

The Australian Open Researcher and Contributor ID (ORCID) Consortium Model

October 2015

To be part of the Consortium please contact orcid@aaf.edu.au

Background

1. The Australian ORCID Consortium Model has been developed by the ORCID Working Group comprised of representatives from:

- [Universities Australia](#) (UA),
- the [Council of Australian University Librarians](#) (CAUL),
- the [Australasian Research Management Society](#) (ARMS),
- the [Australian National Data Service](#) (ANDS),
- the [Australian Access Federation](#) (AAF), and
- the [Council of Australian University Directors of Information Technology](#) (CAUDIT).

The [Australian Research Council](#) (ARC) and the [National Health and Medical Research Council](#) (NHMRC) also provided input throughout the development of the Model. The rationale behind the establishment of an Australian ORCID Consortium can be found in the “[Joint Statement of Principle: ORCID - connecting researchers and research](#)”¹. ARC and NHMRC have also made an independent [joint statement](#)² in support of the use of ORCID for researchers applying for grants. Internationally, [the UK’s Jisc-ARMA ORCID Pilot Project Final Report](#)³, released in April this year also highlighted important insights and lessons learned that are useful to inform a Consortium approach to institutional implementation of ORCID.

ORCID Group Membership Model

2. The ORCID registry is free to use for individual researchers who may register, maintain and share their ORCID identifier and associated ORCID record data. Organisations may integrate ORCID identifiers into research systems and workflows using a public ORCID

¹ Joint Statement of Principle: ORCID - Connecting Researches and Research
<http://www.ands.org.au/discovery/orcid-joint-statement-of-principle.pdf>

² NHMRC and ARC joint Statement on ORCID <https://www.nhmrc.gov.au/grants-funding/policy/nhmrc-and-arc-statement-open-researcher-and-contributor-id-orcid>

³ UK Jisc-ARMA Pilot Project Final Report http://repository.jisc.ac.uk/6025/2/Jisc-ARMA-ORCID_final_report.pdf

Application Program Interface (API) for no fee. Organisations support ORCID through paying membership fees in exchange for access to specific API features and technical support.

3. ORCID provides two types of membership agreements: standard (for a single organisation) and consortium for a group of 5 or more organisations. ORCID also offers two member categories: basic and premium which vary in terms of the ORCID features that are available and discounted rates on premium membership for groups⁴. More information on ORCID membership types and costs is provided on the ORCID website.⁵

The Consortium Model

Aims, Exclusion, and Licence Agreement

4. To achieve economies of scale, the initial aim is to establish an Australian ORCID Consortium with a minimum of 20 Australian institutional members (21 including the Consortium Lead). The Australian ORCID Consortium Model is designed to maximise the benefit of ORCID within each institution through membership of the Consortium. In addition, the Consortium Model aims to provide flexibility to its members in terms of implementation and roll-out of ORCID within each institution.⁶ Members can decide on the time frame and the implementation option that best fit their needs and aspirations.

5. Under the terms and conditions of the Australian ORCID Consortium Member Licence Agreement, only institutions of higher education, non-profit organisations and government research institutes and funding agencies located in and organised under the laws of Australia are eligible to participate in the Australian ORCID Consortium membership.

6. An Australian Version of the Non-binding Trusted Third Party Consortium Agreement (Agreement) will be used to establish the Australian ORCID Consortium. The Agreement will be signed between ORCID Inc. and the Consortium Lead. Each Consortium member will be required to sign the Accession Agreement (which forms part of the Non-binding Trusted Third Party Consortium Agreement) with ORCID Inc.

The Governance Framework

7. The obligations of ORCID, Consortium Leader and Consortium Member are outlined in Non-binding Trusted Third Party Consortium Agreement.

