



ORCID Consortium Agreement

This Consortium Agreement is entered into by and between ORCID, Inc., a Delaware nonstock corporation located at 10411 Motor City Drive, Suite 750, Bethesda, MD 20817 USA ("ORCID"), and [NAME OF CONSORTIUM LEADER], a [COUNTRY/STATE] [TYPE] entity located at [ADDRESS] ("Consortium Leader"), as of the Consortium Effective Date (as defined below). In consideration of the mutual promises contained herein and for other good and valuable consideration, the receipt and sufficiency of which are acknowledged, ORCID and Consortium Leader hereby agree to the terms, conditions and obligations set forth below and in the ORCID License Agreement, which is attached hereto and incorporated herein by reference. Capitalized terms not defined elsewhere are defined in Appendix A to the ORCID License Agreement.

Table with 4 columns: Consortium Leader Main Contact, Consortium Leader Administrative Contact, Consortium Leader Technical Contact, and rows for Name, Title, Email, Telephone.

ORCID Main Contact:

Ivo Wijnbergen, Director of Engagement, ORCID, Inc., 10411 Motor City Drive, Suite 750, Bethesda, MD 20817; membership@orcid.org; +1-301-363-9090.

Initial Term: [DD/MM/YYYY] ("Consortium Effective Date") through [DD/MM/YYYY].

Use of Trademark: ORCID is a community-based initiative and as such, is eager to promote the participation of its Members. To that end, if the "Agree" box is checked below, ORCID may use during the Initial Term and any Renewal Term Consortium Leader's name and logos for the limited purposes of indicating that ORCID and Consortium Leader have entered into this Consortium Agreement and the ORCID License Agreement, to identify Consortium Leader as a Member of ORCID (if relevant), and to publicize any links Consortium Leader creates from its website to the ORCID website.

[] Agree [] Disagree

Consortium Leader is encouraged to use ORCID's name, logo, and other trademarks (the "Marks") to announce the ORCID Consortium and its status as the Consortium Leader, provided that it correctly identifies the Marks as a trademark under US and other laws if requested by ORCID. (See Trademark and iD Display Guidelines on the ORCID website.) Consortium Leader may not use the Marks in any way likely to cause confusion as to the origin of goods or services or to suggest endorsement by ORCID, except as specifically approved by ORCID in writing.

Consortium Members: As further described on Exhibit 1 (attached hereto and incorporated herein by reference), Consortium Leader shall maintain a list through the ORCID self-service tool at http://orcid.org/self-service (the "Consortium Member List") of entities that have signed an Accession Agreement in the form attached hereto as Exhibit 3, and incorporated herein by reference (each, a "Consortium Member" and collectively, the "Consortium Members"). Consortium Leader shall sign an Accession Agreement as well if it desires to be a Consortium Member with ORCID Member Benefits. Consortium Leader shall complete the Consortium Member List of initial Consortium Members prior to the Consortium launch. Thereafter, Consortium Leader may update the Consortium



ORCID Consortium Member License Agreement

Member List from time to time. Each proposed entity shall become a Consortium Member entitled to ORCID Member Benefits upon acceptance by ORCID.

Consortium Leader represents and warrants that each entity on the Member List has signed an Accession Agreement and shall provide ORCID copies of signed Accession Agreements upon request.

Only institutions of higher education, nonprofit organizations, and government research and funding agencies located in and organized under the laws of [COUNTRY] are entitled to be covered under the Consortium Fee (defined below), and Consortium Leader represents and warrants that each institution listed on the Consortium Member List is such an entity.

Payment Terms:

ORCID Classification: **Consortium**

Membership Level: **Premium**

Consortium Band: **(to be completed by ORCID)**

Consortium Fee: As per the pricing schedule below. Consortium Leader shall be responsible for collecting and paying the Consortium Fee to ORCID.

- **5-9 members: US\$6,000 per member**
- **10-19 members: US\$5,000 per member**
- **20-34 members: US\$4,000 per member**
- **35-60 members: US\$3,500 per member**
- **61+ members: US\$3,000 per member**

Each Consortium Member must have its own Member API Credential(s). If at any time during the Term or a Renewal Term there are fewer than 5 Consortium Members licensed, the fees shall be adjusted to ORCID's standard licensing fee for individual Members and the discount rate shall no longer apply effective immediately.

The Consortium Fee shall be due net 45 days from signing this Consortium Agreement. If Consortium Leader adds any additional Consortium Members during the Initial Term or a Renewal Term resulting in a change in the membership bands set forth above, ORCID reserves the right to charge additional fees which shall be due net 45 days from the date such Consortium Member is added.

Renewal fees shall be due net 45 days from the date set forth in an annual invoice sent by ORCID. Lower or higher fees based on the number of Consortium Members will be evaluated at each Renewal Term. Annual fee increases will be no more than 3% per annum (not taking into account increases in the number of Consortium Members), and ORCID will provide no less than 60 days' advance notice to Consortium Leader of any such fee increase. Additional optional Member Benefits may become available (during a term, or at the beginning of a Renewal Term) for the same Consortium Fee or for additional charges, in ORCID's discretion.

All payments shall be made in United States Dollars. Any undisputed payments made more than sixty (60) days after they are due and payable shall be subject to a 1.5% monthly interest charge, and ORCID reserves the right to freeze access to Consortium Members' API Credentials until undisputed payments are made. All payments shall be made by check payable to ORCID Inc., by credit card, or by mutually acceptable form of wire transfer to ORCID. There shall be no tax withholdings deducted from any fees owing to ORCID hereunder.

A Note about Service Providers:

As used herein, "Service Provider" means an organization that provides services or products to other organizations based on the use of its Member API Credential(s), other Member Benefits, or the creation or authentication of



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ORCID Identifiers. Service Providers must require their customers to have their own API credentials, whether in the form of a free Public API Credential or a paid Member API Credential. For example:

- *For organizations providing submission management or other services to publishers:* Each publisher must have its own API credential (free Public API Credential for authentication only or paid Member API Credential for authentication, access to Limited Access Data, ability to update ORCID records, and for premium members, access to the call back API).
- *For organizations providing information systems to universities:* Each university must have its own API credential (free Public API Credential for authentication only or paid Member API Credential for authentication, creation of ORCID Records, access to Limited Access Data, ability to update ORCID records, and for premium members, access to the call back API).

