



# Welcome!

## Welcome!

**Today's webinar will begin shortly.  
There will be no audio sound until  
the session begins.**



# Zoom Webinar Reminders

- Zoom technical support at 1-888-799-9666, option 2
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- Submit questions at any time in the Q&A box at the bottom of your screen
- Webinar recording and slides posted shortly after the event at **thefdp.org**



**FEDERAL DEMONSTRATION PARTNERSHIP**  
Redefining the Government & University Research Partnership

# Digital Persistent Identifiers (DPIs)

March 24, 2022  
FDP Webinar



# Welcome and Agenda

1. What does NSPM-33 mean for you?
2. How DPIs support disclosure
3. Introduction to ORCID
4. ORCID for Researchers
5. ORCID for University Administrators
6. Next steps...



# Digital Persistent Identifiers (DPIs)



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Disclosure:

Lori Schultz joined the ORCID Board of Directors in January 2022.



NEWS | 07 March 2022

## **‘I lost two years of my life’: US scientist falsely accused of hiding ties to China speaks out**

Acquitted nanotechnology researcher Anming Hu returns to his lab after two years – and is still grappling with the aftershocks of his ordeal.

### ***U.S. Drops Its Case Against M.I.T. Scientist Accused of Hiding China Links***

Gang Chen, a professor of mechanical engineering, was arrested a year ago, accused of concealing his affiliations with Chinese government institutions.

**Department of Justice**

U.S. Attorney’s Office

District of Massachusetts

SHARE

FOR IMMEDIATE RELEASE

Tuesday, December 21, 2021

## **Harvard University Professor Convicted of Making False Statements and Tax Offenses**

**Dr. Charles Lieber found guilty of concealing his affiliation with the Wuhan University of Technology and his participation in China’s Thousand Talents Program**



# Foreign Influence

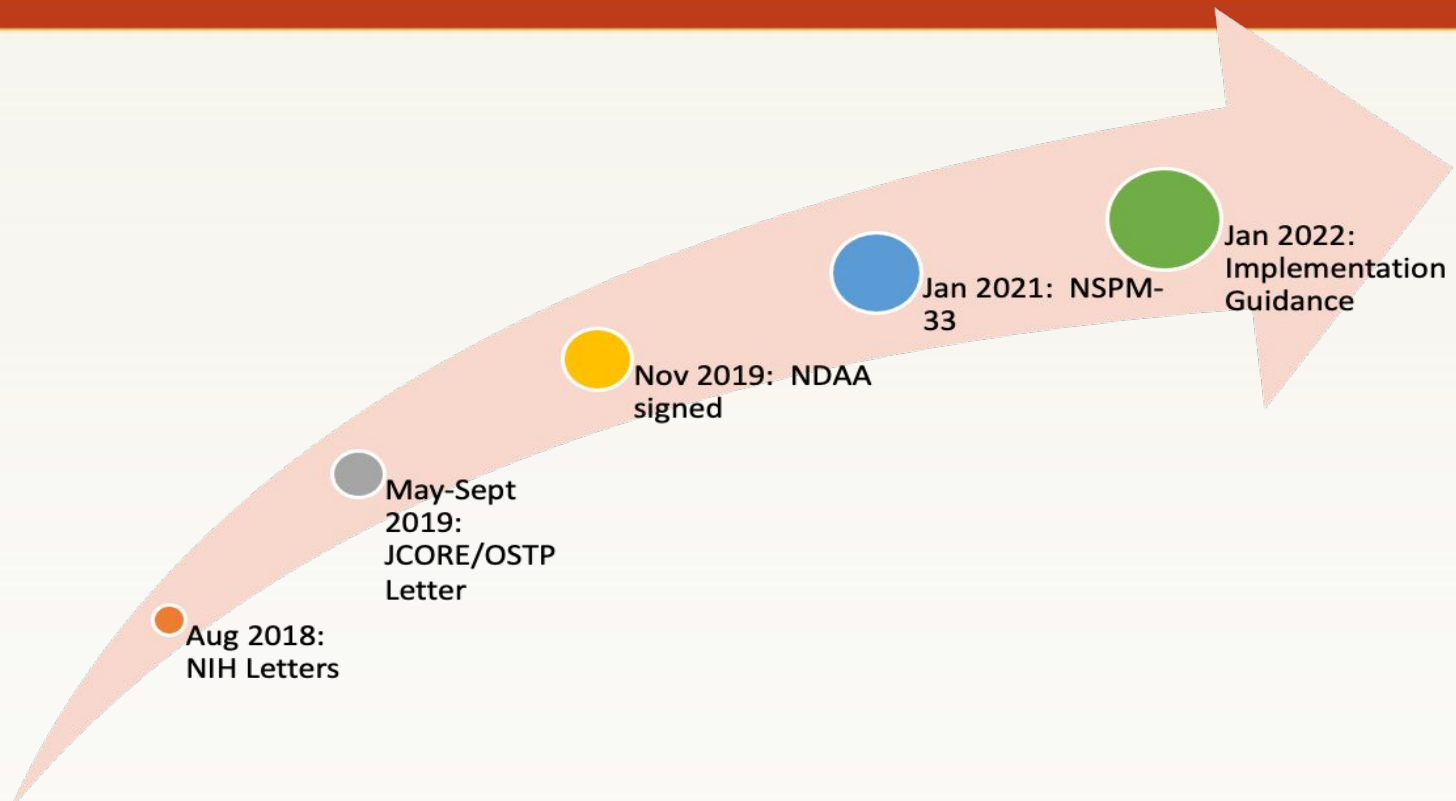
How does it manifest?

