Background

The guiding principle of ORCID iD implementation at the University of York is the benefit that it brings to researchers; an ORCID iD is owned by the researcher and not by any one institution. This sense of researcher ownership and the use of ORCID iDs to benefit researchers are seen as vital to successful implementation. The University should then subsequently benefit from the correct attribution of research outputs and the potential for sharing of information between systems.

The key features of the York pilot project are:

» An emphasis placed on the researcher registering for an ORCID iD supported by an advocacy programme and institutional support

» The implementation of a University Policy on the Publication of Research which requires researchers to use an ORCID iD when preparing publications (i.e. registration is backed by institutional policy)

» Integration of ORCID within the University’s Current Research Information System, Pure

» Utilisation of Pure to populate the ePrints institutional repository (White Rose Research Online) with ORCID iDs via the automatic connector.

The project blog (http://yorkorcid.blogspot.co.uk/) provides more information on the progress of the project, including the use case, technical issues, lessons learned, and perceived benefits of the approach.
Outputs

At time of writing, the project has completed a pilot exercise with 4 departments (see Appendix 1) and is moving towards full implementation.

Voluntary researcher sign-up via CRIS workflow

The work completed during the pilot exercise (see Appendix 1) suggests that voluntary ORCID iD registration by research staff via an institutional CRIS (in this case Pure) can demonstrate positive results. The implementation of ORCID iD functionality within a CRIS seems to be a sensible route forward, both in terms of where research staff need to record research outputs and the potential for future system interoperability, for example in reporting to funders.

Using the functionality provided by Pure means that there was no need to develop a new integration from scratch.

Test of ORCID functionality in Pure

The University took out an ORCID membership (Basic Creator licence) to enable the use of the ORCID API.

Despite experiencing some technical delays, the project team’s experience of setting up the ORCID options in Pure was straightforward and the options themselves (Create and Add ORCID iD) are easy to use. Some researchers in the pilot exercise, however, did experience difficulties, the most common one being not saving their iD by failing to click on the Save button. More information on how the Pure options work will be provided to researchers as part of the full implementation.

It is hoped the York project can feed into the future development of ORCID options in Pure and assist the Pure UK User community. See the blog for a full description of the technical aspects of the project.

Development of the EPrints connector

A significant target for the project was populating the University’s shared repository, White Rose Research Online (WRRO), with ORCID iDs from Pure by modifying the EPrints connector. This aspect of the project was delayed by technical issues but the connector has now been modified and at time of writing is currently working successfully in Pure 4.20.3 Test.

To retrospectively apply ORCID identifiers will require a re-synchronisation of data between the systems at a later point. Updated information on progress with the EPrints repository will be provided via the blog and shared with the Pure and EPrints user groups.
Advocacy and associated materials

The web page developed for the pilot stage exercise (see Appendix 2) contains ideas which may be useful for other institutions planning a similar ORCID iD implementation. The *Distinguish yourself* tagline as used within ORCID’s own registration page proved successful in the pilot exercise and could be easily modified to fit a variety of settings and timings. Both the webpage and the tagline will be remodelled slightly for the full implementation and will be available at [www.york.ac.uk/orcid](http://www.york.ac.uk/orcid).

The duck motif was developed by a member of the Research Support team; “duck density” is a notable feature of the University so the design works well in a University of York-specific context. One might imagine that the motif could be reworked with other designs to fit other institutions. The duck image will be re-used in the updated web pages and as a bookmark (see Appendix 2).

Integration of ORCID iDs into University policy

A feature of the York pilot is the link to institutional policy. Although not strictly an output of the project – the work was already ongoing before the JISC-ARMA pilot began – this may be of interest to other institutions. The University’s *Policy on the Publication of Research* makes reference to the use of Author identifiers as part of the Preparing Publications stage (section 5.20). The supporting guidance endorses the use of ORCID iDs for this purpose.
Lessons learned

The following discussion points may be of value to other institutions planning to implement ORCID.

Researchers’ recognition of the name ambiguity problem

In talking to researchers and in responses to the pilot exercise survey, there seems to be a shared recognition of the problems of incorrect assignment of research outputs and the ambiguous nature of names. The ability to “distinguish myself” (chosen as our tagline in initial advocacy work) came top of the perceived benefits of ORCID iDs to individual researchers (40% of respondents chose this as one of the benefits). There was no shortage of anecdotes concerning misattribution of research outputs. Chairs of Departmental Research Committees appeared to quickly associate ORCID iDs with ideas around citation impact and research profile, both at an individual and departmental level. This is evidenced by the introductory emails that some DRCs sent out in association with the pilot exercise.