The above are illustrative examples only; Service Providers are encouraged to discuss their plans with ORCID in advance of implementation.

Support:

The Consortium Fee covers the provision of Member API Credentials for each Consortium Member set forth on the Consortium Member List plus the ORCID support set forth in the *Roles and Responsibilities of ORCID Consortia* (attached hereto as Exhibit 2 and incorporated herein by reference). The Consortium Leader acknowledges (i) the roles and responsibilities of Consortium Leader set forth in *Roles and Responsibilities of ORCID Consortia* and agrees to implement the relevant support and services (including, without limitation, the technical support to be provided by Consortium Leader) within 90 days of the Consortium Effective Date; and (ii) the Consortium Fee is based on the Consortium Leader providing such services and failure to provide such services could result in an increase in the Consortium Fee.

Notices:

Any notice required to be given by ORCID under the ORCID License Agreement shall be given only to Consortium Leader’s Main Contact. It is Consortium Leader’s responsibility to keep its contact information up to date and to forward any such notice to the Consortium Members in a timely manner.

Miscellaneous: Sections 9.2 through 9.10 of the ORCID License Agreement shall apply equally to the construction, interpretation and enforcement of this Consortium Agreement.

This Consortium Agreement and any amendments may be executed in one or more counterparts, each of which shall be deemed an original, but all of which shall constitute one agreement. **EACH PARTY MAY USE A PAPER (WET) OR ELECTRONIC SIGNATURE, EACH OF WHICH SHALL BE DEEMED TO BE AUTHENTIC AND EQUALLY ENFORCEABLE.**

IN WITNESS WHEREOF, ORCID and Consortium Leader have caused this Consortium Agreement to be executed by a duly authorized representative.

[NAME OF CONSORTIUM LEADER]

ORCID, Inc.

Signature: _____

Signature: _____

Name: _____

Name: Chris Shillum

Title: _____

Title: Executive Director

Email address: _____

Email address: c.shillum@orcid.org



**ORCID Consortium Member
License Agreement**

Date: _____

Date: _____

Exhibit 1 to the Consortium Agreement: Consortium Members

Consortium Leader shall maintain the Consortium Member List through the ORCID self-service tool at <http://orcid.org/self-service>, including the information listed below. Consortium Leader should include its name as well if it is becoming an ORCID Member with Member Benefits. Consortium Leader is responsible for ensuring that the Consortium Member List remains up to date and accurate.

- **Organization Name**
- **Main Contact: Name, Job Title, Email.** The Main Contact indicated for each Consortium Member shall be the person who represents the Consortium Member for purposes of (i) notice under the ORCID License Agreement and ORCID's bylaws and (ii) membership voting, and who otherwise acts on behalf of the Consortium Member under the ORCID License Agreement and under ORCID's bylaws.
- **Technical Contact: Name, Job Title, Email.** The Technical Contact shall be the person responsible for managing the Member's API Credential(s).

In addition, Consortium Leader shall maintain a shared separate document at the following address [[URL](#)] with the following information:

- **Organization Name**
- **Organization Address**
- **Trademark License:** Indicate "Yes" if ORCID may use during the Initial Term and any Renewal Term the relevant Consortium Member's name and logos for the limited purposes of indicating that Consortium Member is a Member of ORCID and to publicize any links Consortium Member creates from its website to the ORCID website. Indicate "No" if such a license is not granted.



**Exhibit 2 to the ORCID Consortium Agreement: Roles & Responsibilities of ORCID
Consortia**

Effective ORCID implementations, user awareness, adoption rates, are all improved when the research community coordinates efforts, shares successes, and supports each other in local outreach and integration initiatives. The Roles & Responsibilities of ORCID Consortia is available at:

<https://orcid.org/content/orcid-consortia>

Exhibit 3: Accession Agreement Template

Accession and Data Processing Agreement

This Accession & Data Processing Agreement is entered into by and between ORCID, Inc., a Delaware nonstock corporation located at 10411 Motor City Drive, Suite 750, Bethesda, MD 20817 (“ORCID”) and [NAME OF CONSORTIUM MEMBER], a [COUNTRY] [TYPE] entity located at [ADDRESS] (“Consortium Member”) as of [DATE CONSORTIUM MEMBER SIGNS].

- Whereas, ORCID and [NAME OF CONSORTIUM MEMBER] (“Consortium Leader”) entered into an ORCID Consortium Agreement dated [DATE] (the “Agreement” as more fully defined in Appendix B);
- Whereas, the Consortium Leader has indicated that Consortium Member is eligible to be a Consortium Member under the Agreement;
- Whereas, Consortium Member desires to become a Consortium Member under the Agreement and accordingly seeks to formally agree to and be bound by the terms and conditions of the Agreement pursuant to this Accession & Data Processing Agreement;
- Now therefore, in consideration of the mutual promises contained herein and for other good and valuable consideration, the receipt and sufficiency of which is acknowledged, ORCID and Consortium Member agree as follows:

1. The capitalized terms used herein have the meanings ascribed to them under the Agreement unless otherwise specified.
2. Consortium Member agrees to abide by all of the terms, conditions, licenses, obligations, representations, and warranties set forth in the Agreement as applicable to a Consortium Member.
3. ORCID agrees to process any Record Data submitted by Consortium Member in accordance with instructions provided by Consortium Member. ORCID and Consortium Member acknowledge and agree that Consortium Member has instructed ORCID to process any such Record Data in accordance with ORCID’s Privacy Policy, as amended from time to time. ORCID shall provide Consortium Member with notice of any amendments to its Privacy Policy. Within 10 days’ of such notice, if Consortium Member does not agree with such amendments, Consortium Member shall have the right to immediately terminate this Accession Agreement and cease to deposit any new Record Data in the Registry. Any Record Data previously deposited shall remain in the Registry consistent with the Agreement, and subject to the control of the Individual to which the ORCID Record refers.
4. Consortium Member represents and warrants that it has the authority to enter into this Accession Agreement, and bind itself to the terms, conditions, licenses, obligations, representations, and warranties contained herein and under the Agreement. Consortium Member further represents and warrants that it has caused this Accession & Data Processing Agreement to be executed by a duly authorized representative.
5. Consortium Member represents and warrants that it is either (check appropriate box):
 - organized and operated for charitable, scientific, literary or educational purposes, and that no part of its net earnings inures to the benefit of any private shareholder or individual, or
 - governmental entity.
6. This Accession & Data Processing Agreement, together with the Agreement, including the Appendices, the Privacy Policy (as amended by ORCID from time to time), the Member Benefits (as amended by ORCID from time



to time), and the ORCID Dispute Procedures (as amended by ORCID from time to time) shall constitute the entire set of understandings between the parties with respect to the subject matter herein and shall supersede all oral or written understandings with respect to such subject matter. Any amendment to this Accession & Data Processing Agreement must be in a writing signed by both parties. (The Agreement may be amended subject to its terms.)

