ORCID –
Open Researcher and Contributor ID
An Open Registry

STM Roundtable
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Board Member, ORCID
Executive Director, CrossRef

Problem Statement

- Estimated 6.2 million researchers from 16,000 organizations (including business sector, higher ed, government) and 6.7 million grad students;
- Elsevier estimates 27 million researchers, without students (from Scopus).
- Many researchers have common names, change names, or are otherwise difficult to uniquely identify

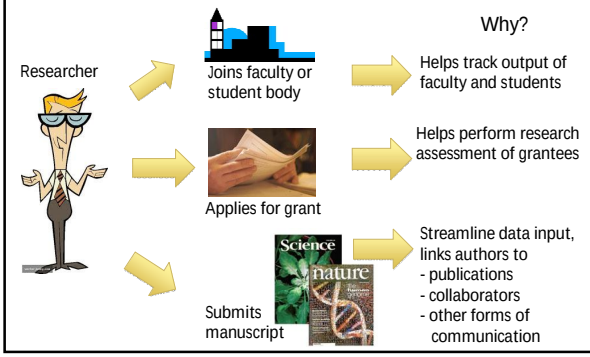
ORCID will work to support the creation of a permanent, clear and unambiguous record of scholarly communication by enabling reliable attribution of authors and contributors

How will ORCID succeed?

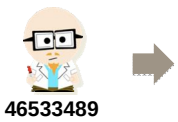
- **Build Registry**
  - Universities – provide ORCIDs to community members
  - Funding Bodies – use ORCIDs in grant applications
  - Publishers – use ORCIDs on article submissions
- **Leverage existing scholarly name id efforts**
  - Publishers (ACM, Nature, Elsevier, Wiley, etc.)
  - Universities (Harvard, MIT, Cornell, Hong Kong, etc.)
  - Projects (ISNI, VIVO, etc.)
- **Develop/Acquire Name Disambiguation Technology**
  - Virtual International Authority File – matching technology from OCLC
  - ProQuest Author Resolver
  - OKKAM – EU project on large scale entity integration

CNI, San Diego, April, 2011

Key Registration Points



By issuing unique identifiers to all researchers, ORCID will facilitate discovery and evaluation for researchers, institutions, governments, research funders, scholarly societies and publishers



Joins faculty or student body

Joins scholarly society

Applies for grant

Submits manuscript

Researcher

46533489

What have I published in the past five years?

What other papers were published by the authors of this interesting paper?

How can I find potential collaborators?

University

What was the research output of our institution (departments, individual researchers) last year?

What open access papers did we publish?

What are our strong (or weak) areas of research?

Enable implementation of OA mandates

Scholarly Society

What was the research output of our members last year?

What projects, grants, and awards have our members received?

How often did our members collaborate?

Government/Funding Agency

What papers were written by this grant applicant?

What papers were published as a result of our funding?

What datasets were made available by this research project?

Publisher

We want to better track authors and reviewers in our journal submission system.

Tell us more about this author, including other papers that he published.

What potential reviewers have collaborated with this author?

ORCID Initiative started in late 2009, initially with Business, Technical and Outreach Working Groups.

ORCID US, non-profit organization with a Board of Directors created in August 2010.

Launch of service planned for the first quarter of 2012.

Funding Highlights

Mellon grant awarded to MIT, Harvard, Cornell to study ORCID business model - $45,000

VIVO Collaboration awarded one of five collaborative research grants to ORCID in January 2011 - $25,000

$250,000 in donations from 44 Founding Sponsors

NSF's SciSIP funding to Harvard and University of Chicago for ORCID Phase 1 developments - $200,000 to ORCID

Leading scholarly publishers and societies agree at Frankfurt Book Fair in October 2011 to fund ORCID ~ $ 1 million (public announcement in a few weeks)

ORCID Open Researcher & Contributor ID

Working together to align the global network
An independent, community effort to standardize researcher identification

10 Principles

1. ORCID will work to support the creation of a permanent, clear and unambiguous record of scholarly communication by enabling reliable attribution of authors and contributors.
2. ORCID will transcend discipline, geographic, national and institutional, boundaries.
3. Participation in ORCID is open to any organization that has an interest in scholarly communications.
4. Access to ORCID services will be based on transparent and non-discriminatory terms posted on the ORCID website.
5. Researchers will be able to create, edit, and maintain an ORCID ID and profile free of charge.