8. A governance body will be established and meet face-to-face annually. Supplementary online meetings will also be held as required. The role of the governance body is to provide the decision mechanism for the Consortium to operate effectively and sustainably into the future.⁷ The governance body will include:

⁴ Jisc ORCID Consortium membership consultation <https://www.jisc-collections.ac.uk/ORCID-consultation/>

⁵ ORCID website membership information <https://orcid.org/about/membership>

⁶ See 'Institutional ORCID Implementation Options' <http://ands.org.au/discovery/orcid-implementation-options20150414.pdf> for consideration.

⁷ The Term of Reference of the governance body will be specified in full once a sufficient number of institutions are secured for the establishment of the Consortium.

- the Consortium Lead
- two elected institutional representatives from the current ORCID Working Group, to be nominated by Consortium members⁸
- an elected representative from a government funding agency to be nominated by the ARC and the NHMRC
- an elected representative at the Deputy Vice-Chancellor - Research (DVC-R) level from the university sector to be nominated by university members of the Consortium
- an elected representative from other publicly funded research organisations to be nominated by Consortium members

The Australian ORCID Advisory Group

9. Upon the establishment of the Australian ORCID Consortium, the current ORCID Working Group, together with representatives from the ARC and the NHMRC, will transition to the Australian ORCID Consortium Advisory Group. The role of the Advisory Group is to provide strategic advice to the governance body, and the Consortium more generally, to monitor and review the structure and costing of the Consortium and Consortium model and to support a broader sector wide community development. Additional members of the Advisory Group may include:

- representatives drawn from the Consortium membership to represent the views of a university, a publicly funded research organisation, or a medical research institution
- representatives of other key stakeholders in the sector as deemed appropriate by the Advisory Group

The Consortium Lead

10. The AAF is the Australian ORCID Consortium Lead. The key responsibilities of the Consortium Lead are:

- Provide administrative support to the Consortium;
- Manage and support the on boarding of Consortium members;
- Be the central technical support contact to all members; and
- Maintain Consortium documentation and technical documentation repositories.

11. The stated responsibilities and service provisions of the Consortium Lead are in accordance with the terms and conditions specified under Exhibit 2 of the ORCID Consortium Member Licence Agreement which requires the Consortium Lead to provide such technical frontline support and communications. The details of the support provision are stated in Appendix I at the end of the document.

12. To ensure that communication is effective, each Consortium member will nominate a liaison officer and a technical officer as institutional contacts for the AAF in accordance with Exhibit 1 in the ORCID Consortium Member Licence Agreement.

⁸ Once the Consortium is in “steady state”, institutional representatives will be drawn from general Consortium members.

Consortium Benefits

13. As part of a Consortium, all member institutions will have access to full features of premium ORCID membership for a substantially reduced fee. Premium membership is the highest level of ORCID membership and also comes with more hands-on technical support. The main features of Consortium premium membership include:

- access to dedicated, ORCID trained, technical support staff from the Consortium Lead;
- access to on boarding webinars and other online resources such as FAQs, technical documentation, and training materials provided by the Consortium Lead in collaboration with ORCID;
- access to, and participation in, a growing national and international community in the development of best practices, knowledge and skills in research management, including:
 - engagement with the ORCID organisation to ensure that Consortium ORCID integrations are in accordance with ORCID guidance and stated good-practice;
 - sharing of plans and coordination of implementation activities among Consortium members;
 - contribution to Consortium liaison between the Australian ORCID user community and the ORCID organisation ensuring that the Australian community's interests are represented and that feedback is provided via appropriate channels to fuel improvement and innovation;
- the use of ORCID integration across multiple enterprise systems (e.g. Grants Management System, Institutional Repository, HDR System, HR, Researcher Profile System etc.). This supports the use of ORCID across the entire spectrum of research management processes and activities;
- the use of ORCID in vendor-hosted systems (e.g. Symplectic) as well as separate internal systems (e.g. Grant Management System);
- push notifications from ORCID when information is updated in an ORCID record connected to the organisation (e.g. receiving notice when a new publication is added to an ORCID record);
- unlimited integrated user acceptance testing in preparation for launches and releases for different enterprise systems;
- customised monthly analytics report and newsletter.

