Jisc ORCID Pilot at the University of Southampton

Summary Report

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Executive summary

A University of Southampton ORCID registration service has been established. Based on input from the Legal Services team, the model adopted is 'create or link' i.e. a University of Southampton employee can generate a new ORCID or associate their affiliation to an existing one. The service has been tested by a select group of academics ranging from different departments across the institution. Feedback was positive and enables the team to move forward to promote ORCID adoption more strongly and begin to embed the identifier into a range of institutional systems. The service is now live and is being promoted – notably by a banner message on the login screen of the institutional portal system (Sussed).

Outputs

Our key output was the 'Southampton ORCID site' - this allows all staff and students to create an ORCID (pre-populating the ORCID template) or link an existing one (both of these use the Orcid API). This creates a table of staff/student numbers and the associated ORCID iD, stored in MULE[1]. The latter will enable other university systems to rapidly lookup any associated ORCID for a staff/student number.

In order to gather feedback on a pilot service, selected academics from departments in each of the universities Faculties were approached. The responses were unanimous in saying that the service was simple and easy to use and presented no technical barriers. The service was therefore deemed appropriate for wider use and a marketing strategy adopted.

We used a planned and integrated communications approach - this used a range of mechanisms including specific departmental contacts, meetings with research groups, the University blog[2] / portal, twitter and training events for staff and students on open access. The latter included the library contribution to the Postgraduate Certificate in Academic Practice (PCAP)3. This is a key training programme for new staff in teaching, we recognise that researchers have a number of roles, and there are cross benefits and synergies e.g. supervision of PhD students.

Details of the number of staff registering with the service are below. Note the departments with the highest numbers are those we worked with in the pilot. We would recommend this approach, which has raised engagement with this initiative.

Department	Number
Biological Sciences	1
Chemistry	15
Education	2
Electronics and Computer Science	16
Engineering and the Environment	4
Geography and Environment	13
Health Sciences	12
iSolutions (IT)	2

1 "Mule (Software).", Wikipedia, http://en.wikipedia.org/wiki/Mule_%28software%29.
2 Isobel Stark, "Getting the Message Out," *Adaptation (blog),* 2015, http://blog.soton.ac.uk/orcid/2015/01/23/getting-the-message-out.
3 Institute for Learning Innovation and Development, "Postgraduate Certificate in Academic Practice (Pcap)," University of Southampton, http://www.southampton.ac.uk/pdu/Academic%20Practice/Teaching%20&%20Learning/PCAP.

Department	Number
Library	4
Mathematical Sciences	1
Medicine	26
Modern Languages	1
Optoelectronics Research Centre	1
Psychology	4
Social Sciences	2
Grand Total	**104**

We have also released the associated code on Github. There is also an 'FAQs and Support' webpage on our Library's information gateway on LibGuides@Southampton[4]. This platform will allow library staff to quickly edit this content when required, and integrate it effectively with the rest of our research support content. We will iterate this content based on feedback with the academic community.

Finally we have our reporting – through our blog and this report. In order to enhance preservation and demonstrate good data management practice content from our blog will be archived on our institutional repository under a Creative Commons Attribution license.

Table of outputs

Title	URL	Description
Jisc ORCID Pilot at the University of Southampton - Summary Report	http://eprints.soton.ac.uk/373527	This report, archived on our institutional repository.
Southampton ORCID site	https://orcid.soton.ac.uk	Allows students and staff to register for an ORCID and link it to the University of Southampton.
Southampton ORCID - FAQs and Support	http://library.soton.ac.uk/orcid	The FAQs and supporting information for the

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4 "LibGuides@Southampton," University of Southampton Library, http://library.soton.ac.uk.

Title	URL	Description
		Southampton ORCID site
Southampton ORCID site (code)	https://github.com/cgutteridge/southamptonOrcid	Code the Southampton ORCID site on Github
ORCID Pilot at the University of Southampton Blog	https://blog.soton.ac.uk/orcid	Blog for the JISC ORCID Pilot at the University of Southampton
ORCID Pilot at the University of Southampton Blog Archive	http://eprints.soton.ac.uk/373716	An archive of our blog in our institutional repository for enhanced preservation.

Technical summary

Our approach requires minimal implementation, and does not send any information to ORCID (beyond the minimum requirements). Users are fully in control of what data is added to their ORCID account.

We are exploring what priorities and needs there are for data transfer with our academic community, and working with our open-data experts on issues relating to open data and bespoke APIs.

Also the recent developments allowing long-lived permissions within the ORCID API has made transferring publication data more viable (i.e. users would not need to manually initiate synchronisation between the Repository/CRIS and ORCID).

Key features include:

- PHP + MySQL implementation.
- Authenticates against university accounts.
- Uses unauthenticated proxied ajax + json API call to get basic info for a user to check their ORCID is correctly linked.
- Code is released on Github (https://github.com/cgutteridge/southamptonOrcid).
- Work still in progress to use SouthamptonID : OrcidID map for:

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5 "Orcid Api Enabling Automatic Updates October 2014," ORCID, http://support.orcid.org/knowledgebase/articles/431071.

o Adding to EPrints publications metadata

o Querying Open Data service (data.soton.ac.uk)

o Reminding people who do not have an ORCID (via a notification on our intranet)

Lessons Learnt

Our key lessons learn were identified in a post on our blog[6] along with key benefits[7].