- Violating confidential peer review process (both manuscripts and proposal applications)
- Taking IP from US and filing patents outside the US
- Appointments/affiliations that duplicate US federal funding/effort (and aren't disclosed)





# Timeline





# January 2022 OSTP implementation Guidance

5 key sections:

1. Disclosure Requirements and Standardization
  - a. Biosketches
  - b. Current & Pending Support / Other Support
2. Digital Persistent Identifiers
3. Consequences for Violation of Disclosure Requirements
4. Information Sharing
5. Research Security Programs



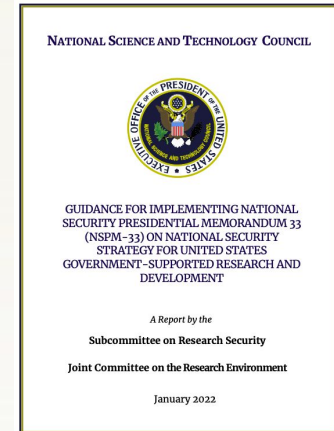
# Executive Order NSPM-33

## National Science and Technology Council (NSTC)

### GUIDANCE FOR IMPLEMENTING NATIONAL SECURITY PRESIDENTIAL MEMORANDUM 33

January 2022

- Adopt digital persistent identifiers to ease reporting and compliance
- Reduce administrative burden
- Disambiguates one researcher from another
- Researcher controls the content in their record or profile
- DPI is free to researchers
- DPI enables interoperability between systems





Connecting Research  
and Researchers

# A Few ORCID Facts

- Independent not-for-profit open to participation by all
- Registry launched in 2012
- Sustained by fees from our member organizations
- Guided by our [values and founding principles](#)
- Community-governed by a Board of Directors representative of our membership



# ORCID, which stands for Open Researcher and Contributor IDentifier, provides three main services



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



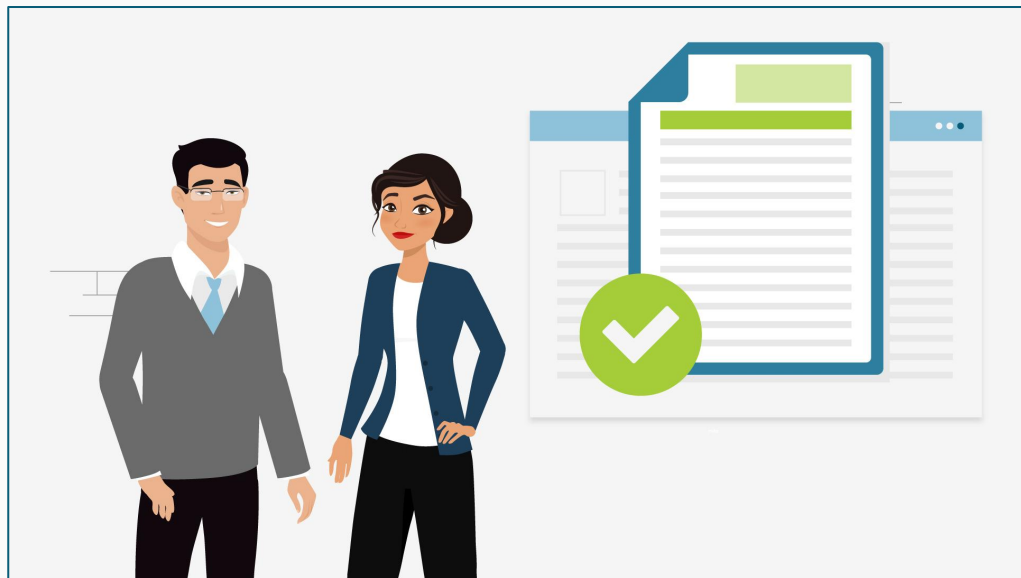
2. An ORCID record/digital cv connected to the ORCID iD, that can include employment, education and research output metadata



3. A set of Application Programming Interfaces (APIs), as well as the services and support of communities of practice that enable interoperability between an ORCID record and member organizations