A summary of the different member categories is listed in Appendix II. A detailed APIs functionality for different membership categories is listed in Appendix III.⁹ For different institutional implementation options, the reader should consult the paper, "[Institutional ORCID Implementation Options](#)"¹⁰

14. In addition to technical support, ORCID will work with the Consortium Lead to provide a web interface for members to assist in managing questions, implementations, and communications. Through the web interface, members will be able to access examples of videos, flyers, and ORCID roll-out strategies. The Consortium members will be able to add their examples as well.

⁹ These are summaries from ORCID websites:

<http://orcid.org/about/membership>

<http://orcid.org/about/membership/comparison>

¹⁰ <http://ands.org.au/discovery/orcid-implementation-options20150414.pdf>

Community of Practice

15. Apart from administrative and technical support, development and promotion of a community of practice for the establishment and utilisation of ORCID are also critical. As the use of ORCID can permeate many aspects of research and research management, a one-size-fits-all approach is unlikely to work. A key function of the Consortium is thus to enable the community to build and share knowledge so that best practices can be evolved and diffused broadly. Community development and support of this nature may include, for instance, maintaining a website, conducting webinars, running regional and national workshops, or hosting forums and roundtables. It is important to note that effective community building on the national scale presupposes an understanding of the national research and research management environment - including both policy and regulatory contexts. ANDS and CAUL will play a key role in facilitating the development of the community. In 2016, the Consortium will continue to leverage their capabilities and resources to further this work. The Consortium will aim to host an annual ORCID forum. However, the Consortium will consider a sustainable alternative to support the long term development of the community within Australia.