7. Waiver of any provision herein shall not be deemed to be a waiver of any other provision herein or of the Agreement, nor shall waiver of any breach of this Accession & Data Processing Agreement be construed as a continuing waiver of other breaches of the same or other provisions of this Accession & Data Processing Agreement or the Agreement. If any provision or provisions of this Accession & Data Processing Agreement are held to be invalid, illegal, unenforceable, or in conflict with the law of any jurisdiction, the validity, legality, and enforceability of the remaining provisions of this Accession & Data Processing Agreement and the Agreement shall not in any way be affected or impaired thereby.

8. The parties expressly exclude, if applicable, the application of the United Nations Convention on Contracts for the International Sale of Goods. Except for disputes described in Appendix A, Section 6 which shall be governed by the ORCID Dispute Procedures, if the Parties cannot resolve disputes arising out of or relating to this Agreement in an amicable manner, they shall do so through a desk arbitration administered by the International Centre for Dispute Resolution of the American Arbitration Association in the case of international disputes (the "AAA") governed by its applicable rules, as modified by the following: (i) regardless of the amount in controversy, the matter shall be determined by one arbitrator familiar with the information technology sector based upon written submissions in English and one or more telephonic hearings in English (as determined by the arbitrator); (ii) the Parties shall submit documents pertaining to the arbitration consistent with AAA rules and as directed by the arbitrator; and (iii) the arbitrator shall render a final binding decision 14 days after the arbitrator declares the hearing closed. The Parties agree that a judgment on the award rendered by the arbitrator may be entered in any court having competent jurisdiction thereof. Notwithstanding the foregoing, either Party may apply to the arbitrator seeking injunctive relief until the arbitration award is rendered. Licensee acknowledges that unauthorized use of the Member API Credential, the ORCID Registry, and/or security breaches might cause ORCID irreparable harm.

9. Where notice to Consortium Member is required hereunder or under the Agreement, it shall be sufficient for ORCID to provide notice to Consortium Leader. In no event shall ORCID be deemed to have failed to meet a notice requirement because of Consortium Leader's failure to provide timely notice to a Consortium Member. Notice shall be deemed to be given by ORCID to Consortium Member the day after ORCID provides notice to Consortium Leader. Although not required to do so, ORCID may elect to provide notice directly to Consortium Member as follows:

Name:	<input type="text"/>
Title:	<input type="text"/>
Address:	<input type="text"/>
Email:	<input type="text"/>
Telephone:	<input type="text"/>

10. Consortium Member may update its address for notice pursuant to the notice provisions under the License Agreement.

11. ORCID is a community-based initiative and as such, is eager to promote the participation of its Members. To that end, if the "Agree" box is checked, ORCID may use during the Initial Term and any Renewal Term Consortium Member's names and logos for the limited purposes of indicating that ORCID and Consortium Member have entered into this Accession & Data Processing Agreement, to identify Consortium Member as an as Member of ORCID, and to publicize any links Consortium Member creates from its website to the ORCID website.



**ORCID Consortium Member
License Agreement**

Agree

Disagree

12. If the Agreement between Consortium Leader and ORCID is terminated and Consortium Member is not in breach of this Accession & Data Processing Agreement or the Agreement, Consortium Member shall be given the opportunity to timely enter into a direct agreement with ORCID to allow for uninterrupted access to the Trusted Party Member Benefits. Under such an agreement, Consortium Member would be liable for standard (non-discounted) ORCID fees.

13. This Accession & Data Processing Agreement and any amendments may be executed in one or more counterparts, each of which shall be deemed an original, but all of which shall constitute one agreement. **EACH PARTY MAY USE A PAPER (WET) OR ELECTRONIC SIGNATURE, EACH OF WHICH SHALL BE DEEMED TO BE AUTHENTIC AND EQUALLY ENFORCEABLE.**

IN WITNESS WHEREOF, the parties have caused this Accession & Data Processing Agreement to be executed by a duly authorized representative.

[NAME OF CONSORTIUM MEMBER]

ORCID, Inc.

Signature: _____

Signature: _____

Name: _____

Name: Laurel Haak

Title: _____

Title: Executive Director

Email address: _____

Email address: l.haak@orcid.org

Date: _____

Date: _____



ORCID License Agreement

ORCID, [NAME OF CONSORTIUM LEADER] (“Consortium Leader”) and each entity (“Consortium Member”) set forth on the Consortium Member List as described in Exhibit 1 to the ORCID Consortium Agreement signed by Consortium Leader and effective as of [Consortium Effective Date] (“Consortium Agreement”) shall be a party to, and be bound by, the terms and conditions of this License Agreement, which incorporates by reference its Appendix A, the ORCID Privacy Policy, ORCID Dispute Procedures, the Member Benefits and Exhibits 1 and 2 to the Consortium Agreement. Terms not defined herein are defined in Appendix A.

1. Grant of License from ORCID and Member Benefits. Each Consortium Member and Consortium Leader (if it has signed an Accession Agreement) shall have the Member Benefits available to ORCID premium members which shall include at a minimum those benefits set forth in this Article 1. Member Benefits may be added and amended from time to time by ORCID beyond those set forth in this Article 1, and current Member Benefits shall appear on the ORCID website. All Member Benefits are subject to the terms and conditions of this License Agreement. The license set forth in Section 1.1 and the other Member Benefits shall remain in effect for the Initial Term (or relevant Renewal Term) set forth in the Consortium Agreement (or a renewal notice), unless earlier terminated under Article 8, or restricted under Section 4.2.

1.1 Grant of License. As of the Effective Date, and subject to timely payment in full by Consortium Leader of the fees set forth in the Consortium Agreement, ORCID grants to each Consortium Member a non-transferable license to use a Member API Credential(s) to access the Member APIs, and read, deposit/edit and Use Record Data subject to the relevant Privacy Settings and terms and conditions set forth in this License Agreement. All rights not expressly granted herein are reserved by ORCID. Nothing herein shall require any Consortium Member to exercise any of the Member Benefits.

