ORCID and the OSTP Guidance on NSPM-33

NCURA Annual meeting, August 8, 2022

Lori Schultz

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University of Arizona

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Engagement Manager, Outreach and Partnerships

ORCID

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Disclosure

Lori Schultz joined the ORCID Board of Directors in January 2022

Agenda

For those who are new to ORCID and NSPM-33

1. NSPM-33 overview
2. Quick overview of ORCID
3. ORCID adoption in the US & globally
4. ORCID & NIH/NSF

For those who are ready for more

5. How research organizations benefit from ORCID
6. Next steps…

NSPM-33 Overview

In the News…

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

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.

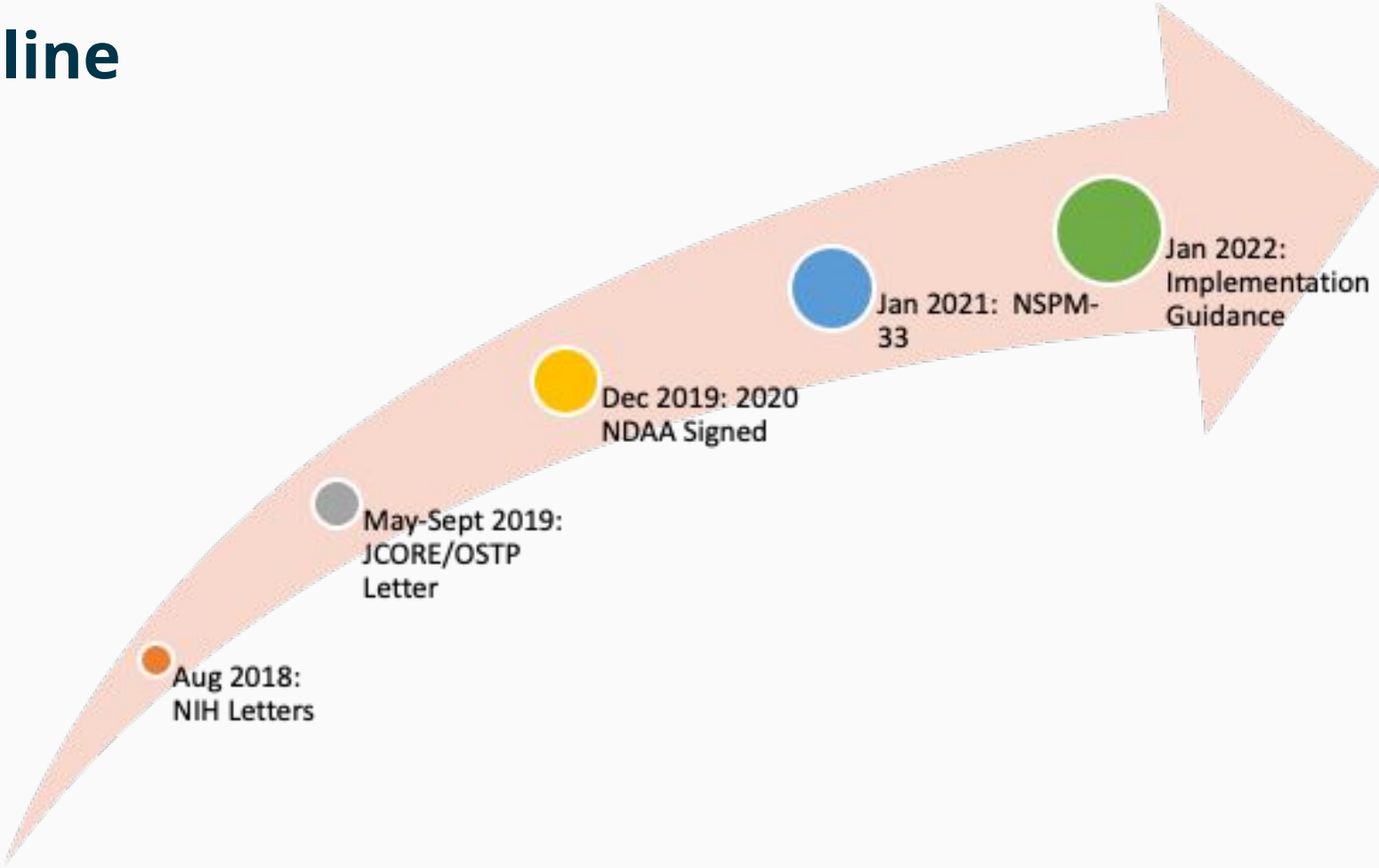
U.S. Drops Its Case Against M.I.T. Scientist Accused of Hiding China Links

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

How does foreign influence 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 (not disclosed)
  - Foreign talent programs
  - Other support that overlaps

Timeline


Aug 2018:
NIH Letters
May-Sept 2019:
JCORE/OSTP
Letter
Dec 2019: 2020
NDAA Signed
Jan 2021: NSPM-
33
Jan 2022:
Implementation
Guidance

January 2022 OSTP Implementation Guidance

5 Key Sections

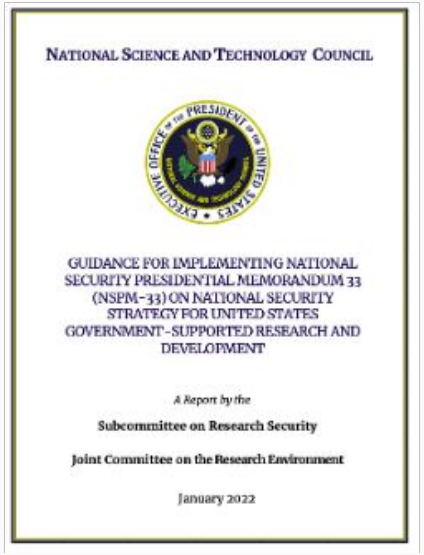
1. Disclosure Requirements and Standardization
    a. Biosketches
    b. Current & Pending Support / Other Support
2. Digital Persistent Identifiers (ie. ORCID)
3. Consequences for Violation of Disclosure Requirements
4. Information Sharing
5. Research Security Programs

NSPM-33

National Science and Technology Council (NSTC)

GUIDANCE FOR IMPLEMENTING NATIONAL SECURITY PRESIDENTIAL MEMORANDUM 33

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



NATIONAL SCIENCE AND TECHNOLOGY COUNCIL

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

A Report by the

Subcommittee on Research Security

Joint Committee on the Research Environment

January 2022

ORCID Overview

Poll #1

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

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

Emails

s.garcia@orcid.org

Websites & social links

Faculty profile webpage
@sofiamhg

Other IDs

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

Countries

United States

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Published name
Sofia Maria Hernandez Garcia

Name
Sofia Garcia

Also known as
S. M. Garcia, Sofia Maria Garcia

Biography

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

Activities Collapse all

Employment (2) Sort

New Arizona State University: Sedona, Arizona, US

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

Source: Sofia Maria Hernandez Garcia

ORCID: Bethesda, Maryland, US

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

Source: ORCID *via* Assert-o-matic

Education and qualifications (4) Sort

London School of Physics: London, GB

2016 to 2018 | PhD (Computer Science)
Qualification — Show more detail

Source: Sofia Maria Hernandez Garcia

Universidad Politécnica de Madrid: Madrid, Comunidad de Madrid, ES

2008-09 to 2012-05 | BA Computer Science
Education — Show more detail

Source: Sofia Maria Hernandez Garcia

https://orcid.org/
0000-0002-1597-8189

Emails

lschultz@email.arizona.edu

Websites & social links

LinkedIn

Keywords

Competitive Intelligence, Research data analytics, Research administration

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Name
Lori Ann Schultz

Also known as
Lori Ann McAllester

Activities Collapse all

Employment (3) Sort

University of Arizona: Tucson, AZ, US

2020-07-01 to present | Assistant Vice President, Research Intelligence (Research, Innovation & Impact)
Employment — Show more detail