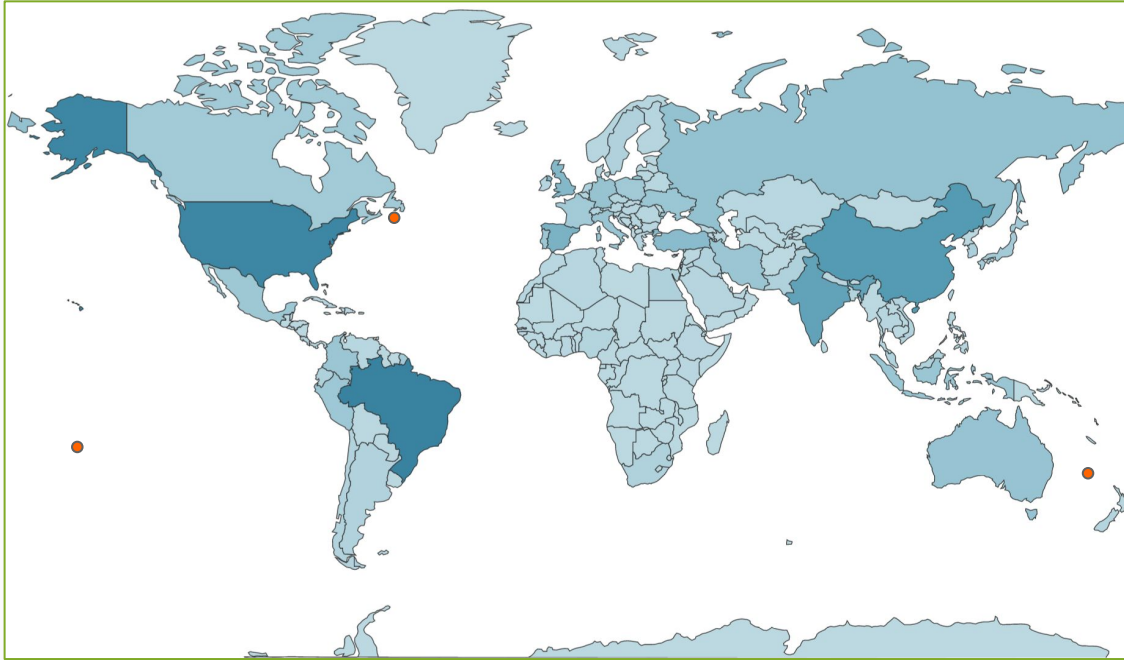
Researchers can access all their research information via their own unique ORCID profile, to be used wherever they need it.



	<b>Uniquely yours.</b> Distinguish yourself and claim credit for your work while controlling access to your data, no matter how many people have your same (or similar) name.
	<b>Name flexibility.</b> ORCID helps reduce the negative consequences of name changes so you will no longer be limited to the name you used when you began your career.
	<b>More time for research.</b> By allowing trusted organizations to add your research information to your ORCID record, you can spend more time conducting your research and less time managing it!
	<b>Control your visibility and discovery.</b> ORCID links all your research together, while you control the visibility of each piece of data. Easily see links to your research activities in one place—affiliations, funding, publications, and other contributions.
	<b>Reduced administrative burden.</b> Experience greater ease as an increasing number of manuscript submission and grant application forms can be auto-populated when you log into their systems with your ORCID. Spend less time re-entering your data!
	<b>Portable profile data.</b> Easily share the data in your record with an increasing number of funding, publications, data repositories, and other research workflows.



# ORCID is broadly used by researchers around the world



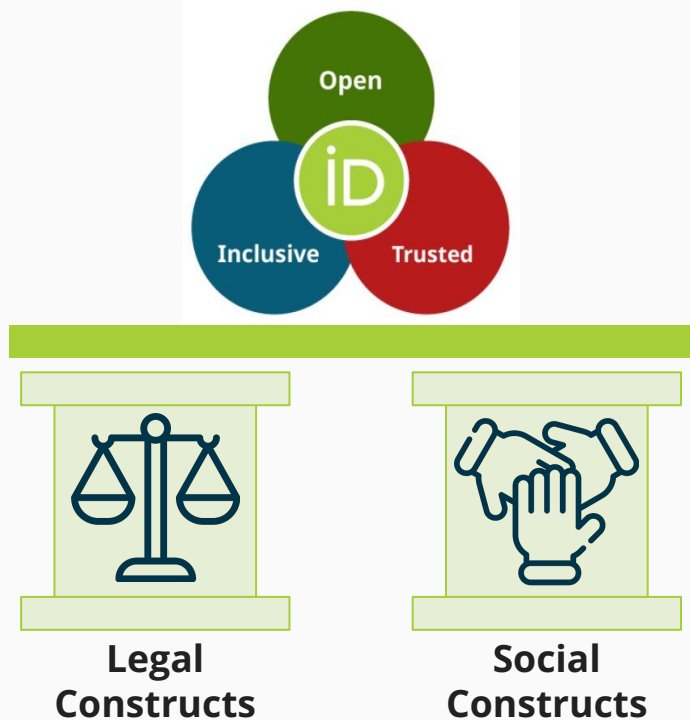
## There are ORCID users in 246 countries

That's every country on the planet apart from,

- Niue - island nation in Oceania, pop. 2k
- Norfolk Island - Australian island, South Pacific, pop. 2k
- Saint Pierre and Miquelon - French archipelago south of Newfoundland, pop. 6k

# ORCID was built from the ground up to win the broadest possible trust of the communities we serve




- Legal incorporation as US non-profit entity
- Membership organization open to all
- Governed by board elected by our members
- Legally binding membership agreements
- Privacy policy regulated by GDPR and other national regulations
- Legally binding employment agreements, code of conduct, etc