1.2 Consortium Members that are Service Providers. As used herein, “Service Provider” means an organization that provides services or products to other organizations based on the use of its Member API Credential(s), other Member Benefits, or the creation or authentication of ORCID Identifiers. Service Providers must require their customers to have their own API credentials, whether in the form of a free Public API Credential or a paid Member API Credential. ORCID reserves the right to determine if an application requires a separate API Credential; therefore, Service Providers are encouraged to discuss their plans with ORCID in advance of implementation.

1.3 Deposit/Edit Data. Each Consortium Member shall have the ability to deposit and edit Record Data in existing ORCID Records where the relevant Individual has granted the Consortium Member authority as a Trusted Organization, subject to the following:

- (i) Each Consortium Member shall only deposit/edit the type and scope of Record Data for which it has consent from an Individual through the ORCID mechanism for granting consent to Trusted Organizations.
- (ii) Each Consortium Member shall only deposit/edit Record Data that, to the best of its knowledge at the time of deposit/edit, is true and correct and is associated with the

correct Individual and ORCID Identifier. If, after the time of deposit/edit, a Consortium Member becomes aware that any Record Data it deposited/edited is incorrect, the Consortium Member shall correct or inform the relevant Individual and ORCID. A Consortium Member is under no obligation to update Record Data other than to correct any Record Data that were not true and correct at the time of deposit/edit or inform ORCID and the relevant Individual that such Record Data is incorrect, and shall have no liability for ORCID’s continued Use of uncorrected Record Data after the Consortium Member has corrected it or informed the relevant Individual and ORCID.

(iii) If a Consortium Member deposits/edits any links to articles, blogs, data sets or other works which may be subject to intellectual property protection, it shall only do so in a manner that does not to its knowledge violate the copyright or any other intellectual property rights of a third party.

(iv) Subject to the terms and conditions of this License Agreement, each Consortium Member grants to ORCID a fully-paid, royalty-free, non-exclusive, worldwide, perpetual, irrevocable license for any and all rights necessary to allow ORCID and the public to Use such deposited/edited Record Data, subject to any Privacy Settings.

1.4 Data Searching, Downloads and Alerts. Each Consortium Member shall have access to the Member APIs to query the ORCID Registry and download Record Data, including Limited Access Data if granted the right by the relevant Individual or Trusted Individual. In addition, each Consortium Member shall have access to a periodic usage and data file containing Public Data and Limited Access Data to which it has been granted access by the relevant Individual or Trusted Individual.

1.5 Technical Support. ORCID will provide Consortium Leader and the Consortium Members with the technical support set forth in *the Roles and Responsibilities of ORCID Consortia* (attached as Exhibit 2 to the Consortium Agreement and also available at <https://orcid.org/content/orcid-consortia>). Technical support must be coordinated through the Technical Contact set forth in the ORCID Consortium Agreement and in *the Roles and Responsibilities* statement.

1.6 Privacy Enforcement. If a Consortium Member both mandates the use of ORCID identifiers and facilitates their collection using the ORCID APIs, the Consortium Member shall have the right, but not the obligation, to enforce on behalf of any Individual who it has mandated to use an ORCID Identifier ORCID’s privacy commitments to the Individual as set forth in the ORCID Privacy Policy.



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1.7 Nominations for ORCID Board & Participation in Governance Matters. Individuals representing each Consortium Member may exercise a Consortium Member's voting rights and be nominated to serve on the ORCID Board of Directors, consistent with ORCID's Bylaws which are available on the ORCID website; provided, however, that only one such person from the Consortium Members may be a Director at any given time. The person indicated by Consortium Leader as the Main Contact on the Consortium Member List for each Consortium Member shall be the person who represents the Consortium Member for purposes of notice, membership voting and otherwise exercising the Consortium Member's rights as a member under ORCID's Bylaws. (Consortium Member may change the name of the Main Contact through the Consortium Leader's support desk.)

1.8 Limitations on Consortium Member's Use. Each Consortium Member is prohibited from and agrees to the following restrictions:

- (i) Not to allow any other entity to use its Member API Credential(s) except to assist that Consortium Member on the Consortium Member's own behalf;
- (ii) Not to disclose to any other person or entity Limited Access Data unless (a) such data is publicly available from another source, or (b) the Consortium Member provides notice to the Individual how and to whom such data will be disclosed;
- (iii) Not to deposit/edit types of data other than those permitted by a specified field, and not to include any full works in such fields (in other words, only metadata and links to works may be deposited and not texts of articles, blogs, or publications and datasets);
- (iv) Not to deposit, edit, or modify any ORCID Record in a manner that knowingly makes it false, untrue, misleading or libelous in whole or in part, or knowingly make use of any ORCID Record in any manner that does any of the foregoing or violates the rights of publicity or privacy of any individual;
- (v) Not to Use any Record Data to contact any Individual for marketing purposes without giving the Individual the right to opt-out of such marketing communications;
- (vi) Not to use Record Data to send "junk mail," "spam," "chain letters," "pyramid schemes," or similar schemes;
- (vii) Not to use Record Data to harass, abuse or harm another person;
- (viii) Not to override, circumvent, or disable any encryption features or software protections employed to protect the security of the Member API Credential(s), the ORCID Registry or Record Data;
- (ix) Not to manipulate ORCID identifiers to disguise the origin of any Record Data; knowingly upload or post any Record Data that contains software viruses or any other computer code, files, or programs designed to interrupt, destroy, or limit the functionality of any software, hardware, or telecommunications equipment; or intentionally interfere with or disrupt ORCID servers or networks;
- (x) Not to use any or all of the Member API Credential(s) or its Member Benefits to create a service or product that allows organizations to obtain the benefits of those Member Benefits without being an ORCID Member; and

(xi) Not to use any or all of the Member API Credential(s), the Member Benefits, the Member APIs, or the ORCID Registry in violation of this License Agreement, or in any manner that is otherwise illegal in the United States of America ("U.S.") and the jurisdiction in which the Consortium Member is located, if other than the U.S.

1.9 Limitations on ORCID's Use. ORCID shall only use and make available Record Data via the ORCID Registry and the Public Data File as permitted by this License Agreement, and to the extent that any Record Data is edited or removed as permitted by this License Agreement, the viewable ORCID Registry and future Public Data Files shall reflect such changes.

