Today’s Moderator & CITI Program

The Collaborative Institutional Training Initiative (CITI Program) is dedicated to promoting the public’s trust in the research enterprise by providing high quality, peer-reviewed, web-based educational courses in research, ethics, regulatory oversight, responsible conduct of research, research administration, and other topics pertinent to the interests of member organizations and individual learners.
Questions and Answers

• You can submit a question during the presentation by selecting “Q&A” icon on the bottom of the screen.
• It opens a separate window where you can type and submit questions.
• Questions will be addressed after the presentation.
About Today’s Presenter

Shawna Sadler
Engagement Manager, Outreach and Partnerships
ORCID

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

Shawna heads up ORCID’s Outreach & Partnerships program at ORCID, building strategic relationships worldwide and exploring new opportunities for adoption and growth.
I have no relevant personal/professional/financial relationship(s) with respect to this educational activity.
Learning Objectives

• Understand why researchers should have an ORCID ID

• Understand how ORCID can help researchers meet...
  • The new Research Security expectations
  • The new Public Access and Research Integrity expectations

• Describe ORCID and author identity management
Quick Introduction to ORCID

Quick Introduction to Research Security

The Significant Shift

NSF Response

What’s on the horizon?
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—Open Research and Contributor Identifier—Provides three main services

- The ORCID iD: a unique, persistent identifier free of charge to researchers
- An ORCID record/digital CV connected to the ORCID iD, that can include employment, education, and research output metadata
- A set of Application Programming Interfaces (APIs), as well as the service and support of communities of practice, that enable interoperability between an ORCID record and member organizations
ORCID Record Example

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

Name
Sofia Maria Hernandez Garcia

Emails
s.hernandez@orcid.org

Websites & social links
Faculty profile webpage: www.orcid.org

Other IDs
Profile system identifier: A-123456
ResearcherID: L-7890-2018
ORCID: 0000-0001-5727-2427

Countries
United States

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

Activities
New Arizona State University: Sedona, Arizona, US
2015-09 to present | Associate Professor (Department of Geography)
Employment
Source: Sofia Maria Hernandez Garcia

ORCID: Bethesda, Maryland, US
2014-06-01 to 2019-03-25 | Engagement Lead
Employment
Source: ORCID via Ascent-e-mail

Education and qualifications
London School of Physics: London, GB
2015 to 2018 | PhD (Computer Science)
Qualification
Source: Sofia Maria Hernandez Garcia

Universidad Politecnica de Madrid: Madrid, Comunidad de Madrid, ES
2008-09 to 2012-06 | BSc (Computer Science)
Education
Source: Sofia Maria Hernandez Garcia
Researchers access all of their research information via their unique ORCID profile

<table>
<thead>
<tr>
<th>Feature</th>
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</thead>
<tbody>
<tr>
<td>Uniquely yours</td>
</tr>
<tr>
<td>Name flexibility</td>
</tr>
<tr>
<td>More time for research</td>
</tr>
<tr>
<td>Control your visibility and discovery</td>
</tr>
<tr>
<td>Reduced administrative burden</td>
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<tr>
<td>Portable profile data</td>
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</table>

[Image of two people standing with a document and a checkmark]

(CITI Program logo)
ORCID is Broadly Used by Researchers Globally

There are ORCID users in 246 countries

That’s every country on the planet apart from,

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

Quick Introduction to Research Security

The Significant Shift

NSF Response

What’s on the horizon?
Research Security is a relatively new issue...

Presidential Memorandum on United States Government-Supported Research and Development National Security Policy

Issued on: January 14, 2021

NATIONAL SECURITY PRESIDENTIAL MEMORANDUM – 33

Courtesy: National Archives
“This memorandum directs action to strengthen protections of United States Government-supported Research and Development (R&D) against foreign government interference and exploitation.”
“The open and collaborative nature of the United States R&D enterprise underpins America’s innovation, S&T leadership, economic competitiveness, and national security.”
Disclosure

Agencies shall require disclosure,

1. Principal investigators (PIs) and other senior/key personnel seeking or receiving Federal R&D funding (i.e., extramural funding);

2. Individuals participating in the process of allocating Federal funding: program officers, peer/merit reviewers, and members of advisory panels and committees; and

3. Researchers at Federal agency laboratories and facilities (i.e., intramural researchers, whether or not Federally employed), including government owned, contractor-operated laboratories and facilities.
The new disclosure requirements are going to increase the amount of administrative workload on researchers...