- Founding principles and values
- Commitment to researcher control
- Open source software and FAIR open data
- Equitable, sustainable business model
- Holding ourselves accountable by working openly
- Continuous community engagement and dialog

# Researchers are in full control of their ORCID profiles

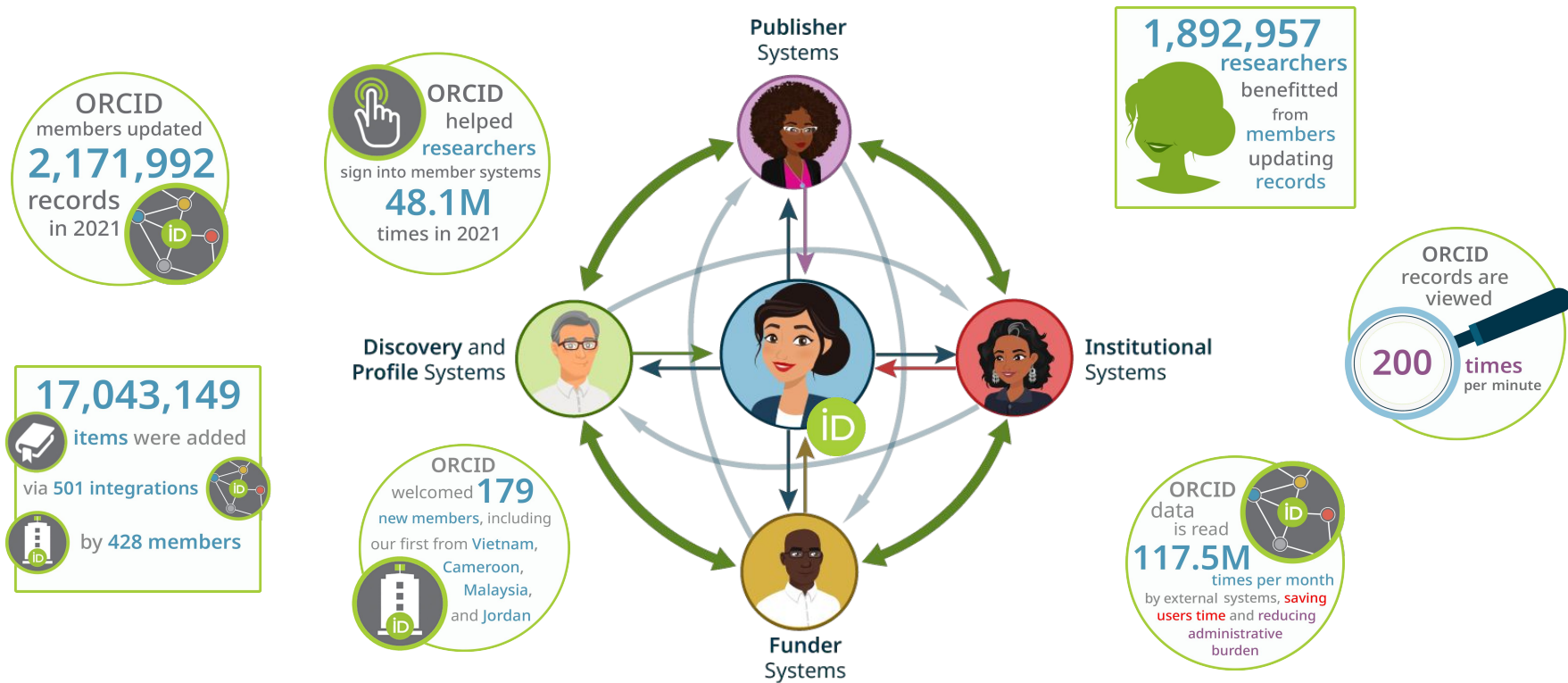
- Fine-grained privacy controls let researchers control the visibility of each item in their record
- Data can only be added to the record with researcher's permission
- Consider writing to the Employment & Education sections

Employment (3)	Who can see this?
<b>NYU School of Medicine: New York, NY, US</b>	 Everyone
2009-07-01 to present   Clinical Assistant Professor of Dermatology (Dermatology) Employment	 Trusted parties
<b>Source:</b> New York University	 Only me
	<a href="#">More information on visibility settings</a>