2. Intellectual Property Ownership.

2.1 Ownership of ORCID Registry and Marks. As between the parties, ORCID owns all rights, title, and interest, including without limitation, applicable database rights, in and to the ORCID Registry and the software developed by ORCID, the System Data, the Member APIs, the Member API Credential(s), and the ORCID Marks, as defined in Section 2.2 (collectively, the "ORCID Intellectual Property"); provided, however, ORCID Intellectual Property does not include any individual data elements in the ORCID Registry. ORCID makes its Registry software available under an open source license whenever legally possible. (See Open Source Project on the ORCID website.)

2.2 Use of ORCID Trademarks. Consortium Member is encouraged to use ORCID's name, logo, and other trademarks (the "Marks") to announce its use of the ORCID Registry and status as a member of ORCID, provided that Consortium Member correctly identifies the Marks as a trademark under US and other laws if requested by ORCID. (See Trademark and ID Display Guidelines on the ORCID website.) Consortium Member may not use the Marks in any way likely to cause confusion as to the origin of goods or services or to suggest endorsement by ORCID, except as specifically approved by ORCID in writing.

3. Delivery and General Support.

3.1 Requirements and Modifications. ORCID is responsible for hosting the ORCID Registry, the associated internal ORCID hardware (the "ORCID Hardware") and the network connections from the ORCID Hardware to the Internet. Each Consortium Member is solely responsible for establishing and maintaining its own hardware (the "Member Hardware") and the network connections from the Member Hardware to the Internet (the "Member Network") as it deems necessary to provide its access to, and use of, the ORCID Registry and the Member APIs.

3.2 Unavailability of the ORCID Registry. ORCID shall use commercially reasonable efforts to provide continuous availability of the ORCID Registry and the Member Benefits. However, Consortium Leader and each Consortium Member recognize that the ORCID Registry and the Member Benefits may not be available from time to time due to maintenance of the server(s), the installation or testing of software, and downtime relating to equipment or services outside the control



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of ORCID including, but not limited to, telecommunications services or Internet nodes or facilities; provided, however, that ORCID shall give Consortium Leader reasonable advance notice of any downtime within ORCID's reasonable control.

3.3 Premium Members. In addition to the other commitments set forth in this License Agreement, ORCID shall provide Consortium Member a call-back API, higher allowed API requests per day, and custom reports and data files. Premium benefits also include the ability for each Consortium Member to be issued up to five (5) Member API Credentials for use in different system integrations at the same organization.

4. Privacy, Security and Usage Data.

4.1 Data Protection. ORCID shall use commercially reasonable efforts to protect the security and integrity of the ORCID Registry (including, without limitation, Member API Credentials, passwords, usernames, and IP addresses) and Record Data, as set forth in its Privacy Policy, including storing information in a data center with restricted access and monitoring, using secure socket and intrusion detection software, and hashing for passwords. ORCID shall promptly notify Consortium Leader upon learning of any material security breach related to a Consortium Member's API Credentials or upon ORCID's determination that there has been a material breach of the security of the ORCID Registry generally.

4.2 Protection of the Member API Credentials, the ORCID Registry and ORCID Record Data. Each Consortium Member agrees to use its Member API Credential(s) only as set forth in this License Agreement, and shall take reasonable efforts to protect its Member API Credential(s) from any security breaches or other use that is in violation of this License Agreement or applicable law. Consortium Leader shall be liable for its intentional misconduct or negligent use of the Member API Credentials, except in the event that it establishes that a security violation is due to ORCID's fault. Each Consortium Member shall be liable for its intentional misconduct or negligent use of its Member API Credential(s), except in the event that it establishes that a security violation of its Member API Credential(s) is due to ORCID's fault. Consortium Leader and each Consortium Member shall notify ORCID promptly upon (i) learning of any violation or alleged violation of this License Agreement or security of a Member API Credential or the ORCID Registry or (ii) becoming aware that any Record Data the Consortium Member has deposited/edited violates or may violate the rights of privacy, publicity or other rights of an Individual. Furthermore, Consortium Leader and each Consortium Member shall cooperate fully with ORCID in investigating and curing violations or alleged violations, including, without limitation, assisting ORCID in providing Individuals with any required notices. Additionally, ORCID may (without limiting any other remedies ORCID may have) impose temporary restrictions on use of Member API Credentials and access to the ORCID Registry until the violation is cured.

4.3 Monitoring and Gathering Usage Data. To protect the security of Member API Credentials and the ORCID Registry against unauthorized uses and to learn about the uses made of the ORCID Registry and the Member APIs, ORCID may monitor

activity and use of Member API Credentials and the Member APIs.

5. Fees. Consortium Leader shall make payments to ORCID, under the terms set forth in the Consortium Agreement. ORCID reserves the right to charge additional fees for any additional Member Benefits that become available and that Consortium Leader elects to license on behalf of the Consortium Members during the Initial Term or a Renewal Term. Each Consortium Member shall be solely responsible for all costs associated with its Member Hardware (as defined in Section 3.1), its Member Network (as defined in Section 3.1) and establishing its access to and use of the Member API Credentials, the ORCID Registry and Member Benefits. As between ORCID and Consortium Leader, Consortium Leader shall be solely responsible for sales, use, or other taxes or other costs and fees relating to each Consortium Member's use of the Member API Credentials, the ORCID Registry, and the Member Benefits other than taxes based upon or credited against ORCID's income. Notwithstanding Section 7.1, Consortium Leader will be liable for all actual, direct and reasonable costs and expenses (including without limitation, reasonable attorneys' fees) incurred by ORCID in collecting any past due amounts.

6. Disputed Data; Withdrawal of Data from the ORCID Registry. ORCID shall assist in resolving disputes between users (including, without limitation, between Individuals, Consortium Members, and other members) of the ORCID Registry regarding ORCID Identifier ownership claims, data accuracy and integrity, and Individual identity, in accordance with policies and procedures set forth in the ORCID Dispute Procedures, which is incorporated herein by reference. Notwithstanding the foregoing, ORCID makes no representation about, and shall not be responsible for the accuracy of data deposited in the ORCID Registry. ORCID reserves the right to remove from the ORCID Registry and its servers any Record Data or disable access to parts of the ORCID Registry as it deems necessary.