Source: Lori Ann Schultz

University of Arizona: Tucson, AZ, US

2014-11-01 to 2020-06-30 | Sr. Director (Research, Innovation & Impact)
Employment — Show more detail

Source: Lori Ann Schultz

University of Arizona: Tucson, AZ, US

1994-08-24 to 2014-10-31 | Multiple (Sponsored Projects Services)
Employment — Show more detail

Source: Lori Ann Schultz

Education and qualifications (2) Sort

University of Arizona: Tucson, Arizona, US

2009-08-15 to 2011-12-15 | Master of Accounting (Accounting) — Show more detail

https://orcid.org/
0000-0002-6103-5034

Other IDs

ResearcherID: A-2576-2016

Scopus Author ID: 18134558900

JRIN: 100059.400.200.182.0000-0002-6103-5034

Countries

Canada, Australia, United States

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Printable version

Name

Shawna Sadler

Also known as
S. Sadler, Sh. Sadler

Biography

Shawna heads up Outreach & Partnerships at ORCID, building strategic relationships worldwide and exploring new opportunities for adoption and growth. Previously, Shawna was ORCID's Engagement Manager for the Americas continuing the adoption and integration of ORCID in North, Central and South America and the Caribbean. Shawna joined ORCID in 2019 with a long history of connecting researchers to innovative technologies in Canada, Australia and the United States.

Activities Collapse all

Employment (9) Sort

ORCID: Bethesda, US

2021-04-01 to present | Engagement Manager, Outreach & Partnerships (Engagement)
Employment — Show more detail

Source: ORCID *via* ORCID Member Portal

ORCID: Bethesda, US

2019-05-21 to 2021-03-31 | Engagement Manager, Americas and Caribbean (Engagement)
Employment — Show more detail

Source: ORCID *via* ORCID Member Portal

Sadler Studio: Calgary, Alberta, CA

2016-04 to 2019-05 | Director
Employment — Show more detail

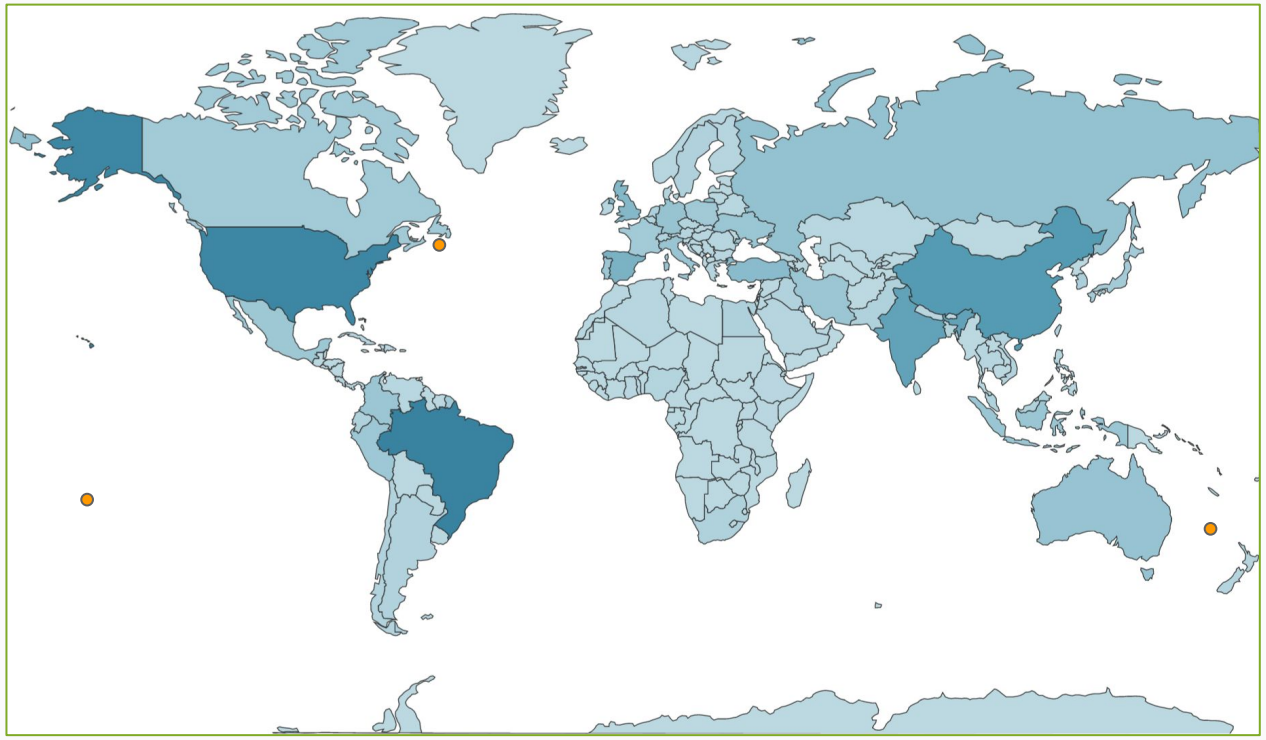
Source: Shawna Sadler

Deakin University - Geelong Waterfront Campus: Geelong, VIC, AU

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

	Uniquely yours. 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.
	Name flexibility. 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.
	More time for research. 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!
	Control your visibility and discovery. 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.
	Reduced administrative burden. 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!
	Portable profile data. 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



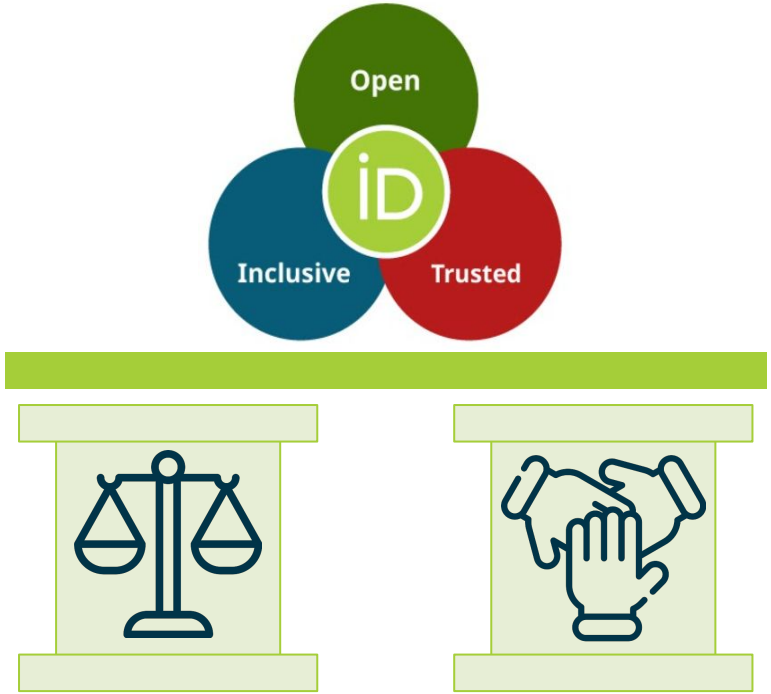
There are 10 Million active ORCID users in 246 countries