Despite these very positive views of the benefits of ORCID iDs, many of which should accrue over the medium or long-term, it can still be difficult to articulate the immediate practical benefit of registration to some researchers. Although this will hopefully change as opportunities to use an iD increase with wider adoption, this can be a disincentive to some researchers.

Registration/addition of ORCID iDs via Pure – researchers’ views

The implementation of ORCID iDs within Pure has consequences not necessarily relating to the perceived benefits of the IDs themselves. Pure is a central system at the University but, like other CRIS’, it can hold negative associations for individual researchers. It is possible that implementation via a CRIS route reduces the number of researchers likely to register for an ID. It is noticeable that the number of iDs registered to york.ac.uk users increased by approximately 200 during the pilot exercise whilst the number of iDs listed on Pure increased by approximately 70 (see also ORCID iDs via Pure - technical aspects below). A small number of respondents to the survey suggested that getting an iD was just an additional bureaucratic burden.

There is some evidence from the survey that although researchers could see the value of ORCID iDs, they could not see the value of creating/adding an iD into Pure. This could be linked to the ORCID profile versus ORCID iD issues covered below but we need to be clearer on what we see as the advantages of this route. More information on the benefits to the researcher of creating/storing an ID via Pure will need to be provided as part of full implementation. It is unfortunate that it was not possible to get a live EPrints connector in place earlier (in Test at time of writing) as this would be one positive illustration of how the ID would link through to other systems.

ORCID iDs via Pure - technical aspects

Technical problems delayed the progress of the project at a number of stages. This was disappointing in that we were subsequently unable to reach all of our target outcomes within the JISC-ARMA timescale. Other institutions need to be aware that all technical aspects need to be thoroughly tested ahead of any implementation to make sure that they work as intended.
New functionality may have unforeseen requirements. For example, it was anticipated that the changes required to the EPrints connector would be straightforward but the ORCID iD field was subsequently found not to be available in the metadata and was therefore unavailable to add into the connector at that stage. This issue has now been resolved.

**Usability of ORCID functionality in Pure**

The use of the ORCID iD functionality in Pure proved to be more problematic for researchers than anticipated. After creating or adding an iD, the user needs to save the changes. Unfortunately, the Save button at the foot of the screen was missed by many researchers. On analysis of the pilot exercise survey responses, 10 of the 17 researchers who stated that they had created an iD in Pure had actually failed to save the iD in Pure. A similar issue appears to have applied to those researchers adding an iD into Pure. As a consequence of these issues, the University’s ORCID web page used for full implementation will contain additional detailed instructions on the ORCID options in Pure.

The issue of unsaved changes has been reported back to Pure. The project team are also investigating the potential to customise the text in Pure to remind researchers to click on Save.

**ORCID profile versus ORCID iD**

At time of writing, there is no interaction between ORCID and Pure in terms of profile content other than the iD itself. In this context, the pilot exercise highlighted the need for clarity in distinguishing the ORCID profile function from the ORCID iD itself as this can be a source of confusion when interacting with researchers in some circumstances. Any institution planning an implementation needs to consider its position and targets in terms of the development of an ORCID profile or ORCID iD for its target groups.

For the majority of researchers at the University of York, the institutional focus is primarily on the iD element of ORCID. The profile element, at least from an institutional perspective, is being provided by Pure and publicly viewable via the Pure portal (the York Research Database). In order for an iD to be meaningful, however, it may be necessary to ask researchers to at least add their institution into their personal information. Adding in a second email address may also be helpful in enabling researchers to easily access their ORCID record when moving between institutions.

Evidence from pilot exercise strongly suggests that there was an expectation from researchers that Pure would automatically populate their ORCID profile with their research outputs. Many expressed disappointment that this was not the case. If data export was possible from Pure, researchers may be more enthusiastic about registering for an iD via Pure. Data exchange may also open up opportunities in terms of the ORCID metadata round trip.

**Variant use cases, workflows and advocacy messages**

The University of York use case is different for staff without a Pure profile (this includes support and technical staff) and postgraduate research students (who also do not currently have a Pure profile). For these users there may be a personal advantage in having both an ORCID iD and a complete ORCID profile. The ORCID profile functionality provides a useful platform for these users to promote themselves and their research outputs.
These factors mean that the advocacy messages communicated may need to be different depending on the planned outcomes and the user groups targeted.