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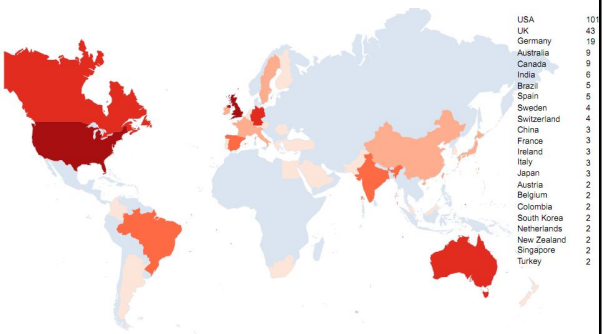
6. Researchers will control the defined privacy settings of their own ORCID profile data.
7. All profile data contributed to ORCID by researchers or claimed by them will be available in standard formats for free download (subject to the researchers' own privacy settings) that is updated once a year and released under the CC0 waiver.
8. All software developed by ORCID will be publicly released under an Open Source Software license approved by the Open Source Initiative. For the software it adopts, ORCID will prefer Open Source.
9. ORCID identifiers and profile data (subject to privacy settings) will be made available via a combination of "no charge" and "for a fee" APIs and services. Any fees will be set to ensure the sustainability of ORCID as a not-for-profit, charitable organization focused on the long-term persistence of the ORCID system.
10. ORCID will be governed by representatives from a broad cross-section of stakeholders, the majority of whom are not-for-profit, and will strive for maximal transparency by publicly posting summaries of all board meetings and annual financial reports.

ORCID transcends discipline, geographic, national and institutional boundaries



250 participating organizations as of 1 August 2011

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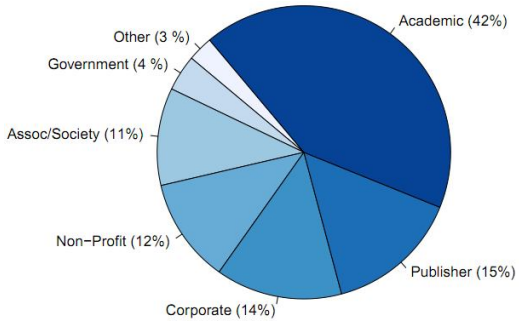
250+ Participants

Hindawi, EMBO, UCL, IEEE, ads, Audio Engineering Society, citeulike, MIT Libraries, ProQuest, Springer, The University of Melbourne, Wiley, Wellcome Trust, Universität Wien, Royal Society Publishing, Thapar University, IOP Publishing, Indiana University, Mendeley, Aries, CrossRef, AIP, SSRN, arXiv.org, Publishing Technology, OCLC, Emerald, INSPIRE, VIVO, portland press limited, NII, PLOS, Siemens, University of Leicester, bepress, University of Arkansas, Faculty of 1000, Nature Publishing Group, Thomson Reuters, KU Medical Center, eJournalPress

Newest Participants (Jun-Aug 2011)

mekentosj.com, SCOPE eknowledge center, IIASA, IST Austria, Universidad de La Salle, KIT Karlsruhe Institute of Technology, Kitware, @MIRE, Mancy Publishing, Washington University in St. Louis, University of Zurich, Libertas Academica

ORCID is open to any organization with an interest in scholarly communication



The Board of Directors represents a broad cross-section of stakeholders

wellcome trust · crossref · OCLC · Harvard · MIT Libraries · nature publishing group · ELSEVIER · acm Association for Computing Machinery · INSPIRE Fermilab SLAC · MHH Medizinische Hochschule Hannover · WILEY · THOMSON REUTERS · arXiv.org · NII

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Timeline 2010

Feb March April May June July Aug Sept Oct Nov Dec

- Build Sandbox ✓
- Alpha Prototyping ✓
- ORCID Members Demonstration and Alpha Testing ✓
- Organization Creation ✓
- Wellcome /MIT Survey ✓
- Principles/Scope Defined ✓
- Alpha Testing ✓
- Profile Exchange Research & Development

