

ORCID @ CMU

Why ORCID?

ORCID stands for Open Researcher and Contributor ID. Worldwide, universities are increasingly integrating ORCID into campus systems and workflows. Publishers and funders are increasingly **requesting** ORCID IDs with manuscript and grant submissions. The Wellcome Trust will begin **requiring** ORCID IDs in August 2015. Other funders are expected to swiftly follow their lead. Publishers are eager to require ORCID IDs, but must first assuage editor concerns that the requirement could discourage submissions.

Why ORCID? Because ORCID IDs uniquely and persistently identify researchers and, being non-proprietary and platform independent, enable automated linkages between researchers, their collaborators, institutions, funders, and research products, including publications, datasets, scholarly blogs, and peer reviews. Widespread adoption and integration of ORCID IDs into scholarly communication workflows throughout the ecosystem will help transform research management, improve data quality and exchange, and have a positive impact on the research profiles of individuals and institutions. ORCID supports needed interoperability, innovation and efficiency. For example, if an author has an ORCID ID and has entered key information into her ORCID profile, Nature Publishing Group and Biomed Central enable ORCID to prepopulate the author's information in the manuscript submission system.

Why ORCID @ CMU?

ORCID @ CMU has two goals:

- To ensure that CMU researchers have an ORCID ID, in preparation for requests or requirements from publishers and funders, and
- To ensure that CMU units that want to integrate ORCID IDs into their workflows have easy access to the authenticated ORCID IDs of CMU researchers.

To achieve these goals, Carnegie Mellon University joined ORCID. CMU Libraries, working with the ORCID API, developed the ORCID @ CMU web application available at <https://orcid.library.cmu.edu/>. The web app helps CMU researchers create an ORCID ID if they don't have one, fetches their ORCID ID from the ORCID registry if they already have one, and in both cases links their ORCID ID with their Andrew ID in CMU's identity management system, where it can be harvested by CMU units (with appropriate permissions) for various purposes. For example, the Office of Research plans to integrate

CMU researcher ORCID IDs into the Sponsored Programs and Research Compliance System (SPARCS) to facilitate communication with research sponsors. The University Libraries plans to integrate ORCID IDs into the new repository platform for Research Showcase @ CMU (<http://repository.cmu.edu>) to facilitate discovery of CMU work in the repository.

Participation in ORCID @ CMU is voluntary, but strongly encouraged because of the many benefits that will accrue from widespread adoption by the various stakeholders in scholarly communication.

ORCID @ CMU Pilot and Push

ORCID @ CMU launched fall semester 2014 with a CIT pilot project. A total of 429 faculty, staff, and post-docs – designated by CIT – were invited to participate in the pilot. Most (95%) of those invited were CIT researchers; the others were CMU researchers who presumably collaborate with CIT researchers. Graduate students were not included in the pilot because we were still investigating the implications of the Family Educational Rights and Privacy Act (FERPA). Email from Gary Fedder, CIT Associate Dean for Research, launched the pilot November 11, 2014. Reminder messages were sent to those who had not yet participated by liaison librarian Lynn Berard two weeks after the launch and by Gary Fedder three weeks later.

In January 2015, we learned that Curtis Meyer, MCS Associate Dean for Faculty and Graduate Affairs, was encouraging MCS researchers to get an ORCID ID. Starting with the Physics Department, he planned to systematically campaign through the other MCS departments. We immediately informed him about the ORCID @ CMU web application and urged him to have MCS researchers use it. The response was swift, with many MCS researchers using the web app prior to the university-wide launch.