So to counter this workload, NSPM-33 gives instruction to the federal funding agencies to adopt “digital persistent identifiers” and to streamline their reporting - in order to reduce the administrative burden on researchers.
Quick Introduction to ORCID

Quick Introduction to Research Security

The Significant Shift

NSF Response

What’s on the horizon?
The significant shift - NSPM-33 Guidance
Five Key Sections

1. Disclosure Requirements and Standardization
   a. Biosketches
   b. Current & Pending Support / Other Support

2. Digital Persistent Identifiers (i.e., ORCID)

3. Consequences for Violation of Disclosure Requirements

4. Information Sharing

5. Research Security Programs
NSPM-33 Guidance – DPI Specifics

- 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
Quick Introduction to ORCID

Quick Introduction to Research Security

The Significant Shift

NSF Response

What’s on the horizon?
NSTC Research Security Subcommittee
NSPM-33 Implementation Guidance Disclosure Requirements & Standardization

Over the past several months, the National Science and Technology Council (NSTC) Research Security Subcommittee has worked to develop consistent disclosure requirements for use by senior personnel, as well as to develop proposed common disclosure forms for the Biographical Sketch and Current and Pending (Other) Support sections of an application for Federal research and development (R&D) grants or cooperative agreements.

The National Science Foundation (NSF) has agreed to serve as steward for these common forms as well as for posting and maintenance of the table entitled, NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support.
NSF Response

Updated & harmonized forms
- Common Biosketch
- Common Current & Pending Support/Other Support

New forms will likely go live in 2023.
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<th>Field</th>
<th>Format</th>
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<th>Instructions</th>
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<td>Name</td>
<td>Last, First, Middle, Suffix</td>
<td>No</td>
<td>Enter the name of the senior/key person (Last name, First Name, and Middle, if applicable).</td>
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<td></td>
<td>Persistent Identifier (PID) of the Senior/Key Person</td>
<td>URL, e.g.: <a href="https://orcid.org/NNNN-NNNN-NNNN-NNNN">https://orcid.org/NNNN-NNNN-NNNN-NNNN</a></td>
<td>Yes</td>
<td>Enter the PID of the senior/key person. The PID is a unique, open identifier, or a similar name.</td>
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<tr>
<td></td>
<td>Position Title</td>
<td>--</td>
<td>No</td>
<td>Enter the position title of the senior/key person.</td>
</tr>
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<td>Organization and Location</td>
<td>Name</td>
<td>--</td>
<td>No</td>
<td>Enter the name of the primary organization of the senior/key person if the project is not based in a physical location.</td>
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<td>Location</td>
<td>City, (State/Province [XX], Country)</td>
<td>No</td>
<td></td>
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<td>Professional Preparation</td>
<td>Name of Organization</td>
<td>--</td>
<td>Yes</td>
<td>A list of the individual’s professional preparation (e.g., education and fellowship training, as applicable, listing each separately). Also include:</td>
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<tr>
<td></td>
<td>Location of Organization</td>
<td>City, (State/Province [XX], Country)</td>
<td></td>
<td>- the name of the organization;</td>
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<td></td>
<td>Degree Received (if applicable)</td>
<td>--</td>
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<td>- the location of the organization: Enter the City, State/Province, and Country only, and N/A.</td>
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<td>Month and Year the Degree was Received (or expected receipt date)</td>
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<td>- the month and year the degree was received (or expected receipt date);</td>
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<td></td>
<td></td>
<td>- the field of study.</td>
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<td>Appointments and Positions</td>
<td>Start Date</td>
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<td>Yes</td>
<td>A list, in reverse chronological order by start date, of all the individual’s current appointment (including the associated organization and location, institutional position whether or not remuneration is received, and whether the position is full-time or part-time). For each entry provide:</td>
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<td>Start date: YYYY</td>
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<td>End date: YYYY</td>
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<td>Name of Organization</td>
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<td>Appointment or Position Title:</td>
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<td>Department (if applicable)</td>
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<td>City, (State/Province [XX], Country)</td>
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<td>Products</td>
<td>Names of Authors</td>
<td>Last, First Initial</td>
<td></td>
<td>A list of products that demonstrate the individual’s qualifications to carry out the research, including but not limited to:</td>
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<td>Yes</td>
<td>- publications, conference papers, and presentations;</td>
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<td>Date of Publication or Release</td>
<td>DD/MM/YYYY</td>
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<td>- website(s) or other Internet site(s);</td>
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<td></td>
<td>Website URL</td>
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<td></td>
<td>- technologies or techniques;</td>
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<td>URL, e.g.: <a href="https://doi.org/10.NNNNNNNNNN">https://doi.org/10.NNNNNNNNNN</a></td>
<td></td>
<td>- inventions, patent applications, and/or licenses; and</td>
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<td></td>
<td>Other Relevant Citation Information</td>
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<tr>
<td>Certification</td>
<td>Signature</td>
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<td>No</td>
<td>When the individual signs the certification on behalf of themselves, it is not limited to information related to domestic and foreign appoint.</td>
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<tr>
<td></td>
<td>Date</td>
<td>DD/MM/YYYY</td>
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Data in the ORCID record will Pre-populate many fields in the SciENcv forms
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.