7. General Representations and Warranties, Disclaimers, Limitation of Liability. Each party represents and warrants that it has the authority to enter into this License Agreement, and to bind its organization to the terms and conditions herein. Each of ORCID and Consortium Leader further represents and warrants that it has caused the Consortium Agreement to be executed by a duly authorized representative. Consortium Leader further represents and warrants that each Consortium Member listed on the Consortium Member List has signed an Accession Agreement in the form of the Exhibit 3 to the Consortium Agreement. Except as set forth herein, no party makes any representations or warranties regarding (a) the accuracy of Record Data; (b) misuse of Record Data by third parties; (c) freedom from defamation or infringement of rights of privacy though use of the Record Data; (d) lack of viruses, bugs or other impairments to computer systems and software; and (e) links to other websites and content found therein.



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7.1 Disclaimer. OTHER THAN THE EXPRESS REPRESENTATIONS AND WARRANTIES STATED IN THIS LICENSE AGREEMENT, THE ORCID REGISTRY, RECORD DATA, THE PUBLIC DATA FILE, THE MEMBER API CREDENTIAL(S), THE MEMBER APIS, AND/OR THE MEMBER BENEFITS (individually and collectively, the "ORCID SYSTEM") ARE PROVIDED ON AN "AS IS" BASIS, AND ORCID AND ITS DIRECTORS, OFFICERS, EMPLOYEES, AGENTS, CONTRACTORS, AND REPRESENTATIVES (individually and collectively, the "ORCID PARTIES") DISCLAIM TO THE FULLEST EXTENT PERMITTED BY LAW ANY AND ALL OTHER REPRESENTATIONS AND WARRANTIES OF ANY KIND (EXPRESS, IMPLIED, ORAL, OR WRITTEN) RELATING TO THE ORCID SYSTEM, INCLUDING, WITHOUT LIMITATION, ANY AND ALL IMPLIED WARRANTIES OF QUALITY, PERFORMANCE, COMPATIBILITY, MERCHANTABILITY, AND/OR FITNESS FOR A PARTICULAR PURPOSE.

7.2 Limitation of Liability. TO THE FULLEST EXTENT PERMITTED BY LAW, THE AGGREGATE LIABILITY OF EACH PARTY (INCLUDING ITS TRUSTEES, DIRECTORS, OFFICERS, EMPLOYEES, AGENTS, CONTRACTORS AND REPRESENTATIVES) IN CONNECTION WITH THE CONSORTIUM AGREEMENT AND THIS LICENSE AGREEMENT SHALL NOT EXCEED TWO TIMES THE FEES DUE TO ORCID UNDER THE CONSORTIUM AGREEMENT DURING THE INITIAL TERM OR THEN-CURRENT RENEWAL TERM. IN NO EVENT SHALL THE PARTIES (INCLUDING THEIR TRUSTEES, DIRECTORS, OFFICERS, EMPLOYEES, AGENTS, CONTRACTORS AND REPRESENTATIVES) BE LIABLE FOR ANY INDIRECT, SPECIAL, CONSEQUENTIAL OR PUNITIVE DAMAGES. FOR THE AVOIDANCE OF DOUBT, ANY PAYMENTS FROM CONSORTIUM LEADER OR A CONSORTIUM MEMBER TO ORCID IN CONNECTION WITH A CLAIM BY A THIRD PARTY AGAINST ORCID SHALL NOT BE DEEMED TO BE AN INDIRECT OR CONSEQUENTIAL DAMAGE FOR PURPOSES OF THE PRECEDING SENTENCE.

7.3 Consortium Liability. (i) *Consortium Leader* shall be liable for its own acts, omissions and breaches under the Consortium Agreement and under this License Agreement, including, without limitation, its obligation to pay Fees under Article 5. (ii) Each *Consortium Member* shall be liable for its own acts, omissions and breaches under this License Agreement.

8. Term and Termination.

8.1 Term/Renewal Term. This License Agreement shall continue in effect for the period set forth in the Consortium Agreement. Prior to the end of the any term, ORCID shall provide a renewal notice/invoice to Consortium Leader setting forth the expiration date for the then-current term, the dates of the Renewal Term, the relevant fees for the Renewal Term, the due date for such fees (which shall be net 45 days from the commencement of the Renewal Term), and the list Consortium Members for the Renewal Term. **Consortium Leader shall have 30 days from the date of such renewal notice/invoice to (i) provide a counter-notice to ORCID if it intends not to renew the Consortium Agreement and this License Agreement or (ii) provide ORCID with an updated list of Consortium members for renewal.** Each Renewal Term shall be one (1) year and shall commence the first day following the

end the Initial Term or a Renewal Term (unless otherwise set forth in a renewal notice from ORCID). **A renewal shall not require signature of the parties, and shall be deemed to have occurred if Consortium Leader does not provide a counter-notice of termination within such 30-day period.** Fees and membership will be based on the number of Consortium Members set forth in the renewal notice unless Consortium Leader timely provides an updated list of Consortium Members. Failure to make timely payment in absence of a waiver from ORCID shall result in an automatic termination upon notice from ORCID.

8.2 Termination without Cause. ORCID shall have the right to terminate the Consortium Agreement and this License Agreement at the end of the Initial Term or any Renewal Term by providing at least 60 days' notice prior to the end of the term. Consortium Leader may terminate the Consortium Agreement and this License Agreement by providing ORCID with a counter notice in response to the renewal notice/invoice as described in Section 8.1.

8.3 Termination for Breach. (i) *Termination for cause by Consortium Leader.* In the event that Consortium Leader believes ORCID has materially breached any obligations, representations, or warranties under the Consortium Agreement or this License Agreement, it shall so notify ORCID in writing. ORCID shall have 10 days from the receipt of such notice to cure the alleged breach and to notify (in writing) Consortium Leader that such cure has been effected. If the breach is not cured within the 10-day period, Consortium Leader shall have the right to terminate the Consortium Agreement and this License Agreement immediately upon written notice. (ii) *Termination for cause by ORCID.* In the event that ORCID believes that Consortium Leader or a Consortium Member has materially breached any obligations, representations, or warranties under this License Agreement (or the Consortium Agreement in the case of Consortium Leader), it shall so notify Consortium Leader in writing. Consortium Leader/Consortium Member shall have 10 days from the receipt of such notice to cure the alleged breach and to notify (in writing) ORCID that such cure has been effected. If the breach is not cured within the 10-day period, ORCID shall have the right to terminate this License Agreement with respect to the Consortium Member immediately upon written notice; provided, however, that if the breaching party is Consortium Leader, ORCID shall have the right to terminate the Consortium Agreement and this License Agreement with respect to both Consortium Leader and each Consortium Member. Nothing in this Section 8.3 shall limit ORCID's rights under Section 4.2.