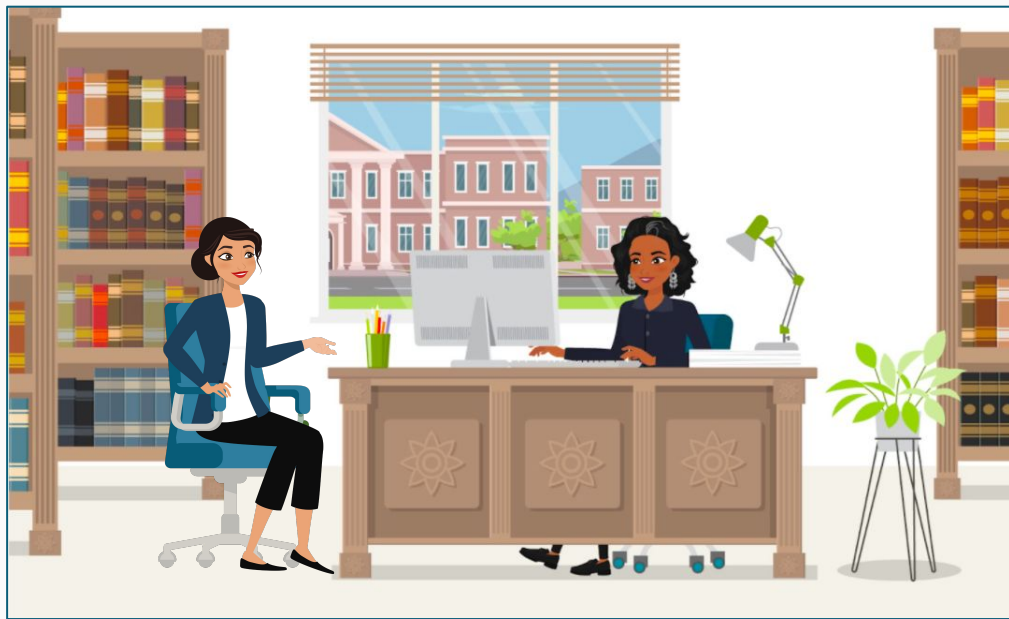
  

Education and qualifications (1)	Who can see this?
<b>University of Georgia: Athens, GA, US</b>	 Everyone
2021-08 to present   Graduate Student Education	 Trusted parties
<b>Source:</b> University of Georgia - Affiliation Manager <i>via</i> ORCID Member Portal	 Only me
	<a href="#">More information on visibility settings</a>

# ORCID is a hub for an immense amount of profile activity with over 3,900 interconnected systems



# ORCID allows Universities and Research Institutions to stay up to date with the research that comes from their scholars — while making their lives easier.



**Name disambiguation.** Have confidence that you have correctly identified contributions from your researchers, regardless of the popularity or variability of their names.



**Better research connections.** Follow your researchers' careers even after they leave your institution. Keep better track of collaborators and peers at other institutions.



**Reduce costs.** Reduce the costs required to track the research that comes from your institution by automatically accessing authoritative trusted publication and funding data from your researchers' ORCID records.



**Improved visibility of outputs.** Improve the visibility of your researchers' outputs and ensure they get the recognition they deserve by automatically writing authoritative, trusted affiliation data via integration with the ORCID registry.



**Reduced administrative burden.** Increase both efficiency and quality in critical processes like assessment exercises. Avoid time spent re-entering data during submission, review, and reporting. When your researchers have more time to spend on research, you save money!



**Interconnected infrastructure.** The ORCID registry is an open, interconnected hub of profile data. By integrating with ORCID, you can contribute affiliation data and extend the reach of your systems. Sharing data with ORCID can help you to avoid being locked into costly, proprietary systems.

# Member universities can increase the trustworthiness of ORCID records by writing validated data to researcher's records (with their permission)

## ▼ Employment (3)

### NYU School of Medicine: New York, NY, US

2009-07-01 to present | Clinical Assistant Professor of Dermatology (Dermatology)  
Employment