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

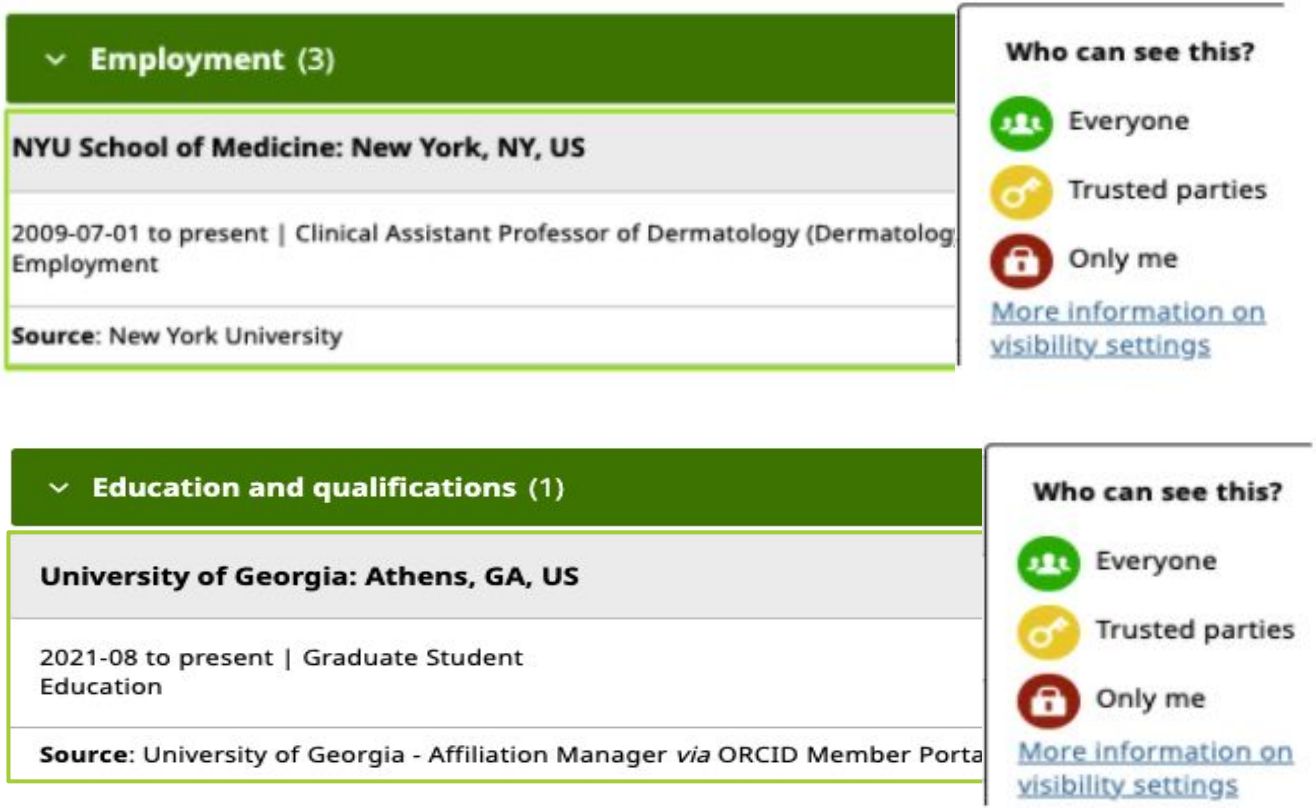
- Legal incorporation as US non-profit entity
- Membership organization open to all
- Governed by board elected by our members
- Legally binding membership agreements
- Privacy policy regulated by GDPR and other national regulations
- Legally binding employment agreements, code of conduct, etc

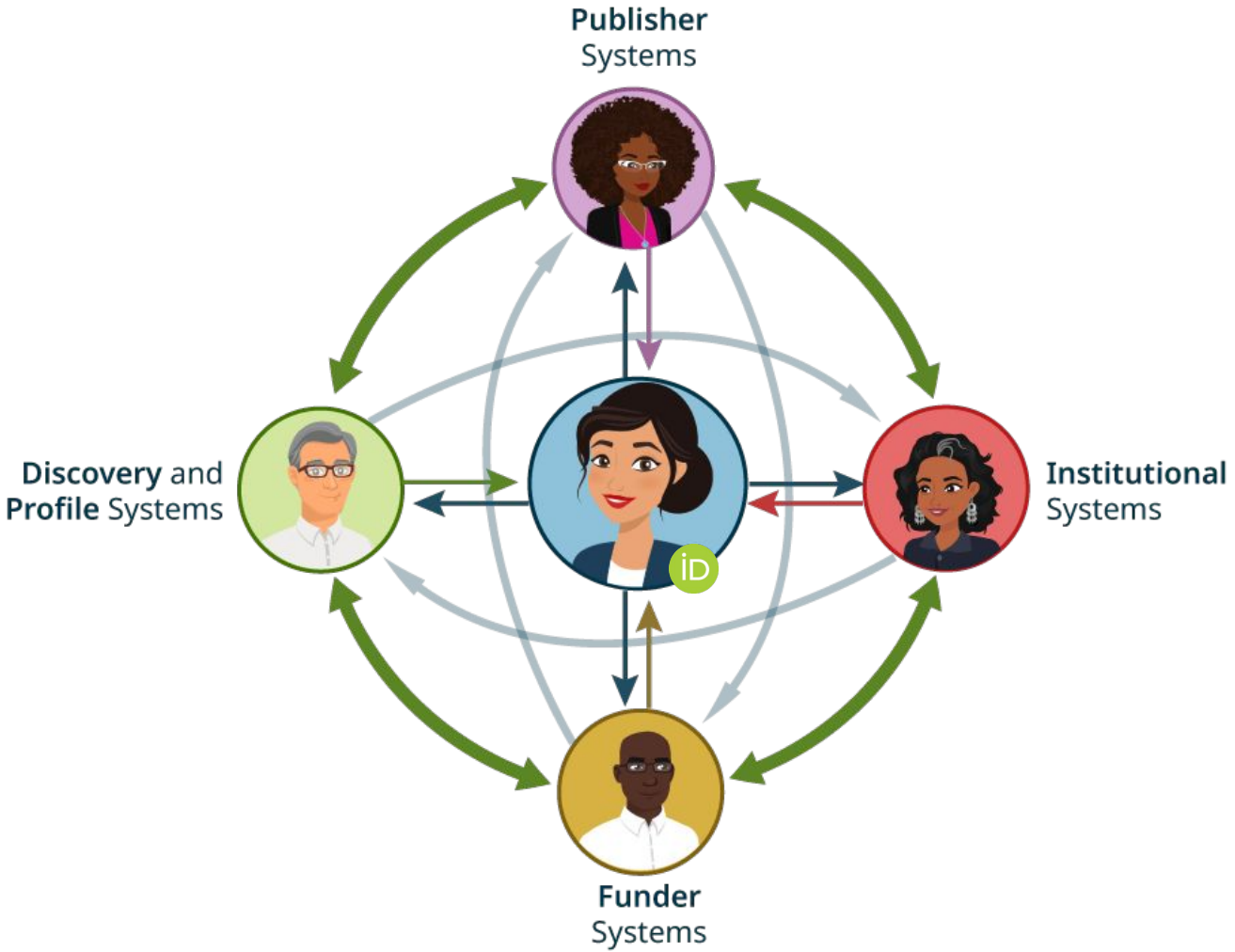


- Founding principles and values
- Commitment to researcher control
- Open source software and FAIR open data
- Equitable, sustainable business model
- Holding ourselves accountable by working openly
- Continuous community engagement and dialog