8.4 Effect of Termination. Upon the termination or expiration of this License Agreement (and/or the Consortium Agreement with respect to Consortium Leader), whichever occurs first, access to the Member API Credentials and Member Benefits for each Consortium Member shall be immediately terminated.

(a) *Termination of Specific Member.* If the termination applies only to a specific Consortium Member (rather than Consortium Leader generally), such Consortium Member shall be removed



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from Exhibit 1 of the Consortium Agreement, and only such Consortium Member's access to the Member API Credentials and the Member Benefits shall terminate. To the extent that a Consortium Member has deposited/edited any Record Data, such Record Data will remain in the ORCID Registry unless removed by an Individual or designated Trusted Individual(s) and Trusted Organizations before termination, or by ORCID pursuant to Article 6. Notwithstanding the foregoing, each Consortium Member shall have the ability to correct any information it discovers is incorrect after termination by informing ORCID, and ORCID shall seek to promptly correct the inaccuracy with the Individual and/or through the ORCID Dispute Procedures. In the event of termination or expiration of a specific Consortium Member, this License Agreement shall not automatically terminate with respect to Consortium Leader or the other Consortium Members. (b) *Termination of Consortium Leader.* In the event of the termination or expiration of Consortium Leader, ORCID shall have the option of terminating each Consortium Member's rights hereunder as well, in which case it will allow each non-breaching Consortium Member to enter into an ORCID member license agreement directly with ORCID at the individual member rate.

8.5 Survival. The provisions of Appendix A (Definitions), Section 1.3(ii) (correction of Record Data), Section 1.3(iv) (License to ORCID), Section 1.8 (ii) (use of Limited Access Data), Section 1.9 (Limitations on ORCID's Use), Section 2.1 (Ownership of ORCID Registry and Marks), the last sentence of Section 2.2 (use of ORCID Trademark), Article 6 (Dispute Procedures), Article 7 (General Representations and Warranties, Disclaimers, and Limitation of Liability), this Article 8 (Term and Termination), and Article 9 (Miscellaneous) shall survive any termination or expiration of this License Agreement and continue in effect.

9. Miscellaneous.

9.1 Entirety of the Agreement. The terms and conditions of this License Agreement, including Appendix A (Definitions), , the Privacy Policy, the Member Benefits, and the ORCID Dispute Procedures, each of which is incorporated herein by reference, together with Exhibits 1, 2 and 3 to the Consortium Agreement, shall supersede all prior oral and written agreements between the parties with respect to the subject matter of this License Agreement and shall constitute the entire agreement between the parties with respect to its subject matter except as follows: (i) the, the Consortium Agreement shall also be an integral part of the agreement between ORCID and Consortium Leader, and (ii) the Accession Agreement shall be an integral part of the agreement between ORCID and Consortium Member.

9.2 Agreement Modifications. In order to account for the evolution of ORCID and its sustainability and to operate in compliance with the laws in multiple jurisdictions, ORCID reserves the right to modify this License Agreement, provided that (i) no such modification will be retroactive; (ii) ORCID will provide Consortium Leader with 60 days' advance written notice of any such modifications; and (iii) if any such modification (a) increases the liability exposure of Consortium Leader or a Consortium Member, or (b) changes the ownership

of any intellectual or real property of any party, such written notice shall be in hard copy format (and not email) to the Main Contact listed on the Consortium Agreement. Continued acceptance of the terms and conditions of this License Agreement is a condition of the Member Benefits and the licenses granted hereunder. If Consortium Leader objects to any such modifications, Consortium Leader may terminate this License Agreement (effective as of the effective date of such modifications) by providing written notice to ORCID prior to the effective date, and ORCID will provide Consortium Leader with a pro-rata refund. Except as set forth in this Section 9.2, and elsewhere herein (e.g., the Privacy Policy, the ORCID Dispute Procedures, increases in the Member Benefits, and update of contact information), all amendments to this License Agreement must be made in writing and signed by ORCID and Consortium Leader.

9.3 Notices. Any notice required to be given by ORCID hereunder shall be given only to Consortium Leader's Main Contact. It is Consortium Leader's responsibility to keep its contact information up to date and to timely forward any such notice to each Consortium Member. All notices given (by or to ORCID) pursuant to this License Agreement or ORCID's bylaws shall be in writing in English and sent as follows: (i) by internationally recognized courier (e.g., FedEx, UPS), or (ii) by electronic mail, except as set forth in Section 9.2. Notice shall be deemed given and received on the next business day following the scheduled delivery date for courier and the next business day following the date sent for electronic mail. Either ORCID or Consortium Leader may from time to time change the name and contact information on the Consortium Agreement and on the Consortium Member List by providing notice to the other party in accordance with this Section.

9.4 Disputes/Governing Law. This License Agreement shall be interpreted under and governed by the laws of the State of New York, United States, excluding any laws that might direct the application of the laws of another jurisdiction. The application of the United Nations Convention on Contracts for the International Sale of Goods is expressly excluded, if applicable. Except as set forth in the ORCID Dispute Procedures (which shall govern the disputes described therein), if the parties cannot resolve any disputes arising out of or relating to this License Agreement in an amicable manner, they shall do so through a desk arbitration administered by the American Arbitration Association in the case of domestic disputes and the International Centre for Dispute Resolution of the American Arbitration Association in the case of international disputes (either, the "AAA") governed by its applicable rules, as modified by the following: (i) regardless of the amount in controversy, the matter shall be determined by one arbitrator familiar with the information technology sector based upon written submissions in English and one or more telephonic hearings in English (as determined by the arbitrator); (ii) the parties shall submit documents pertaining to the arbitration consistent with AAA rules and as directed by the arbitrator; and (iii) the arbitrator shall render a final binding decision 14 days after the arbitrator declares the hearing closed. A judgment on the award rendered by the arbitrator may be entered in any court having competent jurisdiction thereof. Notwithstanding the

foregoing, any party may apply to the arbitrator seeking injunctive relief until the arbitration award is rendered or may, without waiving any remedy under this License Agreement, seek from any court located in New York, New York, United States (and the parties consent to such jurisdiction) injunctive or any other type of equitable relief that is necessary to protect the rights or property of that party, pending arbitration or final determination of the merits of the controversy via arbitration. Consortium Leader and Consortium Members acknowledge that unauthorized use of the Member API Credentials, the ORCID Registry, and/or security breaches might cause ORCID irreparable harm.