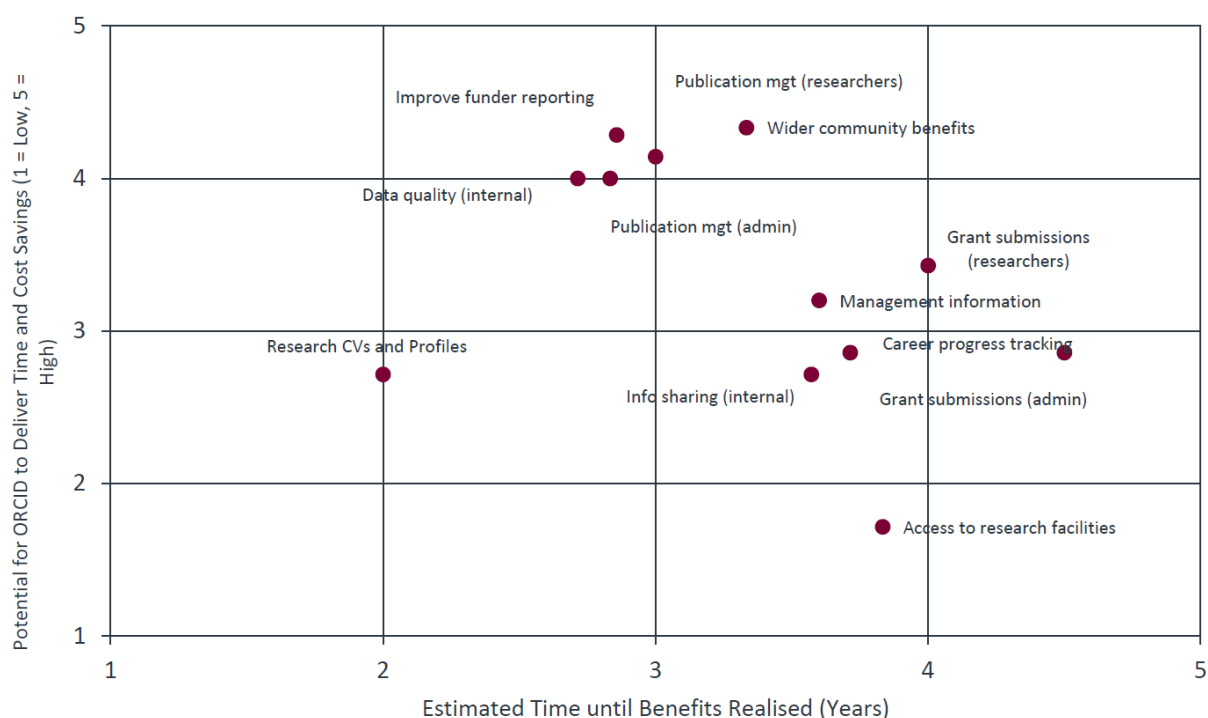
Term of the Membership

16. The Consortium requires an ongoing three-year (36 months) membership commitment which will be reviewed prior to completion of this period. In order to establish the Consortium, a minimum of 20 members (21 including the Consortium Lead) who have completed and signed the Accession Agreement is required. As the Accession Agreement covers a single year period, members will automatically be invoiced by the Consortium Lead on an annual basis during the first three years unless they provide notice (see Appendix A: ORCID Standard License Agreement, Term and Termination clause 8.2).

17. The UK's implementation pilot final report suggests that, on average, an institutional implementation requires six to nine months to complete depending on the size of the institution, the number of enterprise systems involved, and the overall implementation strategy. A three year membership term will provide members with time to undertake an implementation *and* to conduct a subsequent evaluation over this ramp up period.

18. The UK's pilot also suggests that the timescale for benefits realisation is between two to four years from the completion of implementation (see figure below). As such, membership to the Consortium should be understood as a long term investment to improve efficiency.

Figure 7: Efficiency Gains vs Timescales for Benefits Realisations



The Annual Cost

19. The Consortium will operate entirely on a cost recovery basis to serve its members. As such, membership fee will include components for

- the annual ORCID licensing (Consortium Member Fee)¹¹
- the Consortium Leader Fee (expected indexation 3% annually)

20. A requirement for the Consortium Lead is that it must be a full member of the Consortium. As such, the Consortium Lead will recover this cost. In addition, the Lead will be exempted from the support components of the membership fee.

21. There is no expectation that members must undertake implementation in the first year of membership, but members must notify the Consortium Lead in advance once an implementation decision is made.

22. The implementation support fee covers multiple implementations for a member, e.g. grant management system vs Higher Degree Research (HDR) management system for different cohorts. Members are free to choose their own implementation strategy.

¹¹ It is noted that for a group with more than 30 members, the licensing fee component decreases with increasing size of the group. This is consistent with the pricing structure set out by ORCID at <http://orcid.org/node/14>

23. In the event that the Consortium membership exceeds 29, the Consortium will seek to recruit additional members to achieve at least 34 as the licensing fee will decrease considerably according to the model.

24. The AAF will invoice each member in US Dollars (USD) for the Annual Consortium Member Fee in line with the payment terms outlined in the Agreement. The AAF will invoice each member in Australian Dollars (AUD) for the Annual Consortium Leader Fee in line with the payment terms outlined in the Agreement.

25. An institution who wishes to join the Consortium and has a current ORCID membership (directly with ORCID and not via the Consortium) will have their ORCID membership fee credited pro rata toward Consortium membership fee only, including Consortium membership fee for the subsequent year of the term. The pro rata credit will be calculated on the basis of the calendar year (Jan-Dec) and the start of the month of the Consortium membership (signing of the Agreement). If the pro rata credit exceeds the Consortium membership fee of the whole term however, a refund of the excess amount will not be issued. The support fees however will still be payable to the Consortium Lead. The Consortium Leader Fee will still be payable to the Consortium Leader regardless of their membership status.

26. Upon the establishment of the Consortium, any qualified Australian institution may join the Consortium and will be charged the membership fee and a Consortium Leader Fee on a pro rata basis from the start month of the membership until December. However, as the licensing fee structure shifts when the Consortium size exceeds 29, the Consortium reserves the right to delay new membership until additional members are recruited to achieve a Consortium size of 34.

