

ORCID Outreach Meeting – October 5, 2016

Meeting Summary

“ORCID will become the standard throughout the International Academic Scientific Community. It will happen – it’s just a matter of when.”

Marcia McNutt, PhD, Meeting Keynote*, NAS President, Former Editor-in-Chief of *Science*

SUMMARY RECOMMENDATIONS:

HRA next steps:

1. To educate the HRA Membership, HRA should host a webinar led by Laure Haak, Executive Director of ORCID or her designee. (*ORCID hosted a similar webinar in 2014 at which the NIH presented its rationale for using ORCID – see additional resources section.*)
 - There could also be a funder, a university representative, and maybe a publisher included to talk over the benefits and challenges of requiring ORCID identifiers from researchers.
 - If the group thought it was necessary, we could include a scientist, though from what I have heard there is very little pushback from scientists.
 - This webinar should definitely include a demonstration of the ORCID wizard – which makes it extremely simple to get an ORCID identifier.
2. After the webinar, HRA should discuss joining ORCID as a consortium (*see #3 under HRA Member next steps*).

HRA Member next steps (*after the educational webinar*):

1. HRA members should consider **strongly encouraging** applicants or awardees to enter their ORCID identifier when they apply for funding, and also when submitting progress reports, to capture awardees who applied before the policy was implemented.
2. HRA members should think about making the case internally for moving toward **requiring** an ORCID identifier from at least awardees (if not applicants).
3. Individual HRA members should think about the benefits of becoming an ORCID member. If 5 or more HRA Members join, we can join as a consortium with a 20% discounts and other benefits. Over 9 members joining the discount is even more.

What is ORCID?

ORCID (Open Researcher and Contributor ID) was launched in 2012 to solve the problem of accurate attribution of scholarly research output to individual researchers. The ORCID system is a collaboration among publishers, universities, funders, researchers, and other stakeholders in scholarly communications.

ORCID OUTREACH MEETING SUMMARY:

Funders’ Perspective:

Many funders already either strongly encourage or require awardees to get ORCID identifiers.

Benefits of ORCID to funders include:

1. The ability to connect applicant ORCID identifiers to grant application and grant management systems.
2. The ability to post information into an applicant or awardee's record, such as award information and/or review acknowledgement and a link back to the record in the funder system (information is verified by the funder resulting in accurate data with no work for awardees)
3. The ability to pull information (e.g., new articles, datasets, other grants, etc.) automatically from the researcher's ORCID identifier record to help with post-award reporting and/or career tracking.

**A Summary of Dr. McNutt’s keynote address is at the end of this document.*

University Perspective:

Many universities are also incorporating the ORCID identifier into their systems.

1. ORCID Improves identification, data collection, and career outcome tracking of students and postdoctoral researchers.
2. Many are also proactively educating early career researchers about the benefits they will receive from a unique, persistent research identifier.
3. They are also beginning to link Electronic Theses and Dissertations (ETDs) to early career researchers' ORCID records.

Researcher Perspective:

1. It's a time saver
 - ORCID identifiers provide a unique digital identifier, which distinguishes researchers with similar names, and brings together any variant spellings names. It supports authentication across multiple journals, search engines and services, allowing for a single sign-on.
 - Up to now, each time a researcher applies for a new grant, or registers for a service he/she has had to re-enter all the same information in each system. It is time-consuming and error-prone. Once researchers create an ORCID record and connect it with their publications, grants, and affiliations, their details will automatically be entered when using any compatible system.
2. It provides cross-platform compatibility
 - More and more systems are building in ORCID identifier support, which means researchers can now easily connect ORCID identifiers to existing publications via interfaces with systems such as Crossref, EuropePMC, or Scopus.
 - Publishers' systems are now able to automatically update ORCID records as researchers publish articles, eliminating the need for manually updating.
 - A number of systems, including university profiles, library repositories, funder reporting, pull data from ORCID records, decreasing time spent manually updating.

3. Privacy is protected

The researcher retains complete control of their ORCID identifier and can set privacy settings. Researchers can make some or all of their research works public while keeping other information (such as email addresses) private. The researcher controls which organizations have access to view their record and which can actually add information to their record (publishers or funding organizations for example.)

4. It helps to build reputations

- Using an ORCID identifier makes research works much more visible to potential collaborators, funders and employers.
- Publication repositories are using ORCID identifiers to enable search, and universities are using them to support updates of local profile systems.
- ORCID identifiers also enable connections with, datasets, grant applications, reviewer reports, etc., to build a complete picture of your research contribution.

ORCID Status Report:

1. "Auto-Updates" by Crossref and DataCite (A new very valuable feature)

<http://crosstech.crossref.org/2015/09/orcid-auto-update.html>

Authors with an ORCID identifier will be able to have Crossref or DataCite automatically push information about their published work (via CrossRef) or datasets (via DataCite) o their ORCID record. 230 publishers already include ORCID identifiers in their metadata deposits with Crossref.

2. Extending global reach:

- Over 2 million researchers have ORCID identifiers
- There are 536 ORCID members (organizations) in Europe (Europe is #1 with 50% of ORCID members, North America is #2), growing in Asia, Middle East, Africa, Latin America.
- Most members are consortia of research institutions, funders are only 3% but growing.
- Over 100K IDs in China. Japan, India, South Korea growing.
- In the Netherlands, ORCID is used to enable their national open access policy.
- European Commission and Science Europe strongly recommend the use of ORCID and are moving toward requiring.

