- **"All research agencies should provide the option of using a DPI service for disclosure…"**

- **"Some research agencies currently require use of DPIs under some circumstances, and more may choose to do so."**

SRA
INTERNATIONAL

For example, the NIH, CDC, and AHRQ already require an ORCID iD for certain types of grants:

Requirement for ORCID iDs for Individuals Supported by Research Training, Fellowship, Research Education, and Career Development Awards Beginning in FY 2020

Notice Number: NOT-OD-19-109

Key Dates
Release Date: July 10, 2019

Issued by
National Institutes of Health (NIH)
Agency for Healthcare Research and Quality (AHRQ)
Centers for Disease Control and Prevention (CDC)

Purpose

By way of this Notice, NIH, AHRQ, and CDC announce that individuals supported by research training, fellowship, research education, and career development awards will be required to have ORCID iDs (Open Researcher and Contributor Identifiers) beginning in FY 2020.

https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-109.html

ORCID is the only DPI service that meets all of the requirements stipulated in the NSPM-33 guidance:

- Already widely used by many researchers
- Open, non-proprietary, researcher-driven platform
- Disambiguates one researcher from another
- Provides a single record that represents their curriculum vitae
- Prevents unintentional creation of duplicate DPI records
- Reduced administrative burden
- Interoperable with organizational systems
- inclusive of researcher name changes or different name formats
- Allows research agencies to read and write validated information
- Supports secure integration with standard authentication services
- Provided at no cost to the researcher.
- Allows researcher to control privacy settings

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20502

August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Dr. Alondra Nelson
             Deputy Assistant to the President and Deputy Director for Science and Society
             Performing the Duties of Director
             Office of Science and Technology Policy (OSTP)

SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

This memorandum provides policy guidance to federal agencies with research and development expenditures on updating their public access policies. In accordance with this memorandum, OSTP recommends that federal agencies, to the extent consistent with applicable law:

1. Update their public access policies as soon as possible, and no later than December 31st, 2025, to make publications and their supporting data resulting from federally funded research publicly accessible without an embargo on their free and public release;
2. Establish transparent procedures that ensure scientific and research integrity is maintained in public access policies; and,
3. Coordinate with OSTP to ensure equitable delivery of federally funded research results and data.

1. Background and Policy Principles

Since February 2013, federal public access policy has been guided by the *Memorandum on Increasing Access to the Results of Federally Funded Research* (2013 Memorandum).[1] Issued by the White House Office of Science and Technology Policy (OSTP), the 2013 Memorandum directed all federal departments and agencies (agencies) with more than $100 million in annual research and development expenditures to develop a plan to support increased public access to the results of federally funded research, with specific focus on access to scholarly publications and digital data resulting from such research.

Nearly ten years later, every federal agency subject to the 2013 Memorandum has developed and implemented a public access policy in accordance with its guidance.[2] As a result, the American public has experienced great benefits: more than 8 million scholarly publications have become accessible to the public. Over 3 million people read these articles for free every day. The 2013 federal public access policy set the stage for a paradigm shift away from research silos and

---

[1] See the 2013 Memorandum:
https://obamawhitehouse.archives.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf
[2] See the 2021 OSTP Public Access Congressional Report: https://www.whitehouse.gov/wp-content/uploads/2022/02/2021-Public-Access-Congressional-Report_OSTP.pdf

1

31

https://www.whitehouse.gov/wp-content/uploads/2022/08/08-2022-OSTP-Public-access-Memo.pdf

White House Office of Science & Technology Policy (OSTP) "Public Access" memo:

"Federal agencies should, consistent with applicable law:

"b) Instruct federally funded researchers to obtain a **digital persistent identifier** that meets the common/core standards of a **digital persistent identifier** service defined in the NSPM-33 Implementation Guidance, include it in published research outputs when available, and provide federal agencies with the metadata associated with all published research outputs they produce, consistent with the law, privacy, and security considerations.

c) Assign unique **digital persistent identifiers** to all scientific research and development awards and intramural research protocols that have appropriate metadata linking the funding agency and their awardees through their **digital persistent identifiers**.