Researchers are in full control of their ORCID records

- 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




Publisher
Systems
Discovery and
Profile Systems
Institutional
Systems
Funder
Systems

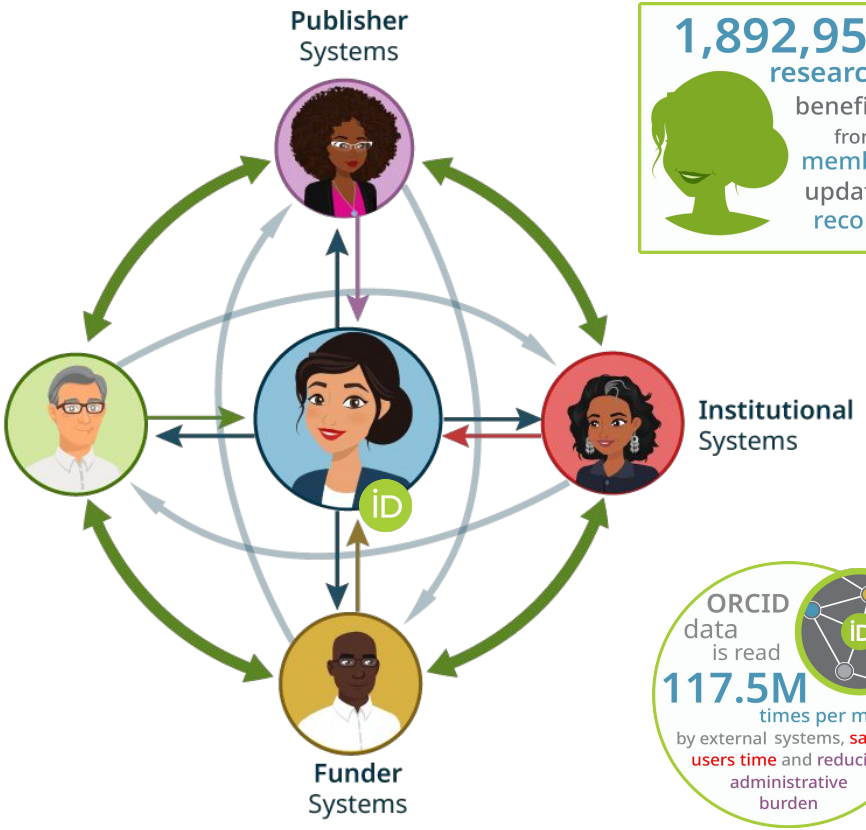
ORCID is increasingly a hub for an immense amount of profile activity with over 4,100 interconnected systems

ORCID members updated **2,171,992** records in 2021

ORCID helped researchers sign into member systems **48.1M** times in 2021

17,043,149 items were added via **501 integrations** by **428 members**

ORCID welcomed **179** new members, including our first from Vietnam, Cameroon, Malaysia, and Jordan



1,892,957 researchers benefitted from members updating records

ORCID records are viewed **200** times per minute

ORCID data is read **117.5M** times per month by external systems, saving users time and reducing administrative burden

ORCID adoption

There are two ORCID members consortia in the US

Federal Agencies & Labs

US Government
ORCID Consortium

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

19 members

ORCIDconsortium@osti.gov

Non-profit organizations (Universities)

LYRASIS

179 members

orcidus@lyrasis.org

Federal Agency Members

1. Centers for Disease Control (CDC)
2. Department of Energy (DOE) OSTI
3. Environmental Protection Agency - EPA
4. Food and Drug Administration (FDA)
5. NASA
6. National Institute of Health (NIH)
7. National Oceanic and Atmospheric Administration (NOAA)
8. USDA
9. USGS

Federal Laboratory 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

LYRASIS

ORCID US COMMUNITY

179 Member organizations:

- Universities
  - Libraries
  - Research Offices
- Research Institutes
- Research Funders
- Societies & Associations
- Health & Hospital Systems
- Research Groups

ORCID, NIH & NSF

… and other funders

SciENcv - ORCID is already integrated with NIH & NSF

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

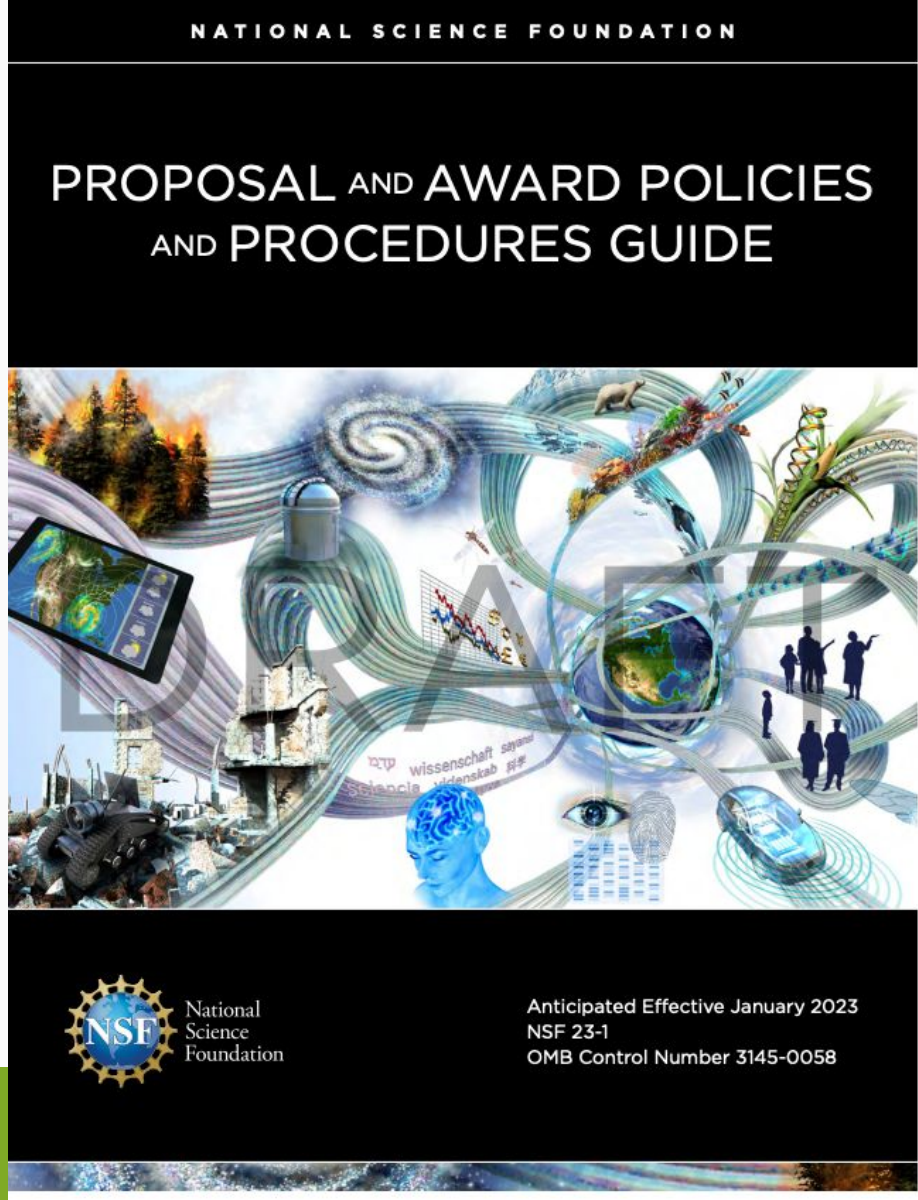
2. SciENcv maps the ORCID profile fields into the relevant biosketch format

	iD	NIH Biosketch
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

NSF Draft policy & procedure

Anticipate effective January 2023

“Individuals are encouraged to obtain an ORCID ID to facilitate prepopulation of their biographical sketch in SciENcv. Use of an ORCID ID may help reduce the administrative burden associated with preparation of this section of the proposal.”