27. The annual fees to be part of the consortium are comprised of a Consortium Member Fee and a Consortium Leader Fee as outlined below:

The Annual Consortium Member Fee (outlined in further detail in the Agreement):

- **20-29 members: USD\$ 4,000 each member**
- **30-99 members: USD\$ 135,000 / number of members**

Recovery of the Leader Membership Fee:

Item	Detail	Amount (USD)
Recovery of Leader Fee	20-29 Members	$\frac{\$4,000 \text{ USD}}{(\text{number of member} - 1)}$
	30-99 Members	$\frac{\$135,000 \text{ USD}}{(\text{number of member}) \times (\text{number of member} - 1)}$

The 2016 Annual Consortium Lead Fee per member:

Item	Detail	Amount (AUD)
Onboarding, technical and documentation support	estimated to be 90% of all support costs	\$4,725
Admin support	estimated to be 10% of all support cost	\$525
On costs (staff)	\$10,000 per FTE per annum for a consortium of size 20	\$500
Professional Fees	Recruitment, legal, accounting, insurances, bank fees, other	\$450
Community Events and Engagement	ORCID community event and engagement activities	\$300
	Total:	\$6,500

The terms and conditions of the Consortium fees are outlined in section 5. of Appendix A: ORCID Standard License Agreement. Failure to pay fees within these terms may result in the revocation of the relevant Consortium Member's membership of the consortium.

The Advisory Group will be responsible for working with the Consortium Lead in reviewing the annual costing and budget of the consortium operations. This is to ensure that the Consortium Lead does not bear the cost of any unbudgeted expenses. It is expected that the Annual Leader fee will be indexed at 3% annually.

Appendix I

The Consortium Lead will provide the support with on boarding each new Consortium member and providing ongoing Tier 1 technical support to Consortium members. The activities include:

- **Provide administrative support to the Consortium:**
 - the initial establishment of the licensing agreement (year one), the subsequent renewal (year two onwards).
 - management of the billing cycle for the collection of fees from members and the payment of licensing fees.
 - secretariat support to the governance body.
- **Manage and support the on boarding of Consortium members:**
 - manage the membership process of joining the consortium as outlined in the Consortium agreement.
 - act as the primary contact between ORCID and the members for membership enquiries.
 - organise and conduct on boarding webinars as part of an ORCID training program for members.
- **Be the central technical support contact to all members:**
 - Monday - Friday 8am-5pm AEST (exclusive of Queensland public holidays) Tier 1 ticket and issue management via the Host's Service Desk. All questions received by ORCID directly from Consortium members will be re-routed to the Consortium Lead's Service Desk.
 - manage the resolution of Tier 1 technical support incidents.
 - manage the escalation of Tier 2 support incidents with ORCID.
 - engage with ORCID to ensure that member ORCID integrations are in accordance with ORCID guidance and stated good-practice.
 - act as liaison between the Australian ORCID member community and the ORCID organisation ensuring that member interests are represented and that feedback is provided via appropriate channels to fuel improvement and innovation.
- **Maintain consortium documentation and technical documentation repositories:**
 - setup and manage a web interface to facilitate sharing of plans and coordination of implementation of members.
 - development and maintenance of documentation, FAQ, Q&A, online resources and collaboration tools for members.

ORCID will manage all Tier 2 incident resolution support. ORCID will also provide training for the Consortium Lead, including a mini course, weekly check-ins, assistance with planning on boarding webinars, and development of a consortium FAQ.

Appendix II

Benefits for different membership categories.