SRA
INTERNATIONAL

Connected "Digital Persistent Identifiers" enable **FAIR**ness in the research & scholarly communication ecosystem:

- **F**indablity
- **A**ccessiblity
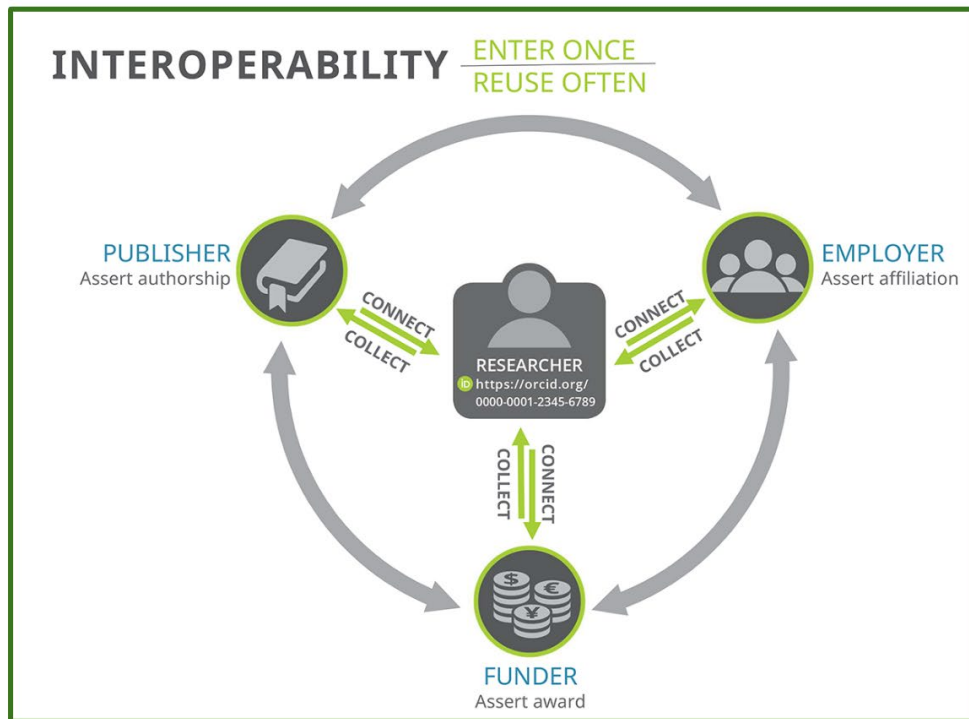- **I**nteroperablity
- **R**eusablity
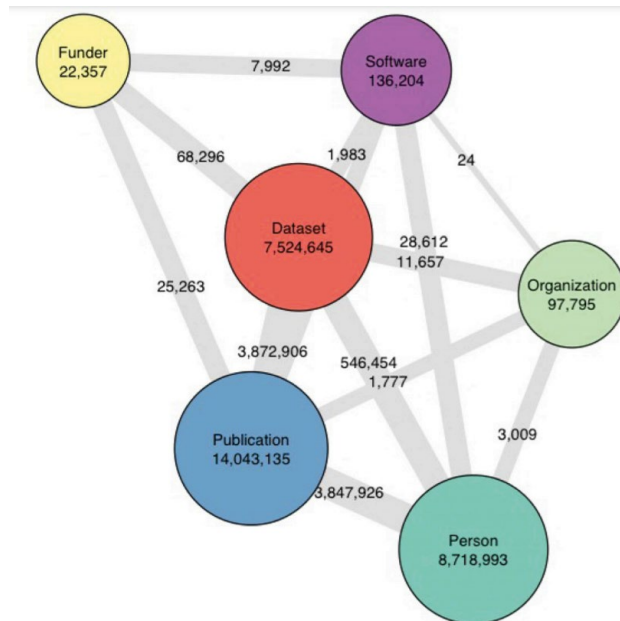
PID graph image and PID connection to FAIR principles, from: Cousijn, H., Braukmann, R., Fenner, M., Ferguson, C., van Horik, R., Lammey, R., Meadows, A., & Lambert, S. (2021, January 8). Connected Research: The Potential of the PID Graph. *Patterns*, *2*(1), 1-7.https://doi.org/10.1016/j.patter.2020.100180 (p. 3-5)

Federal agency ORCID policies so far:

- **NSF** – **ORCID iD is optional** for senior personnel in Biographical Sketches and Current and Pending Support disclosure
  - Requiring SciENcv for Biosketches – SciENcv can be populated with data from ORCID (saves time)

- **NASA** – Science Mission Directorate (SMD)-funded researchers are **required** "to have a persistent identifier that meets the standards of a **digital persistent identifier** service defined in the **NSPM-33** Implementation Guidance"

- **NIH, CDC, & AHRQ** – **ORCID iD required** for researchers receiving Research Training, Fellowship, Research Education, and Career Development Awards

- Still waiting on many others…

SRA
INTERNATIONAL

Save Time

INTEROPERABILITY — ENTER ONCE REUSE OFTEN

PUBLISHER — Assert authorship
EMPLOYER — Assert affiliation
FUNDER — Assert award
RESEARCHER — https://orcid.org/0000-0001-2345-6789

CONNECT / COLLECT

How can your organization help/prepare?