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Timeline 2011-12

Q1 2011 Q2 2011 Q3 2011 Q4 2011 Q1 2012 Q2 2012 Q3 2012 Q4 2012

- ★ Build Phase 1 - Semantico
- Start Registering ORCIDs
- Build Phase 2
- Sponsorship Drive 1 $244K ✓
- Sponsorship Drive 2 $250 Goal
- Staff Hired
- Start Collecting Fees
- VIVO Technology Research ✓
- Mellon Marketing Research ✓
- Profile Exchange Research & Development

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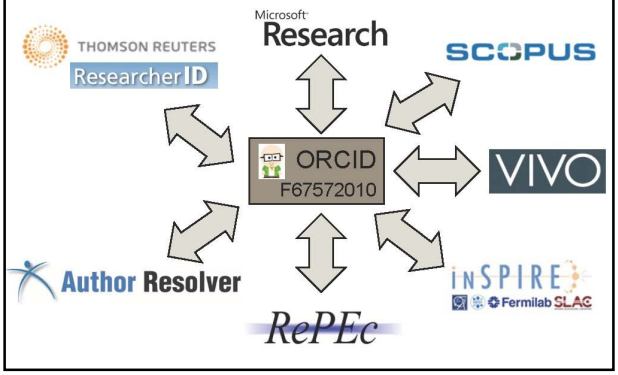
Scope (ORCID phase 1 system)

ORCID will build a central registry of unique identifiers for researchers and scholars with the following scope:

- ORCID will focus on currently active researchers
- Data will come from individuals and organizations
- ORCID will be a hybrid system of self- and organization-asserted identity
- Data collected will be those needed for disambiguation
  - extra data for optionally creating full CV-like profiles might be added in the future
- System will provide basic matching and disambiguation of names
- ORCID system will, from the start, enable 3rd parties to build value added services using ORCID infrastructure
- ORCID services will be developed based on the needs of the ORCID community

Researchers will be able to create and maintain an ORCID ID and profile free of charge, and will control their privacy settings

ORCID will interact with other scholarly author identification systems



Other Researcher ID Initiatives

- **Contributor ID (CrossRef)** (http://www.crossref.org/CrossTech/2009/02/an_interview_about_author_ids.html)
  - prototype concept project of CrossRef whose learnings have been rolled into ORCID (general science)
  - CrossRef is an ORCID participant and board member
- **Scopus Author Identifier** (http://help.scopus.com/robo/projects/schelp/h_autsrch_intro.htm)
  - standalone commercial service (general science)
  - Elsevier is an ORCID participant, board member, and Business and Technical Working Group member
- **ResearcherID (Thomson Reuters)** (http://www.researcherid.com/)
  - standalone service that provided much of the basis for ORCID (general science)
  - T-R is an ORCID participant, board member, and Business and Technical Working Group member
- **RePeC (Research Papers in Economics)** (http://www.repec.org)
  - standalone not-for-profit service (Economics)
  - RePeC is an ORCID participant and active Technical Working Group member
- **Names Project** (http://names.mimas.ac.uk)
  - standalone not-for-profit project backed by JISC (UK government)
  - JISC is an ORCID participant and Technical Working Group member

Other Researcher ID Initiatives

- **VIVO** (http://www.vivo.org)
  - NIH funded national network of scientists run by institutions. (Biomedicine)
  - VIVO software installed locally and provides semantic web-compliant date into network
  - ORCID participant and funder
- **ArXiv author identifiers** (http://arxiv.org/help/author_identifiers)
  - standalone service (Physics)
  - Cornell is an ORCID participant and board member
- **International Standard Name Identifier (ISNI)** (http://www.isni.org)
  - separate initiative started by RROs for RROs. Identifies everything including fictional names and names of things (think boats)
  - Supported by Proquest/Bowker
  - ORCID is trying to find a way to engage with ISNI in a mutually beneficial way
- **Lattes** (http://lattes.cnpq.br/english)
  - Used by Brazilian MCT [Science and Technology Ministry], FINEP [Projects and Studies Financing], CAPES/MEC [Personal Improvement Coordination/Ministry of Education], and all institutional actors, such as the Brazilian scientific community, as a curricular information system. (Brazilian Government)
  - evaluation of competences of candidates to scholarships and/or research support
  - selection of consultants, members of committees and advising groups
  - VIVO participant and in discussions with ORCID
- **Digital Author Identifier (DAI)**
  - http://www.surffoundation.nl/en/themas/openonderzoek/infrastructuur/Pages/digitalauthoridentifierdai.aspx
  - a new one! Not affiliated with ORCID