Courtesy: National Science Foundation
Quick Introduction to ORCID

Quick Introduction to Research Security

The Significant Shift

NSF Response

What’s on the horizon?
August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Dr. Alondra Nelson  
Deputy Assistant to the President and Deputy Director for Science and Society  
Performing the Duties of Director  
Office of Science and Technology Policy (OSTP)

SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

Courtesy: Office of Science and Technology Policy
4. Ensuring Scientific and Research Integrity in Agency Public Access Policies

a) Collect and make publicly available appropriate metadata\(^{15}\) associated with scholarly publications and data resulting from federally funded research, to the extent possible at the time of deposit in a public access repository. Such metadata should include at minimum:
   i) all author and co-author names, affiliations, and sources of funding, referencing digital persistent identifiers,\(^{16}\) as appropriate;
   ii) the date of publication; and,
   iii) a unique digital persistent identifier for the research output;

b) Instruct federally funded researchers to obtain a digital persistent identifier that meets the common/core standards of a digital persistent identifier service defined in the NSPM-33 Implementation Guidance,\(^{17}\) include it in published research outputs when available, and provide federal agencies with the metadata associated with all published research outputs they produce, consistent with the law, privacy, and security considerations.

c) Assign unique digital persistent identifiers\(^{18}\) to all scientific research and development awards\(^{19}\) and intramural research protocols that have appropriate metadata linking the funding agency and their awardees through their digital persistent identifiers.
All US government agencies that fund research must,

- Submit their *plans* for ORCID adoption by Dec 31, 2024
- All agencies update their *policies* regarding ORCID by Dec 31, 2026
- All agencies must *implement* ORCID adoption by Dec 31, 2027
What’s on the horizon... G7 Science Ministers

G7 Working Group on Research Security & Integrity

- Working on a tool kit to coordinate efforts across the G7
- We don’t know if the use of persistent identifiers is in this tool kit
- All G7 countries are strong ORCID adopters.
What’s on the horizon...

Author identity fraud...

• Issue of research paper mills
• Mis-using researcher’s names as authors or peer reviewers
• ORCID may be part of the solution
• Potential topic over the next year or two
What’s on the horizon...

One last thing!

Your ORCID ID can now be added to your CITI Program profile.
• Researchers - please register for an ORCID iD so you can be uniquely identified and get credit for your work

• Use your ORCID iD when you publish your research and apply for funding

• Employers of researchers - please write data to your researcher’s ORCID records so they can spend more of their time conducting research and less on administration
References


Register for an ORCID iD

ORCID membership for non-profit organizations

ORCID membership for federal government agencies
Shawna Sadler - Engagement Manager, Outreach and Partnerships
s.sadler@orcid.org
Questions?
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