To help researchers comply & prepare:

❑ Make sure they know about ORCID and why they need it/how it can benefit them

❑ Make sure they have an ORCID iD

❑ Help them populate their ORCID record with information, ideally with validated information

❑ Make sure researchers know about ORCID and why they need it/how it can benefit them

- Include info about ORCID in workshops, trainings, webinars, new employee orientation, written materials (websites, emails)
- Promote ORCID through tabling, related special events
- Consider partnering with other units for outreach (Libraries, Academic Departments, etc.)
- Resources:

    - ORCID Outreach Planning Guide

    - Presenting the Value of ORCID to Researchers

    - ORCID for Researchers

https://twitter.com/anniekjohn/status/1097585056233730054

❑ Make sure researchers have an ORCID iD

- Encourage them to register for an ORCID iD if they don't already have one (during workshops, Research Impact Challenge, etc.)

Week of Aug 20 to Aug 24

Claim your ORCiD

ORCiDs protect your unique scholarly identity and help keep your publication record up-to-date with very little effort.

SAVE THE DATE! ORCiD will be one of the activities covered during the **8/31/18 OU Impact Challenge Workshop**.

https://libraries.ou.edu/impactchallenge
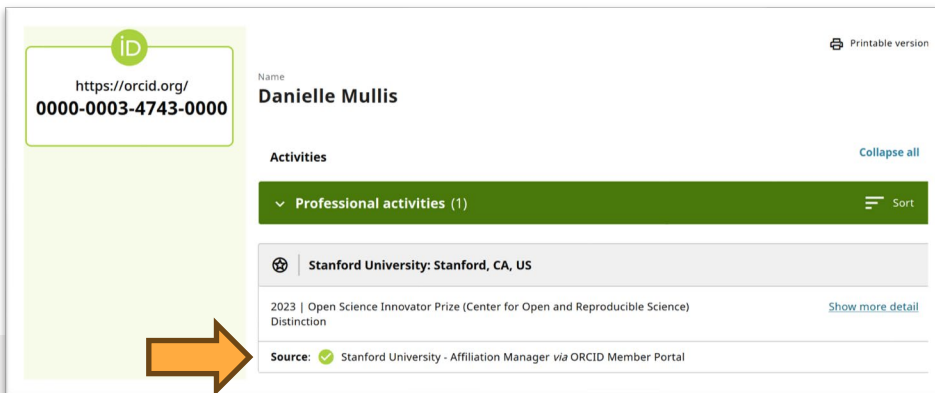http://blog.impactstory.org/wp-content/uploads/2015/01/impact_challenge_ebook_links.pdf

❑ Make sure researchers have an ORCID iD

- How to know who has an ORCID iD?

  - ORCID US Community can run a search, but results will only show people who have added your organization to their ORCID record as their current place of employment

  - The best way to know for sure who has an ORCID iD, is to use the ORCID Member API at your organization and have your researchers connect their ORCID iD to it (helps to coordinate with other units, requires ORCID membership)

❏ Help researchers populate their ORCID record, ideally with validated information

- Use the ORCID Member API to write data to ORCID records, such as: employment, education, funding, works…(partner with other units)

  - Could use the ORCID Affiliation Manager Tool

Some ORCID-integrated systems (there are many more)

https://orcidus.lyrasis.org/common-systems-for-integration/

❑ Help researchers populate their ORCID record, ideally with validated information

- Tips for populating an ORCID record manually:

  - Upcoming Webinar Nov. 16: ORCID Workshop for Researchers (register to attend)

  - Guide: ORCID 101 for Individuals

  - Guide: Transferring Works Citations from Google Scholar to ORCID

  - Webinar Recording: ORCID Workshop for Researchers

Takeaway 1:

It is never too early to make sure researchers know about ORCID, and have an ORCID iD.

Takeaway 2:

To ensure compliance, and help to populate your researchers' ORCID records with validated information, become an ORCID member organization (if you're not already).

If your organization is an ORCID member:

Look into using the ORCID API to write information to your researchers' ORCID records.

Contact us for support:
Orcidus@Lyrasis.org

Thank you!

ORCIDUS@Lyrasis.org

Questions & Discussion