**Source:** New York University

### NYU Langone Medical Center: NY, NY, US

2007-11 to 2012-04 | Assistant Nurse Manager (Women's & Childrens)  
Employment

**Source:** Gladys Vallespir Ellett

## ▼ Education and qualifications (1)

### University of Georgia: Athens, GA, US

2021-08 to present | Graduate Student  
Education

**Source:** University of Georgia - Affiliation Manager *via* ORCID Member Portal

### University of Washington: Seattle, WA, US

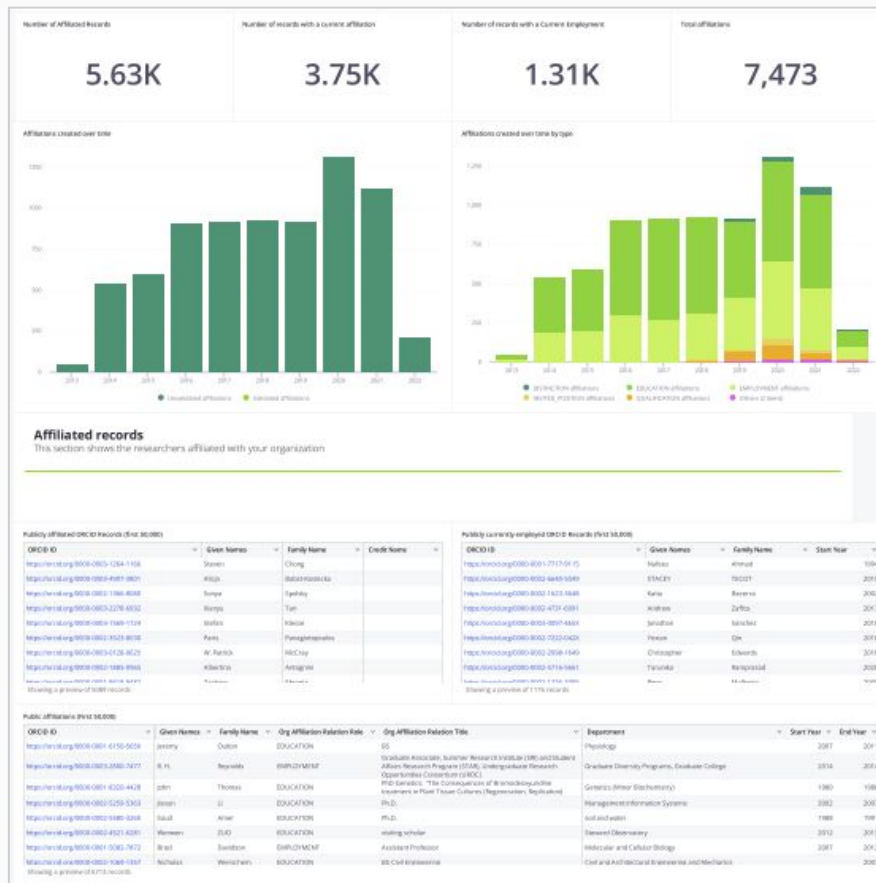
2011 | PhD (Political Science)  
Education

**Source:** Heather Pool

# Member Affiliation Report






THE UNIVERSITY  
OF ARIZONA





# ORCID allows funders to reduce the burden of administering grants and track their impact in a cost-effective way.



	<b>Trustworthy award attribution.</b> Ensure the right applicant is awarded, and enable better transparency throughout the funding process. Preserve the integrity of downstream analysis.
	<b>Enhanced ease of reviewer selection.</b> More complete applicant data makes reviewer selection process easier and helps to discover possible conflicts of interest. When recruiting new reviewers, program managers can assign reviews based on previous contributions and activities, even across other funders.
	<b>Increased research ROI.</b> Writing rich data to ORCID records can potentially allow better tracking of research outcomes supported by your funding, ultimately leading to better resource allocation decisions.
	<b>Accurate attribution and enhanced discoverability.</b> Standardized identifiers and open data can help increase discoverability, recognition, and accuracy of attribution of the research you fund or facilitate, even beyond the period of performance.
	<b>Reduced administrative burden for both your staff and researchers.</b> Re-use of standardized data improves quality and accuracy and can save time, money and effort. Having users sign in with ORCID reduces their frustration and burden of managing multiple credentials and saves time during submission, review, and reporting.
	<b>Interconnected infrastructure.</b> Help accelerate knowledge discovery and increase the integrity, transparency and reproducibility of research by encouraging FAIR Data Principles and Open Science practices through persistent identifiers and standardized, openly-accessible data.



# Many common Research Information Management (RIM) platforms can write to ORCID profiles...

- Clarivate Converis
- Elsevier Pure
- ExLibris Esploro
- Haplo
- Symplectic Elements
- Vidatum
- DSpace CRIS (Open Source)
- NZ ORCID Hub (Open Source)

ORCID



Employment



Education



Funding



Works

## ... as can key Funding management platforms

- Altum ProposalCENTRAL
- SmartSimple
- Vidatum Academic
- Digital Science CC Grant Tracker

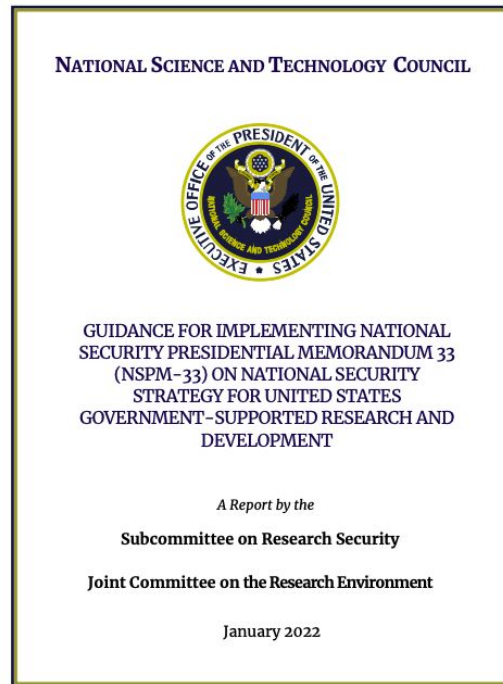
ORCID



Funding

# ORCID meets the criteria as a Digital Persistent Identifier (DPI) listed in the NSPM guidance

- ✓ Open, non-proprietary and researcher driven
- ✓ Interoperable with the [ISO 27729](#) standard (ISNI)
- ✓ Provides unique IDs that disambiguate researchers from one another regardless of their name
- ✓ Allows researchers create a single record that represents their CV
- ✓ Provides a workflow to discourage multiple records for a single person and the ability to consolidate duplicate IDs
- ✓ Reduces administrative burden by enabling the transfer of authorized data between systems
- ✓ Empowers research agencies to read/write validated information associated with the ORCID ID
- ✓ Supports authentication via SAML, OAuth and other standardized authentication services
- ✓ Assigns IDs to individuals at no charge
- ✓ Allows the researcher to control access to the information in their ORCID profile



# ORCID is already integrated with NIH & NSF's Digital CV system "SciENcv"

**Create New Profile**

You have 3 options for creating a new profile in SciENcv:


Name:    
Enter a name to help you to identify this profile

Type of profile: **NIH Biosketch**  
Additional profile types will be added later this year.