The importance of partnerships and institutional support

The University of York project involved several key teams within the Information Directorate and beyond. The project was led by the Information Directorate’s Research Support team, with input from the Digital York team and the Research Strategic and Policy Office (RSPO) essential in progressing the work. At York, Pure is managed by the RSPO and without their collaboration the project would not have been possible.

From the start, the project had the full support of the Pro-Vice Chancellor for Research (PVCR). The PVCR provided a supporting letter for the JISC-ARMA bid and the launch emails for full implementation will be sent out under the PVCR’s name.

The participation of the 4 departments in the pilot exercise should also be acknowledged - the lessons learnt during that stage should prove invaluable to the full implementation. Of particular note was the importance of the departmental research administrators in certain departments; once administrators were convinced of the value of ORCID iDs they were very willing activists encouraging their researchers to register.

The support of White Rose partners has been essential in agreeing and taking forward changes to the shared repositories.

Strategic fit and Policy on Publication of Research

The timing of the JISC-ARMA pilot coincided with other developments that meant that the project could be undertaken at the University of York. This included the formation of the Library’s Research Support team who were able to lead the project. The background work being undertaken to support the development of the University’s research strategy raised awareness of the importance of research outputs being correctly assigned.

Having the back-up of a University policy (in York’s case the Policy on the Publication of Research) is valuable; if nothing else, it illustrates the degree of institutional support for ORCID iDs within the University. The policy also provides an ongoing route for discussion with departments and Chairs of Departmental Research Committees.
Opportunities and possibilities

The following opportunities and challenges have been identified. These include the next steps for ORCID implementation at the University of York.

University-wide implementation

The University-wide implementation of ORCID iDs via Pure for academic and research staff is planned for February 2015. A revised web page will be put in place learning from the lessons of the pilot exercise by providing more information on the advantages of ORCID iDs in Pure and how the Pure ORCID options work. The implementation will be launched by emails from the Pro-Vice Chancellor for Research to every member of academic and research staff.

Departmental research administrators will be briefed prior to the launch as researchers may turn to them for advice. Information on how to monitor the number of iDs listed in Pure will also be provided to research administrators so they can monitor and, if required, encourage uptake within their departments.

Further consideration will then be given to the use case, workflows and advocacy messages for ORCID iD implementation for staff without a Pure profile and for postgraduate research students. It is anticipated that these will form part of a second stage of implementation (see also Further planned developments below).

Further planned developments

Work on the integration of ORCID at the University of York is continuing:

➢ It is planned to make academic and research staff ORCID iDs visible via the York Research Database (the University’s Pure portal).

➢ The new EPrints connector will be made live as soon as possible and the impact in terms of White Rose Research Online (WRRO) monitored.

➢ If postgraduate research students are not provided with profiles in Pure in the near future, options will be investigated to store their ORCID iDs within the student record (e:Vision). This may enable a link to HESA. It is hoped that the findings of University of Kent and Northumbria University JISC-ARMA pilots may help inform this work. Prompts to enter an ORCID iD may be possible at project approval or intention to submit stages.

➢ It has been agreed with White Rose partners that the addition of an ORCID iD field be investigated for White Rose eTheses Online (WREO) and included in the deposit form.

➢ A similar request has been made for the direct deposit form for White Rose Research Online (WRRO). This would benefit those staff and students without a Pure profile who wished to deposit their publications in the repository.

➢ The progress of requests for revisions/improvements to Pure ORCID functionality will be monitored.

➢ It is planned that Pure will also operate as the data catalogue for research data management purposes. It is anticipated that ORCID iDs will also be associated with datasets as well as other research outputs.
Issues around ORCID iD registration for new academic and research staff need to be addressed. Departmental research administrators are likely to play a significant role in this area as Pure induction is undertaken at a departmental level. It may also be possible to provide some advice on ORCID for staff moving to other institutions.

An awareness of ORCID and ORCID iDs will need to be built into training and development activities. There are opportunities for the promotion of ORCID in sessions run by the University’s central Researcher Development Team (for example, on developing a professional profile) as well as the Library’s Research Support and Academic Liaison teams.

Ongoing input from Library Research Support team, Digital York and the RSPO will be required to maintain systems and provide continued advocacy and support.

The following activities outside the scope of the original project will also be pursued:

- The wider use of ORCID iDs within the University’s identity management systems.
- The use ORCID iDs in the development of the University’s new grants management system.