3. Digital Science platforms integrate with ORCID (*Digital Science is a suite of software tools including those listed below*)

- UberResearch – is the largest contributor of funding data to ORCID
- Altmetric – enables visualization of who is talking about what in social media, policy documents etc, and link that to an ORCID record. Can use the ORCID search to pull all authors' other metrics, not just publications.
- Figshare – is a data sharing platform, and all data in Figshare flows into the ORCID record and vice versa (if researcher chooses)
- ReadCube – is a pdf reader (and so much more) that can read pdfs and link back to ORCID
- Overleaf – is a platform to facilitate authors writing collaboratively. Writes to ORCID and helps with manuscript submission.

Additional resources:

1. WWW.ORCID.ORG
2. In 2014 there was an [ORCID Webinar Workshop for Funders and Research Institutions](#).
3. At that webinar, Wally Schaefer of the NIH described how NIH is using ORCID identifiers in response to the Biomedical Research Workforce Working Group recommendations. This is his presentation. [The adoption of ORCID identifiers by funding organizations](#).

SUMMARY OF MEETING KEYNOTE PRESENTATION BY MARCIA MCNUTT

Current President NAS

Former Editor in Chief of Science Magazine (*as such she implemented the policy of requiring ORCID identifiers of authors.*)

WHY ORCID and WHY ORCID NOW?

Over 20 journals are already requiring their authors to use their ORCID identifier when submitting and are moving to requiring their reviewers to have an ORCID identifier also.

These include:

All PLoS Journals

eLife

EMBO Press

All Science Journals

In her previous role at AAAS, and now at the NAS, she is working to foster a groundswell. She stated that ORCID will become the standard throughout the International Academic Scientific Community. It will happen – it's just a matter of when.

She anticipates it will be very similar to Social Security Numbers, where other sectors of the economy recognized the value of this unique identifier and it became widely used for a variety of purposes.

An ORCID identifier will become that unique identifier internationally for scientists and researchers. In addition to eliminating confusion with identities, it helps to promote research integrity and ensures proper credit and address the following questions:

1. Is credit properly assigned? Lack of proper credit for publications or service can negatively impact a career
2. Is the choice and assignment of reviewers correct? Editors need to be able to verify the integrity of the process by making sure the editor they assign is the one they meant to assign.
3. Are the facts that influence hiring and promotion correct? Are the letters from who they say they are or who you think they are? Have they received all the credit they are due and not received inappropriate credit?

AN ORCID record can alleviate incorrect assignment or designation due to:

- Name change
- Inconsistent use of middle initial
- Name inadvertently misspelled
- Lack of ability to distinguish common names
- Recent affiliation changes

If authors, reviewers, references, grant applicants, etc supply their ORCID identifier all ambiguity will be eliminated.

One issue still to be solved is security levels. Will ORCID identity theft be an issue? Since it isn't linked to financial records how secure do we have to make this? Will fraud be an issue? We should probably assume yes and put safeguards in place.

Other uses for ORCID:

Registering for meetings, joining professional societies, and participating in other scholarly activities.

ORCID identifiers are now a necessity and it is really the start of something big.

Discussion:

Q: It is hard enough to get the lead author to submit the ORCID identifier, how would you incentivize all the other authors to submit their ORCID identifiers too?

A: This actually makes it easier for the lead author who is the person responsible for submitting the names of all the authors to the publisher along with affiliation, etc. In the future, the corresponding author will only have to submit the ORCID identifiers for all the authors – not any of the other information like title, funding, affiliation etc. Think how much more simple this will be for the corresponding author (especially for a paper with hundreds of other authors on it) if they just have to ask the other others to send their ORCID identifier then the author sends all those ID's in a simple spreadsheet to the publisher. All the information for each author is automatically populated in the publishers system.

Case in point –At CERN, the European Organization for Nuclear Research, there are sometimes thousands of authors on a single paper. This is their policy now – the lead author sends in a spreadsheet with a list of the ORCID identifiers that he/she has collected from all the authors. They have received no pushback at all.

Q: Might the requirement of having an ORCID identifier to submit be a barrier to having authors choose that publication?

A: Actually, preliminary evidence points to the contrary. The ORCID identifier requirement lowers the burden and hassle of filling out forms so authors say they like it. They also see the benefits of having the

publisher know they are who they say they are, and like the fact that ORCID identifier allows the publisher to consolidate multiple existing records for the same person.

One vision is that only the names of the cited authors are listed in the references section of papers and a click on the name will take you not only to the cited paper but to the person's body of work that relates to that paper, via their ORCID record.

Q: Are there enough "roles" in ORCID identifier to have not only authors be assigned credit or be able to use ORCID identifier effectively? What else is in there but author and reviewer? Is there something for the person who oversaw the project?

A: They are adding more and more roles. They have 14 different role types currently. These are mostly geared toward publishing but this is changing. There is a need to be able to post recognition of contribution with appropriate role types. They are in the process of expanding the taxonomy of role types to account for all kinds of contributions or participation such as project manager.

Q: What is the ideal function of ORCID identifier? Yes it should link to a person's pubs, employment etc – but should it link to a person's work products? Should it link to code or reagents that person created? This is who I am and this is what I have produced? ORCID identifiers could provide a very broad view of the workflow and allow citation of a line of research or an intellectual thread, but what about if multiple people created that product?

A: This is a discussion that needs to happen. It could be that this would get too complicated and there are already ways of doing this that don't overcomplicate a system designed for a personal unique identifier. This might be stretching the uses of ORCID too far.

Q: Can this help with workforce studies? To do that you need to be able to capture career changes. If someone is no longer publishing (left the bench) funders for instance still want to know where that person is and what they are doing.

A: This is something the NAS cares deeply about. However, as of now, ORCID doesn't track that well. People who drop out of the academic scientific workforce don't have much incentive to keep their ORCID ID record up to date, and it doesn't even have roles they could use as of now.