External source:   
Your ORCID account is linked to SciENcv. 


Sharing: ☒ Public ☐ Private  
You can change the shared settings for this profile at any time.

**From an external source:**













Some portions are auto-populated with data from an external profile

1. Researchers can import data from their ORCID profiles into SciENcv

		<b>NIH Biosketch</b>
1.	Biography	Personal Statement
2.	Employment	Positions and Honors
3.	Education	Education/Training
4.	Works	Citations & Contribution to Science
5.	Funding	Additional Information: Research Support and Scholastic Performance

2. SciENcv maps the ORCID profile fields into the relevant biosketch format

# Many organizations are already writing validated data to ORCID Records

<b>Universities</b> Employment and Education	<b>Publishers</b> Publications and Reviews	<b>Funders</b> Funding and Facility Awards
     	     	    

# Many FDP members are already ORCID members



**105/221** (48%) of FDP members are also members of ORCID



Go to:  
<https://orcid.org/members>  
to see if your organization is a member

## ORCID Member Organizations

ORCID is a non-profit organization supported by a global community of organizational members, including funders, professional associations, and other stakeholders in the research ecosystem. Interested in joining? [Learn more about membership](#)

There are currently 173 ORCID Member Organizations

[All members](#) | [Consortia members](#)

United States  Research Institute

[ALL](#) [A](#) [B](#) [C](#) [D](#) [E](#) [F](#) [G](#) [H](#) [I](#) [J](#) [K](#) [L](#) [M](#) [N](#) [O](#) [P](#) [Q](#) [R](#) [S](#) [T](#) [U](#) [V](#) [W](#) [X](#) [Y](#) [Z](#)

### American University

Research Institute | United States

American University creates meaningful change in the world. With highly ranked schools and college-recognized faculty, AU offers a balance between class time and career-advancing experience in Washington, D.C. beyond. Its students, among the country's most politically active, distinguish themselves for their ability to rethink global and domestic challenges and opportunities.

### Arizona State University

Research Institute | United States

Arizona State University is the largest public university in the United States. ORCID is incorporated into ASU's library system as well as through the research office's experts.asu.edu, an instance of ORCID for finding expertise based on scholarly work data. Individual experts are profiled faculty members whose ORCIDs that can be incorporated into experts.asu.edu

### Auburn University

Research Institute | United States



Auburn University is one of the nation's premier land, sea, and space grant institutions. Consistent with the Carnegie Foundation's list of top 50 public universities, it is both highly research-active and committed to teaching excellence, offering 140 degree options in 13 schools and colleges. With an enrollment of over 30,000 students, Auburn University is nationally recognized for its commitment to academic excellence, positive work-life balance, and the beauty of its campus. It is located in the small, friendly college town of Auburn, Alabama, Montgomery, Alabama's capital, and 115 miles southwest of Atlanta, Georgia.

### Augusta University

# Ten federal agencies are current ORCID members

1. Centers for Disease Control (CDC)
2. Department of Energy (DOE) OSTI
3. Environmental Protection Agency - EPA
4. Federal Reserve Bank of St. Louis
5. Food and Drug Administration (FDA)
6. NASA
7. National Institute of Health (NIH)
8. NIST
9. USDA
10. NOAA and USGS are in the process of joining and a number of agencies have expressed interest



# And several user research facilities are also members

1. Advanced Photon Source
2. Argonne Leadership Computing Facility
3. Argonne National Laboratory Library
4. Brookhaven National Laboratory
5. Center for Nanoscale Materials
6. Lawrence Berkeley National Laboratory
7. Los Alamos National Laboratory
8. Oak Ridge National Laboratory (ORNL)
9. Pacific Northwest National Laboratory
10. Princeton Plasma Physics Laboratory





# There are two ORCID member consortia in the US

## Federal Agencies

US Government  
**ORCID Consortium**

Organized by the US Department of Energy  
Office of Scientific and Technical Information

17 members

[ORCIDconsortium@osti.gov](mailto:ORCIDconsortium@osti.gov)