**Anticipated benefits to the University**

The combination of researcher sign-up, institutional policy and the technical infrastructure provided by Pure, is anticipated to deliver benefits to the University but the timescale for delivery of benefits is not clear. The correct attribution of research outputs to University of York researchers is essential in terms of tracking research outputs, reporting to funders and benchmarking against other institutions. These reporting requirements are likely to continue to increase in the foreseeable future.

It is anticipated that the benefits of ORCID iD implementation will grow over time. It is hoped that ORCID iDs will save administrative time for researchers and support staff by ensuring correct and accurate transfer of information between systems but this system interoperability is not yet in place.

ORCID iDs have the potential to be a key element in the future interoperability of research systems, both internal and external. These future benefits are dependent, however, on the wider uptake of ORCID iDs in the UK and internationally, and on their adoption by key players such as research councils and related funding bodies, and HEFCE.

In terms of benefits accruing to individual researchers and the University, it is too early to judge what will actually be delivered in terms of efficiency gains and staff time.

**Sustainability and future prospects**

Some mention has been made of issues around local sustainability in the Further planned developments section above.

Of potentially greater concern are issues around the sustainability of ORCID more generally. At the institutional level, the ongoing costs of membership will need to be resourced alongside other ongoing costs. At the current level of fee for Basic membership this may not be an issue for some institutions. For integrations requiring Premium membership the, costs may prove to be a barrier and restrict system integration. A national
membership agreement could make a significant difference. This difference would be particularly significant if it provided the opportunity for multiple API integration, monitoring of registrations, and the provision of analytics.

At the current moment in time in the UK, it may take key policy (and associated systems) changes to ensure the wider implementation of ORCID iDs. Examples might include the active adoption of ORCID iDs by RCUK and other research funders, interoperability with ResearchFish in reporting research outcomes, and utilisation in the next REF.

Publishers will continue to play a key role in the uptake of ORCID by individual researchers and in providing a baseline for other developments. The systematic adoption of ORCID iDs within the publishing process seems vital to the development of the ORCID metadata round trip.

It is hoped that JISC and ARMA will continue to play an active role in encouraging and supporting these developments.

Janette Colclough (Research Support Manager) on behalf of University of York ORCID Project team
Julie Allinson (Digital York Manager)
Thom Blake (Research Support Officer)
Katherine Brigham (RSPO/Pure Systems Administrator)
Nicola Meenan (RSPO/Pure Systems Manager)
Kirstyn Radford (Research Support Librarian)
Appendix 1 Pilot exercise

This exercise was undertaken with the Centre for Health Economics, Environment, Health Sciences and Music from 27th October to 14th November 2014. Members of staff and postgraduate research students in each of the departments were emailed by the Head of Department or Chair of Departmental Research Committee asking them to participate in a pilot study. The email gave basic information about ORCID iDs then asked participants to visit the University’s ORCID website (see Appendix 2) and to register for an iD. Participants were also asked to respond to a survey asking them about their experience of registration and of ORCID iDs more generally.

As a result of the pilot exercise, approximately 70 ORCID iDs were added into Pure. 48 responses were made to the survey. The information collected has been used to inform the preparation for full implementation and Lessons learned section of this report.
Appendix 2 Website and promotional material

Snapshot of ORCID web page as used in pilot exercise

[Image of ORCID web page]

5 good reasons for having an ORCID ID

- **Distinguish yourself** - An ORCID ID ensures that all your research outputs and activities are correctly attributed to you.
- **It’s quick and easy** - It takes as little as 20 seconds to register and the benefits are ongoing. An increasing number of publishers and research funders are using ORCID IDs as a way for researchers to identify themselves when submitting publications or bids.
- **Open to all, non-profit and community-driven** - ORCID is a non-propatory registry maintained for the benefit of research and researchers. It is of value to all disciplines and all career stages, from postgraduate research student to the senior academic.
- **Your ORCID ID belongs to you and stays with you** - Unlike employer or publisher identifiers, your ORCID record is managed by you and stays with you throughout your career.
- **Endorsed by the University** - ORCID IDs are used in the University’s Research Information System (PURE) and feature in the University’s Policy on the Publication of Research.

FAQs

Quick ORCID survey
Would you like to tell us your views on ORCID?
Want a chance to win a personalised ORCID mug?
Click here to take our ORCID survey...

Contact us
For more information and help with ORCID, contact the Research Support Team.

Snapshot of promotional bookmark

[Image of promotional bookmark]

ORCID at York
Helping our researchers to distinguish themselves