NIH

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

Notice Number: NOT-OD-19-109

Key Dates

Release Date: July 10, 2019

Expected updates…

NSF SciENcv

- BioSketch: ORCID to be featured more prominently
- Current & Pending Support: ORCID will be a new feature to populate data in this form

NIH SciENcv

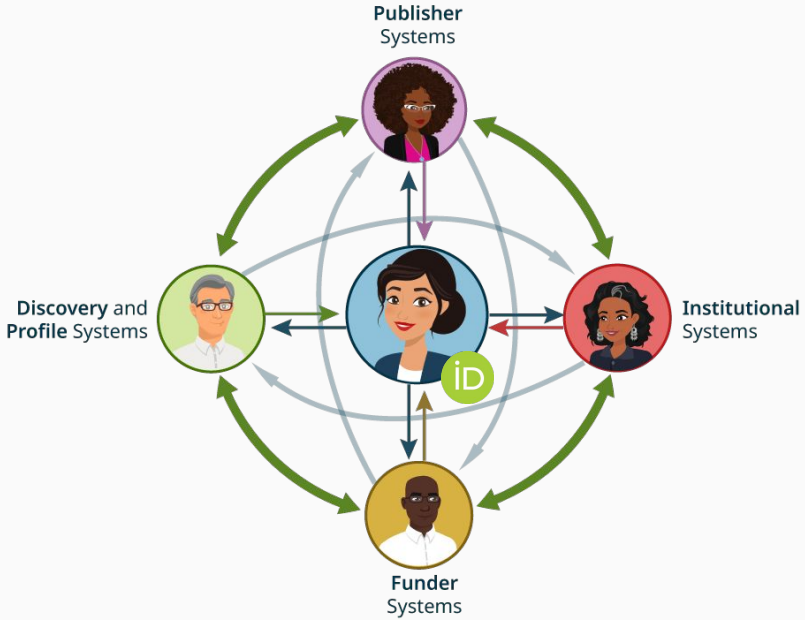
- BioSketch: ORCID to be featured more prominently
- Other Support: ORCID will be a new feature to populate data in this form

Many organizations are writing data to ORCID Records

Universities Employment and Education	**Publishers** Publications and Reviews	**Funders** Funding and Facility Awards
UNIVERSITY OF GEORGIA UF UNIVERSITY of FLORIDA MICHIGAN NYU Stanford University	PLOS SPRINGER NATURE MENDELEY Scopus® thebmj ACS Publications Most Trusted. Most Cited. Most Read.	OAK RIDGE National Laboratory UKRI UK Research and Innovation American Heart Association® FCT Fundação para a Ciência e a Tecnolo MINISTÉRIO DA EDUCAÇÃO E CIÊNCIA W wellcome

Goal: Accurate & real-time data in ORCID records

Requires: Universities, Funders & Publishers to write data to ORCID records and synchronize with ORCID



How research organizations benefit from ORCID

Goal: Accurate inventory of your researcher's research activities and funding

Universities around the world are investing in,

- Research Inventory Management Systems (RIMS)
  - RIM is a term commonly used in North America
- Current Research Inventory Systems (CRIS)
  - CRIS is commonly used in Europe and Australia
- Custom solutions

Research Management Systems collect the important data about research happening at your university

1. **People: How many people are conducting research at your university?**
    a. List of the researchers affiliated with your university
    b. Each research has an ORCID iD to disambiguate them from one another

2. **What are they researching?**
    a. List of scholarly output for each researcher

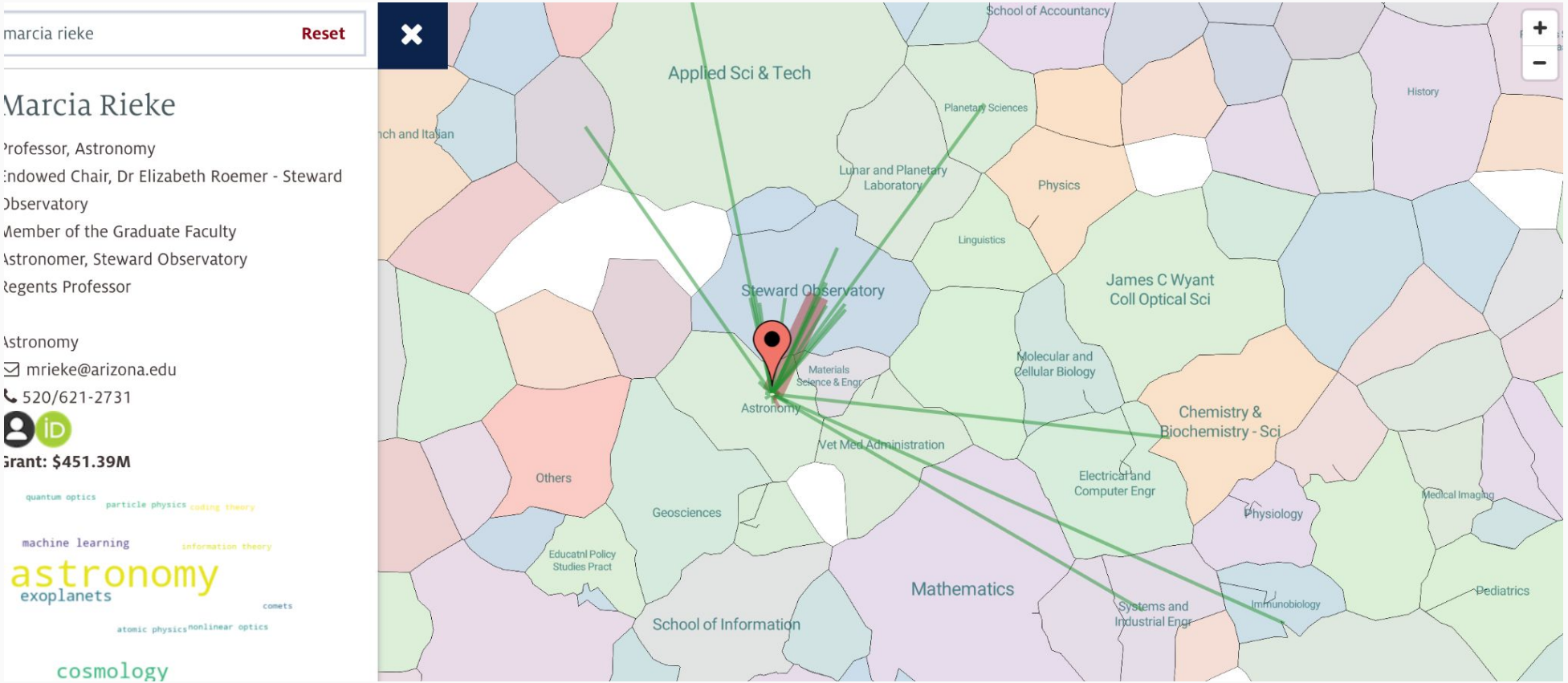
3. **Which Faculty & Department are they affiliated?**
    a. Are they affiliated with any other universities or labs?