9.5 Limitation on Assignment. Except as expressly set forth herein, no party may assign, subcontract or sublicense (collectively, “transfer”) its rights and obligations under this License Agreement (or the Consortium Agreement with respect to Consortium Leader) in whole or in part, without the prior written consent of Consortium Leader (for Consortium Leader or Consortium Member) or ORCID, as relevant, which shall not be unreasonably withheld, and any transfer to the contrary shall be null and void; provided, however, that a transfer by ORCID (including, without limitation, transfer by ORCID of the ORCID Registry) in the event of a merger, other corporate restructuring or dissolution, shall be permissible without prior consent, provided that (a) the transferee agrees to be bound by the terms of this License Agreement, (b) notice is provided to Consortium Leader (for Consortium Leader or Consortium Member), and (c) such assignee is a nonprofit entity capable of fulfilling ORCID’s obligations hereunder and is consistent with ORCID’s obligations under its Privacy Policy..

9.6 No Agency, Joint Venture or Partnership. Nothing contained herein shall be deemed to create an agency, joint venture, or partnership. (Notwithstanding anything to the contrary herein, this License Agreement is not intended to impact any pre-existing such relationship between Consortium Leader and Consortium Member.)

9.7 No Third Party Beneficiaries. This License Agreement has been executed for the sole benefit of ORCID, Consortium Leader and the Consortium Members and is not intended for the benefit of any third party, regardless of any laws to the contrary.

9.8 Waiver or Invalidity of any Provision. Waiver of any provision herein shall not be deemed to be a waiver of any other provision herein, nor shall waiver of any breach of this License Agreement be construed as a continuing waiver of other breaches of the same or other provisions of this License Agreement. If any provision(s) of this License Agreement is/are held to be invalid, illegal, unenforceable, or in conflict with the law of any jurisdiction, the validity, legality, and enforceability of the remaining provisions shall not in any way be affected or impaired.

9.9 Force Majeure. No party shall be in breach of this License Agreement to the extent a failure to perform an obligation hereunder results from a condition(s) that is beyond such party’s reasonable control, including, but not limited to, strikes, labor disputes, terrorist acts, or governmental requirements.

9.10 Ethical Behaviour. Each Party represents and warrants that it has not and shall not, nor to its knowledge has or will any person acting on its behalf, act in violation of applicable anti-

bribery and corruption laws in effect in its jurisdiction(s) of operation or its own internal policies related to such matters. Notwithstanding any other provision of this Agreement, any breach by either Party of this Section 9 may be regarded by the other Party as incapable of remedy and permitting the non-breaching Party, without prejudice to its other rights and remedies, to terminate this Agreement immediately upon notice.

9.11 Drafting. This Agreement shall not be construed or interpreted against either Party as the drafter.

Appendix A to the ORCID License Agreement: Definitions

API or ORCID API: See Member APIs below.

Consortium Member List: Means the list in the ORCID online service tool of current Consortium Members as set forth by Consortium Leader and consented to by ORCID.

Effective Date means for each Consortium Member, the date on which Consortium Leader adds Consortium Member to the Consortium Member List (with the consent of ORCID). For Consortium Leader, the Effective Date means the Consortium Effective Date (as defined in the Consortium Agreement).

Individual means a person about whom an ORCID Record exists or is being created.

Initial Term means the duration of this License Agreement as set forth in the Consortium Agreement. Renewal Term means each successive one-year term following the Initial Term.

License Agreement means the body of the ORCID License Agreement, together with Appendix A, the description of Member Benefits, the Privacy Policy, and the ORCID Dispute Procedures.

Limited Access Data means Record Data that is viewable through the ORCID Registry only by the Individual, a Trusted Individual or specified Trusted Organizations.

Member means any organization that has entered into a license agreement with ORCID relating to use of the ORCID Registry, Member API Credential(s), and the Member APIs, or otherwise meets conditions established by ORCID.

Member APIs means APIs which interact with the ORCID Registry through Member API Credential(s).

Member API Credential(s) means a unique passcode provided by ORCID to each Consortium Member to use the Member APIs.

Member Benefits means the use of the aspects of the ORCID Registry only available to ORCID members as described in Article 1 of this License Agreement and on the ORCID website as amended by ORCID from time to time.

ORCID Identifier means the globally unique identifier assigned by ORCID to an Individual.

ORCID Dispute Procedures means the procedures ORCID uses to assist Members and other users of the ORCID Registry to resolve disputes about the accuracy of Record Data, posted on the ORCID website, as amended from time to time by ORCID.

ORCID Registry means the ORCID database that contains all Record Data.

Privacy Policy means those privacy practices and commitments made by ORCID and that are posted by ORCID under the title



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"Privacy Policy" on the ORCID website, as amended from time to time by ORCID.

Privacy Settings means selections indicating whether specific data within a Record shall be *Private Data, Limited Access Data, or Public Data*. (For additional information about Privacy Settings, please see the Privacy Policy.)

Public API Credential means a unique passcode to access the free ORCID Public API, which allows organizations that are not ORCID Members to connect their systems and applications to the ORCID Registry with machine-to-machine communication and read public data.

Public Data File means a downloadable file of all Public Data in the ORCID Registry on a given date from Records created or claimed by an Individual.

Record means the information about an Individual in the ORCID Registry other than System Data.

Record Data mean the individual data elements in a Record, including the ORCID Identifier and metadata associated with linked research objects. A link, but not the linked object itself (e.g., text or full metadata), is considered part of the Record Data.

System Data means data associated with a Record that is not part of the visible ORCID Registry, such as a password.

Trusted Individual means a person to whom an Individual has given the authority to manage an ORCID record on his or her behalf, including setting privacy settings, editing and depositing data and naming Trusted Organizations.

Trusted Organization means a Member that has been granted rights by an Individual (or his/her Trusted Individual(s)) to deposit and edit Record Data and/or read Record Data that has been marked "Limited Access".

Use means use, store, sublicense, reproduce, modify, transmit, distribute, publicly perform and publicly display, including for commercial use.