## Non-profit organizations (Universities)



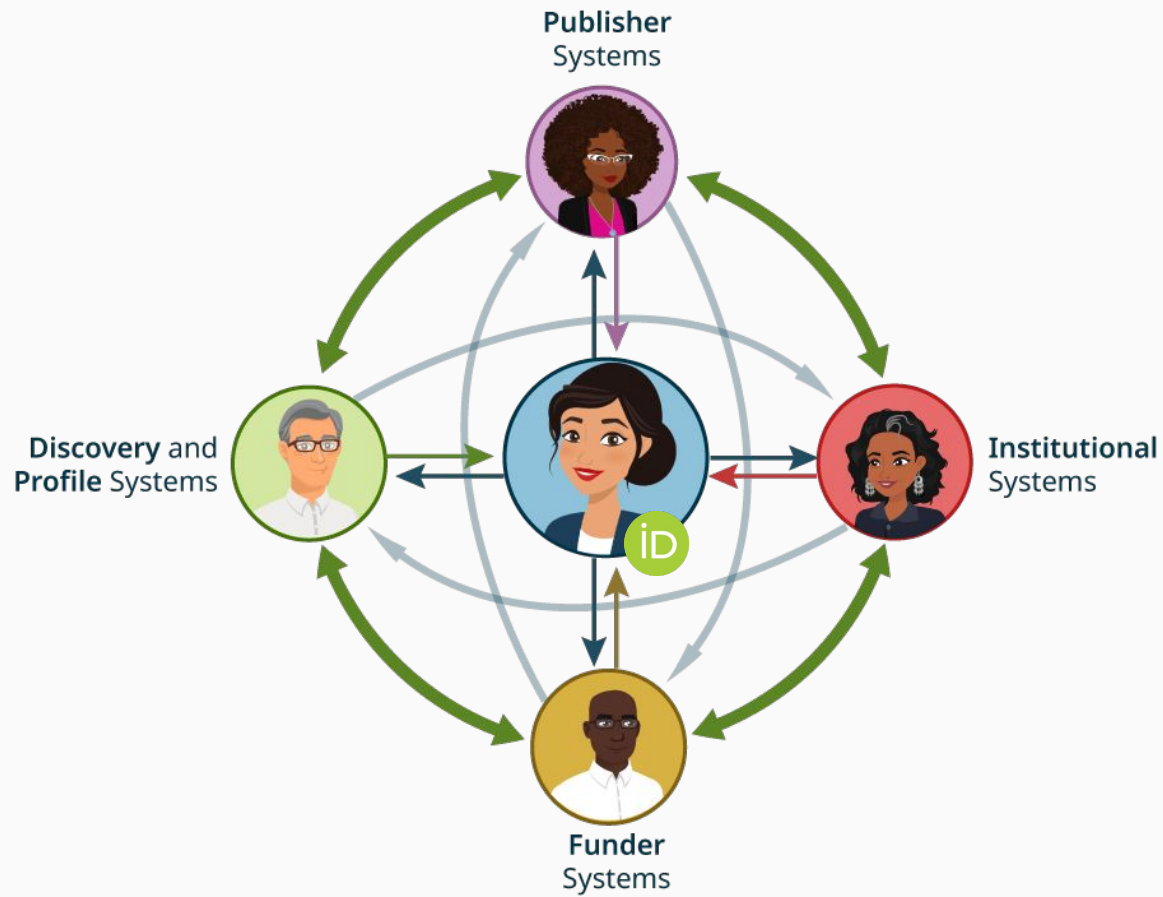
172 members

[orcidus@lyrasis.org](mailto:orcidus@lyrasis.org)

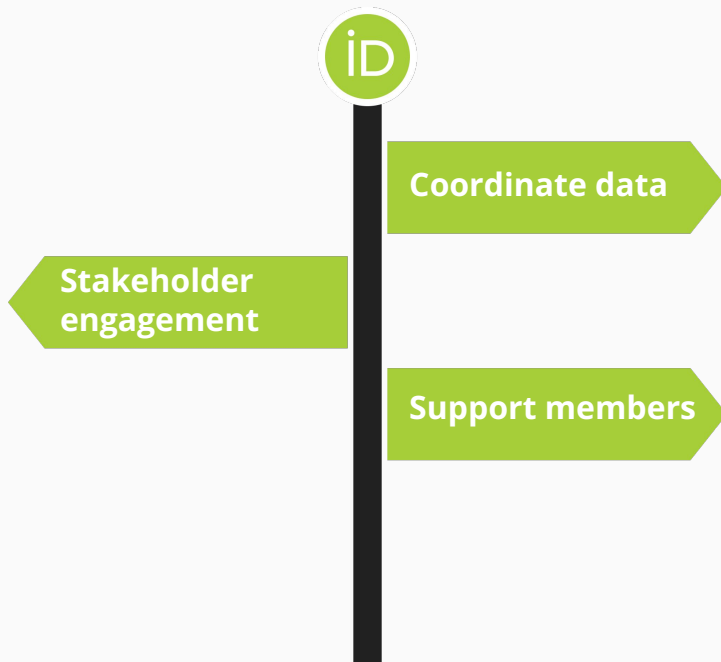
# Why are we all doing this again...?

1. Streamline workflows
2. Populate data in researcher's profiles for them
3. Connect your systems — enable auto updates
4. Help researchers meet their disclosure requirements





# ORCID is committed to helping researchers, universities and funding agencies comply with the NSPM-33 guidance



# What Research Managers can do next to prepare for these changes

- Does your university have ORCID membership?
- Which campus systems are connected to ORCID?
- Discuss who is going to write data to the ORCID profiles of your researchers?
- Form a working group to plan





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