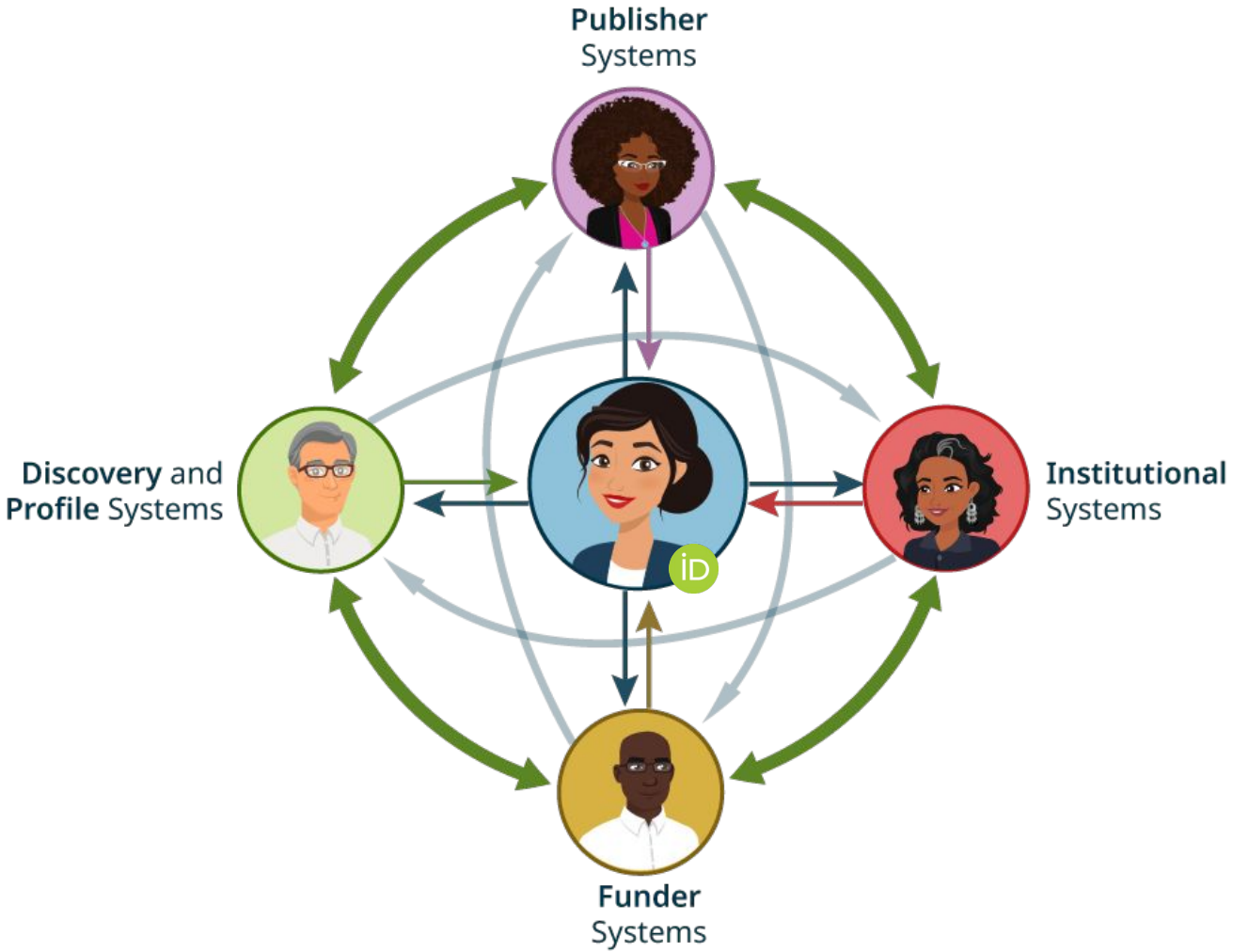
4. **Funding: What funding have they received?**
    a. Funder
    b. Amount of funding

RIM/CRIS Systems that exchange data with ORCID

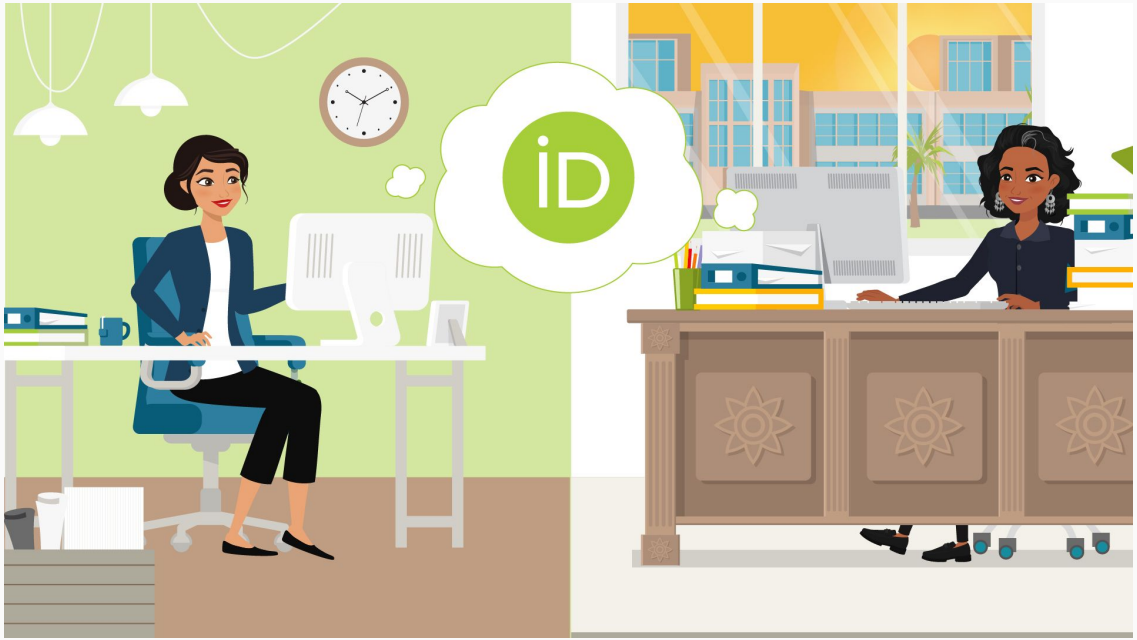
	DSpace CRIS (Open Source)		**Haplo**
	Elements, from Symplectic		**infoEd**
	Esploro, from ExLibris		**Pure, from Elsevier**