Member Category	Help me choose	Fees
Basic	<ul style="list-style-type: none"> • Organizations planning limited, single-system ORCID implementations • Organizations with limited data needs • Organizations that will interact with a relatively small number of researchers per month 	<ul style="list-style-type: none"> • Standard (single legal entity): US\$ 5,000 • Consortium (5 or more entities): 10% discount on standard fee per group member • Non-profit organizations are eligible for a 20% discount. • Start-up organizations are eligible for a 75% discount.
Premium	<ul style="list-style-type: none"> • Organizations that will be integrating ORCID IDs in multiple systems • Organizations that will be using ORCID IDs in vendor-hosted systems <i>and</i> separate internal systems • Organizations that have high data needs, or require frequent data dumps • Organizations interested in analytics of the interactions between their systems and ORCID • Organizations that will interact with a relatively large number of researchers per month • Organizations interested in enabling data synchronization between ORCID data and their own 	<ul style="list-style-type: none"> • Small organizations (< US\$ 200M in annual revenue or grants): US\$ 10,000 • Large organizations (> US\$ 200M in annual revenue or grants): US\$ 25,000 • Non-profit organizations are eligible for a 20% member fee discount. • Start-up organizations are eligible for a 75% discount.
Premium Consortium	<ul style="list-style-type: none"> • Groups of organizations interested in a coordinated approach to ORCID implementation • Groups of organizations interested in customized orientations, workshops, and follow-up with the ORCID staff to support integration efforts 	<ul style="list-style-type: none"> • 5-9 members: US\$ 6,000 per member • 10-19 members: US\$ 5,000 per member • 20-29 members: US\$ 4,000 per member • 30-99 members: US\$ 135,000 per consortium • 100-250 members: US\$ 200,000 per consortium

Appendix III

API functionalities for different membership categories.

	Public API	Basic Member API	Premium Member API
FREQUENCY OF ACCESS			
Data access/API rate limits <i>Limited time offer: All API levels receive Premium (best) data access limits</i>	Good	Better	Best
# INCLUDED CLIENT CREDENTIALS	1 (public)	1 (member)	5 (member)
ACCESS TO SANDBOX TEST ENVIRONMENT	✓	✓	✓
READING ORCID DATA			
Authenticated iD	✓	✓	✓
Search/retrieve public data <i>ORCID iDs & data made public by iD holders</i>	✓	✓	✓
Search public data	✓	✓	✓
Search/retrieve limited-access data <i>Subject to permissions granted by iD holders</i>		✓	✓
Public Data File access	Annually	2x annually	Monthly
Limited-access data file access <i>Subject to permissions granted by iD holders</i>		2x annually	Monthly
Update Notifications (webhooks) <i>API-based notifications when changes happen on ORCID iDs that you are watching</i>			✓
CREATING ORCID DATA <i>Limited time offer: Basic members receive premium (unlimited) creation limits</i>			
Add Works, Funding, Education and/or Employment to an ORCID record <i>Subject to permissions granted by iD holders</i>		✓	✓
Create new ORCID Records <i>Requires "creator" agreement. records may only be created for employees or affiliated students</i>		✓	✓
Ability to customize emails sent to user during new iD creation			✓
UPDATE/DELETE ORCID DATA			
Update/delete biographical data <i>Subject to permissions granted by iD holders</i>		✓	✓
Update/delete Works, Funding, Education and/or Employment on an ORCID record <i>ONLY available for data originally added by your application via the API. Subject to permissions granted by iD holders</i>		✓	✓

SUPPORT			
Knowledge base including technical documentation, tutorials, and reference documents	✓	✓	✓
Use cases, best practices, sample communications	✓	✓	✓
Membership in the API Users listserv	✓	✓	✓
Invitations to public events hosted by ORCID	✓	✓	✓
Email support for API usage and general questions for each set of credentials used		✓	✓ <i>(priority queue)</i>
Webinar-style orientation meeting / support call to aid in integration and development		1	Up to 2 per month
Integrated user acceptance testing in preparation for launches and releases		up to 4x/yr	Unlimited
OTHER BENEFITS			
ORCID Newsletter		2x annually	Monthly
Analytics Reports		2x annually (general)	Monthly (personalized)
May submit nominations for ORCID Board		✓	✓