The key areas of success (and where we would recommend others to follow) relate to good early engagement with stakeholders. This was partly achieved through the process of preparing the application for funding. Key stakeholders from the Library, IT, Research and Innovation Services were engaged avoiding early delay in obtaining permission. Also early engagement within the project of our Legal Services department avoided delay and focused our development on areas within our contractual and legal obligations.

Learning from other institutions was also critical, especially in the production of FAQs and websites. In particular we used information from Chalmers University of Technology (publicised at the Open Repositories Conference[8] - there was also an interesting presentation on this topic the previous year[9]) and the University of Oxford. This was enabled by the Jisc-ARMA ORCID pilot progress workshop(s) and information available on the ORCID website.

We did have an advantage in engagement of researchers through our academic lead/PI, and good contacts via library staff. However since the key technical work took longer than expected, the academic engagement will be extended significantly beyond the end of the formal project. E.g. a university wide soft launch via an range of activities as part of our communications approach including the University blog[10] and portal only happened very recently. Now the service is underway, we will continue with further promotion based on feedback from the academic community.

Some of our technical issues partly relate to discussions around the procurement and implementation of our new CRIS. I.e. ensuring development would interface with both our ePrints repository and the new CRIS. On a positive note developments by major CRIS suppliers and EPrints should enable significant benefits to our users.

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6 Michael Whitton, "Important Lessons Learned," *Adaptation (blog),* 2015, http://blog.soton.ac.uk/orcid/2015/01/21/important-lessons-learned.
7 Michael Whitton, "Benefits of the Southampton Approach," *Adaptation (blog),* 2015, http://blog.soton.ac.uk/orcid/2015/01/21/benefits-of-the-southampton-approach.
8 Urban Andersson, Martina Ramstedt, and Susanne Hansson, "Orcid – Membership and Implementation at Chalmers University of Technology," *Poster at Open Repositories 2014, Helsinki, Finland,* 2014, http://www.doria.fi/handle/10024/97705?show=full.
9 Pablo de Castro and Simeon Warner, "Orcid Implementation in Open Access Repositories and Institutional Research Information Management Systems," *Open Repositories 2013*, http://www.slideshare.net/simeonwarner/or13-orcid-integration.
10 Isobel Stark, "Southampton Open Researcher & Contributor Id (Orcid) Now Live," *University of Southampton's Noticeboard (blog),* 2015, https://isoton.wordpress.com/2015/01/20/southampton-open-researcher-contributor-id-orcid-now-live.

Opportunities and Possibilities

With the implementation of our new CRIS, we will have the potential to deliver significant benefits. For example alerting of publications missing from the repository, and more automated author disambiguation. Also for those staff who want to maintain publications on their ORCID 'profile', this could be much easier and less time consuming.

Following our first steps we also see great potential from links to the equipment.data[11] service, through linking publication and data records to the equipment used (which all have URIs). This (and potential linkage of grant applications to equipment in Je-S[12]) would enable demonstration of the value and impact of expensive research equipment and facilities. Harvesting across multiple systems would require unique identifiers for authors (ORCID), publications (DOIs, etc.) and equipment (Equipment.Data URIs).

Other future applications we foresee include improved automated CVs for researchers and applying ORCID iDs to other types of outputs including esteem indicators and other measures of impact. They also have the potential to improve bibliometrics and altmetrics services through better author disambiguation.

These developments should help us better explain the benefits and encourage much greater uptake. We also see potential via the proposal for the Jisc Research Data Spring initiative to register DOIs for PhD theses across a number of universities, including East London, Leeds and Southampton[13]. There is significant potential to encourage take up to research postgraduates in embedding within university processes e.g. the PhD submission process. Other key areas for promotion include library training activities e.g. those on eTheses and Open Access.

We recognise this can be a "difficult sell" where limited funders and publishers in a discipline have implemented ORCID e.g. the humanities. We would be happy to work with publishers in this area, to help services meet academic and sector needs (e.g. in relation to the REF).

A key area for development in the sector is the DCC pilot research data registry – ORCID identifiers would be of great benefit to a service aggregating data across a wide range of repositories. We will link

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11 "Equipment.Data: Enabling Access to Uk He Research Equipment," http://equipment.data.ac.uk.
12 "Joint Electronic Submissions System (Je-S)," https://je-s.rcuk.ac.uk.
13 Stephen Grace et al., "Unlocking the Uk's Thesis Data through Persistent Identifiers," *Research at risk: Research Data Spring,* 2015, http://researchatrisk.ideascale.com/a/dtd/Unlocking-the-UK%E2%80%99s-thesis-data-through-persistent-identifiers/101964-31525

into this service and actively contribute towards including ORCID identifiers in our data submission. Significant benefits for the whole sector would be realised by the national data centres (UK Data Archive, etc.) adopting ORCID identifiers.

Pending the next stage of RCUK development, we will engage with capabilities provided to export publications from our Repository to ResearchFish. This has great potential to reduce the administration burden on our academics and we want to maximise data exchange with funders and other similar bodies.

The University of Southampton would support the formation of a national ORCID membership consortium though Jisc, and would intend to join. This has the potential to reduce ongoing costs, and enable more effective development via all institutions having the benefits of premium membership.

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