Example of a ORCID Use in a local RIM system



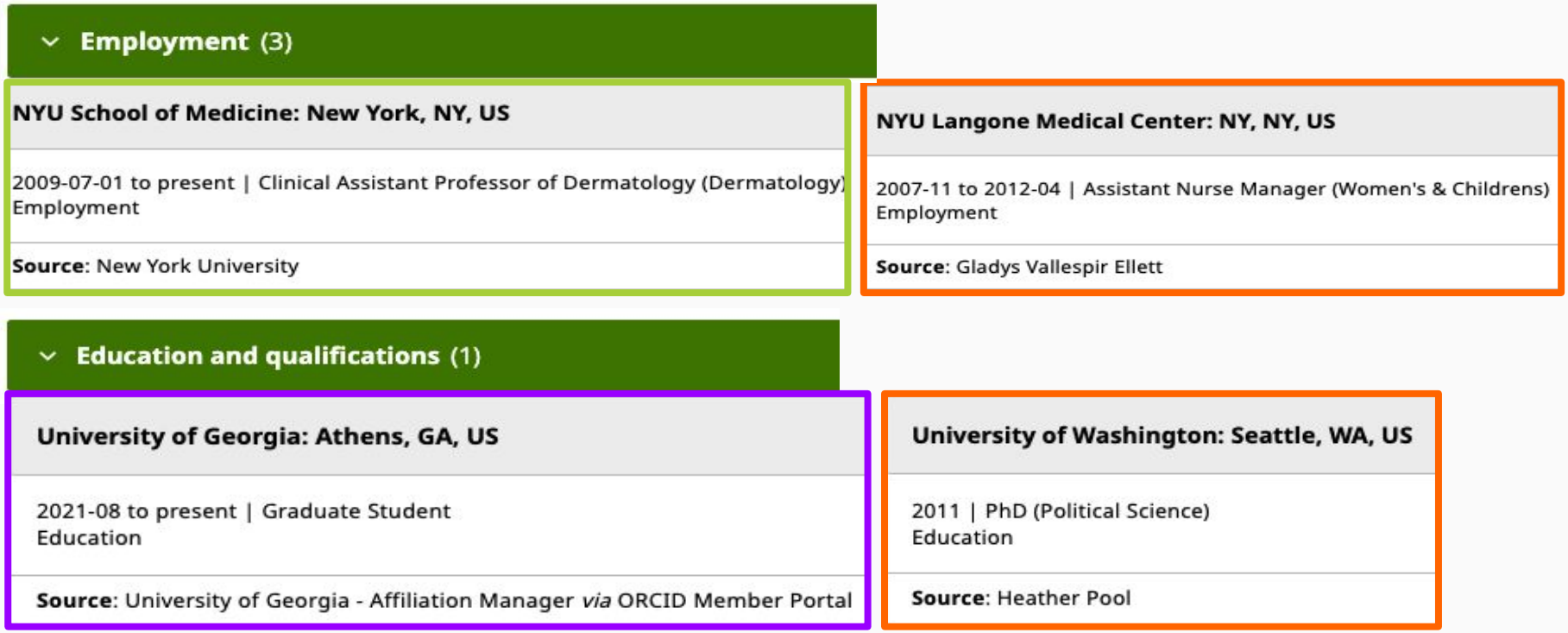

Publisher
Systems
Discovery and
Profile Systems
Institutional
Systems
Funder
Systems

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



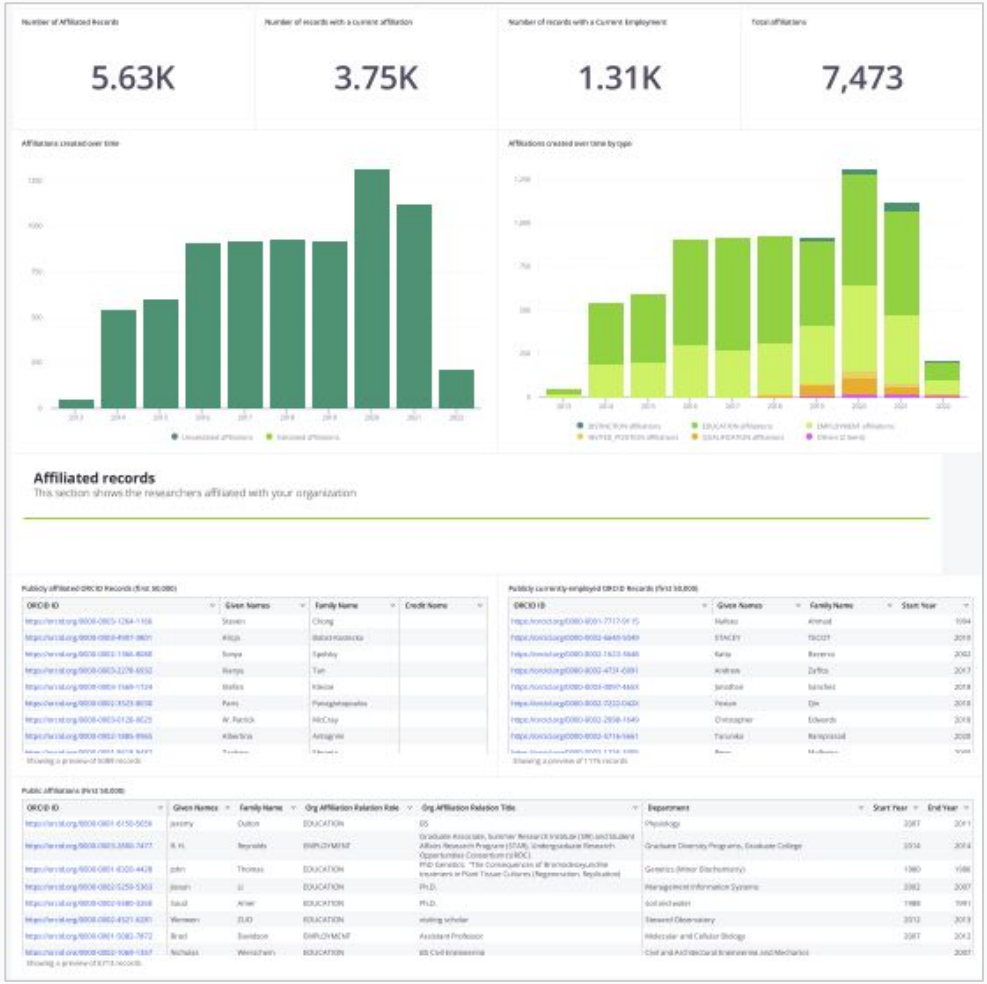
	Name disambiguation. Have confidence that you have correctly identified contributions from your researchers, regardless of the popularity or variability of their names.
	Better research connections. Follow your researchers' careers even after they leave your institution. Keep better track of collaborators 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)