Other Researcher ID Initiatives

- **Society Initiatives**
  - ACM Digital Library
  - AIP UniPhy
  - American Chemical Society
  - IEEE
  - ...
- **NLM PubMed Author Profile**
- **Google Academic Profiles**
- **Microsoft Academic Search**

More information found at Martin Fenner's Blog:
http://blogs.plos.org/mfenner/author-identifier-overview/

What makes ORCID different?

- **ORCID is a researcher identifier that is not limited to *discipline, institution or geographic area***
- **ORCID is *backed by a non-profit organization* with over 200 participants**
- **ORCID is *managed by multiple stakeholders* including publishers, universities, funding agencies, and other initiatives**
- **ORCID is serious about *open data* and an *open system***

CNI, San Diego, April, 2011

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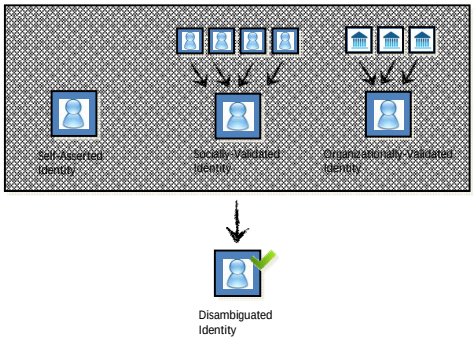
Come Join Us

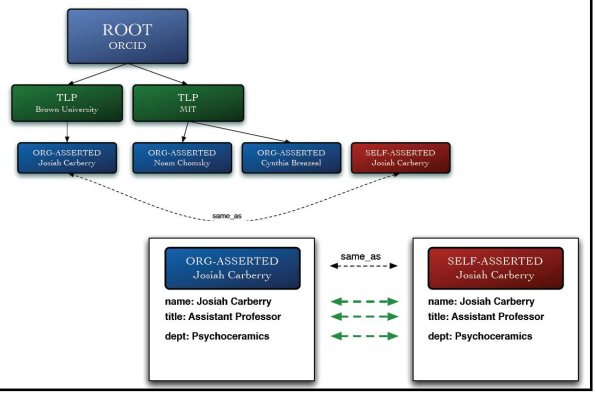
Ed Pentz
epentz@crossref.org

Join us at www.orcid.org
Follow us on Twitter @orcid

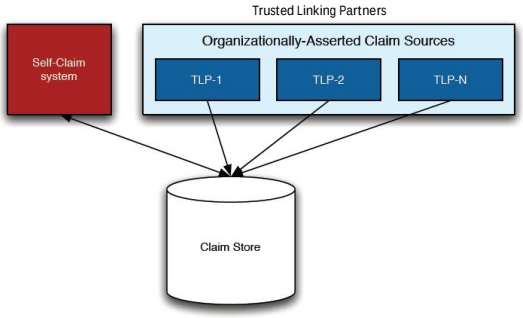
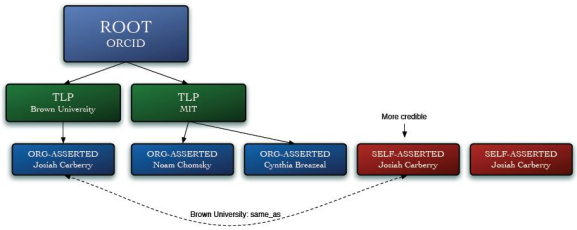
Self-asserted + socially-validated + organizationally-asserted identity
= more credible assertion



Phase 1 Disambiguation Concept



Assertion Collection Concept



More Assertions = More Credibility