ORCID provides a monthly "Member Affiliation Report" to its members

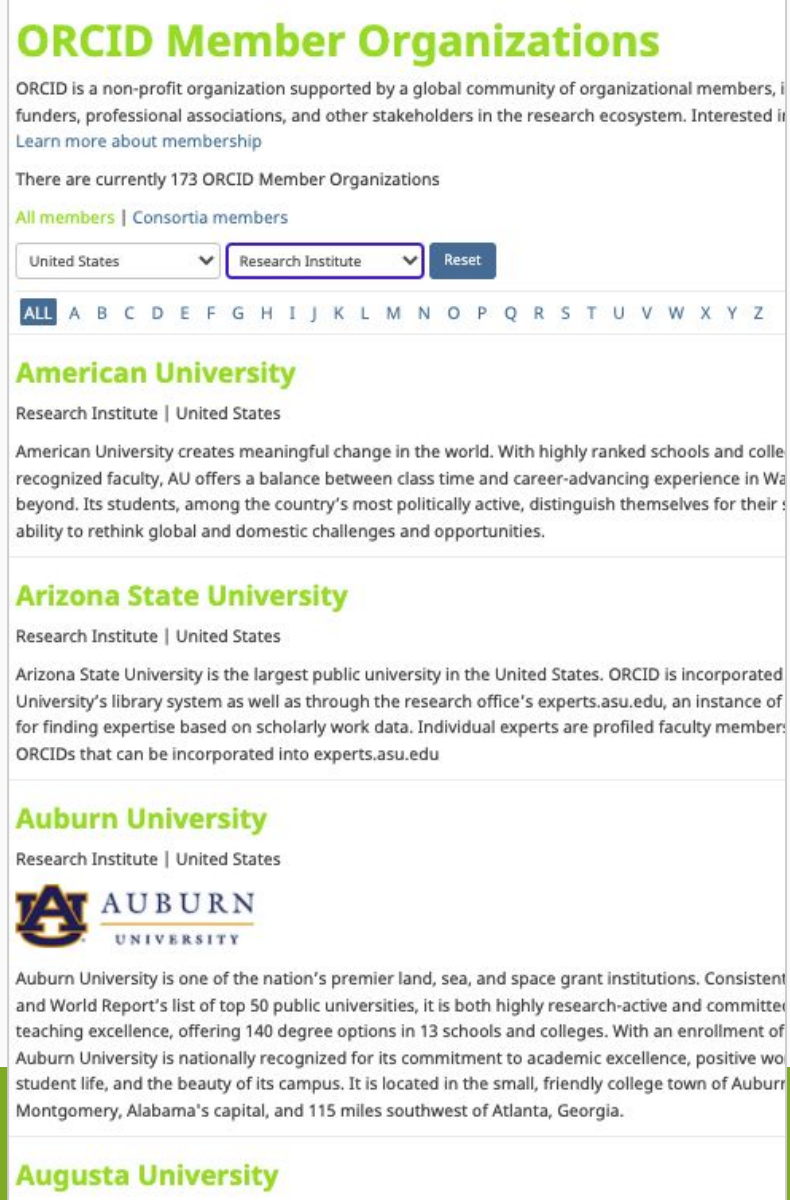
THE UNIVERSITY OF ARIZONA



Many NCURA members are already ORCID members

47.3% of NCURA members work at an ORCID Member Institution

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, i
funders, professional associations, and other stakeholders in the research ecosystem. Interested i
Learn more about membership

There are currently 173 ORCID Member Organizations

All members | Consortia members

United States | Research Institute | Reset

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 colle
recognized faculty, AU offers a balance between class time and career-advancing experience in Wa
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
University's library system as well as through the research office's experts.asu.edu, an instance of
for finding expertise based on scholarly work data. Individual experts are profiled faculty member
ORCIDs that can be incorporated into experts.asu.edu

Auburn University

Research Institute | United States

AUBURN UNIVERSITY

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

Augusta University

Benefits of ORCID

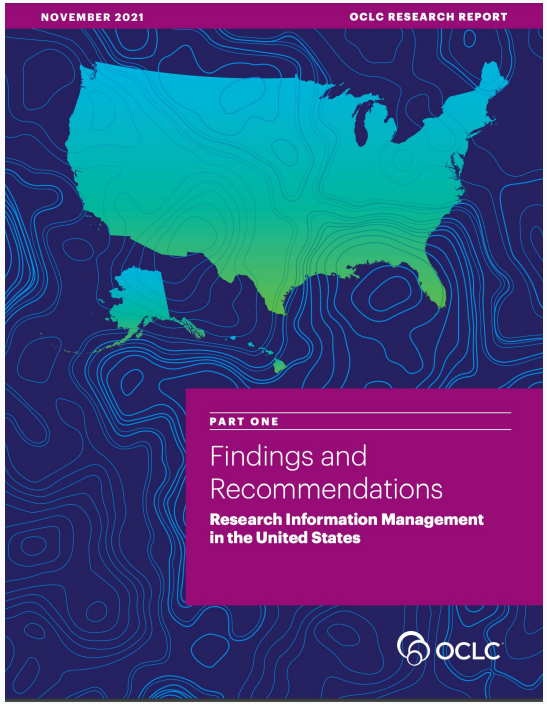
1. Reduced administrative burden
2. Populate data in researcher's profile for them
3. Connect your system
    a. Enable auto updates
    b. Keep the data in your systems up to date

Watch the University of Florida's ORCID integration

https://youtu.be/4UnhXn2LLPU

Learn more about Research Information Management Systems (RIM) from OCLC Research

Rebecca Bryant
Senior Program Officer
OCLC research



Next steps…

Step 1

Get an ORCID iD

orcid.org

Start populating your ORCID record

Everything we’re describing will make more sense

Step 2

- Visit Shawna at ORCID’s table, say hi and get a sticker
- ORCID’s Coffee hour on Tuesday afternoon
- Say hi to Lori and ask about her experience with

  ORCID at the University of Arizona

Step 3

Talk about NSPM-33 at your university

How will your university meet the new requirements from the NIH & NSF?

Will ORCID be part of this plan?

Step 4

ORCID Membership

is required to write data to ORCID records

ORCID US consortium is hosted by Lyrasis

https://orcidus.lyrasis.org

179 Members

Step 5

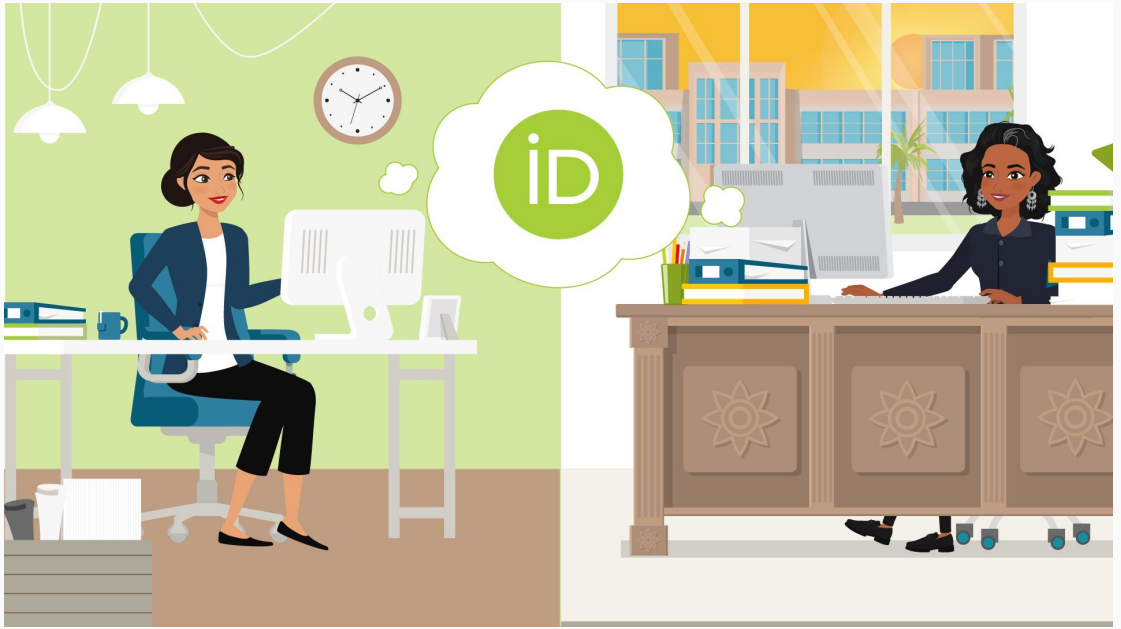
Write to ORCID records

1. **Employment**
   a. Position title
   b. Department & Faculty
   c. Start date (end date)

2. **Education**
   a. Degree
   b. End date

What Universities 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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iD