ORCID @ CMU launched university wide March 7, 2015. Email from President Suresh and Provost Jahanian (then VP for Research) invited all CMU faculty members who had not participated in the pilot and all CMU graduate students to participate. The email to faculty encouraged them to forward the invitation to research staff, post-docs, and any undergraduate students working on significant projects. The email to graduate students advised those who had restricted access to their information in CMU's online directory to contact Denise Troll Covey, Scholarly Communications Librarian. The ORCID @ CMU web app queries the online directory and, for students who have restricted access to their directory information, displays a message instructing them to contact Denise Troll Covey.¹ Catherine Copetas, SCS Assistant Dean, sent reminder messages to SCS faculty and graduate students roughly a week after the launch. Three weeks after the launch, the Deans sent a reminder message to their faculty, and Gina Casalegno, Dean of Student

¹ Students who protect their identity information in the CMU Directory should understand that if they create an ORCID ID, their ORCID ID and name will be publicly accessible in the ORCID Registry, and any other information they enter into their ORCID profile will -- by default -- be publicly accessible in the Registry unless or until they restrict access to it. If these students want an ORCID ID, they can register for one at orcid.org, then use the ORCID @ CMU web app to link their ORCID ID with their Andrew ID in CMU's identity management system.

Affairs, and Keith Webster, Dean of CMU Libraries, sent a reminder message to the graduate students.

Assessing the Success of ORCID @ CMU

Two issues complicate gauging the success of ORCID @ CMU. First, the relevance of an ORCID ID to faculty and graduate students varies depending on their career path. Having an ORCID ID is likely more important for tenure- and research-track faculty than teaching-track faculty, instructors, and performance artists. Similarly, having an ORCID ID is likely more important for doctoral students and students in research-oriented master's degree programs than students in professional master's degree programs. These disparities no doubt – and understandably – affected participation.

Second, we do not know who was invited to participate in the university-wide initiative spring 2015. We were not granted access to the distribution lists used to send the invitations. We know only that email invitations were sent to 1,564 faculty and 5,258 graduate students.

Beyond CMU, the success of ORCID depends on widespread adoption and engagement. In November 2014, the number of researchers worldwide with an ORCID ID exceeded one million. The number of organizations, including universities, publishers, funders, and system developers, integrating ORCID into their workflows is substantial and increasing. Full realization of the benefits of ORCID is contingent not just on researchers having an ORCID ID, but on their having provided information about their education, employment, funding and works in their ORCID profile record.

About this Report

With the exception of these introductory remarks, this report consists of graphical presentations of the data on participation in ORCID @ CMU from the launch of the CIT pilot fall semester 2014 through May 31, 2015. It provides an overview of participation throughout the university, and a more detailed look at participation by department or center in each college or school that has designated departments or centers in the CMU Factbook 2014-2015.² The presentation on participation in Heinz College and Tepper School of Business is different because of the lack of designated departments or centers in the Factbook.

The report graphics show participation by status (e.g., faculty, staff, post-doc, graduate student) and what the participants did. The actions are indicated as:

- **Created and claimed** – Participants used the ORCID @ CMU web app to create an ORCID ID and associate it with their Andrew ID in CMU's identity management system. They also took ownership of their ORCID profile record by claiming their ORCID ID in response to email from ORCID.

² The CMU Factbook 2014-2015 is available at <http://www.cmu.edu/ira/factbook/facts2015.html>.

- **Created not claimed** – Participants used the ORCID @ CMU web app to create an ORCID ID and associate it with their Andrew ID in the identity management system, but they did not claim their ORCID to take ownership of their ORCID profile record.
- **Create incomplete** – Participants started using the web app to create an ORCID ID, but did not complete the transaction.³
- **Linked** – Participants used the web app to associate a pre-existing ORCID ID with their Andrew ID in CMU's identity management system.

Indications of the percentage of faculty and graduate student participation per department are estimates based on data from the CMU Factbook 2014-2015. Note that the scales on the graphs differ across colleges because of the significantly different levels of participation.

The report also includes data on participants' ORCID profiles.⁴ Roughly half of the participants have entered no information into their ORCID profile. Perhaps they will over time, but in the meantime, this lack of engagement is obstructing, for example, plans to automatically generate CVs or annual reports from ORCID data and efforts by developers to use ORCID data to increase efficiency and impact.

Next Steps

ORCID @ CMU is ongoing. Your support and engagement will be much appreciated as we:

- Integrate use of the ORCID @ CMU web application into the onboarding process for new faculty and graduate students via orientations and onboarding checklists available on the web.
- Continue the campaign to get current faculty and graduate students to use the ORCID @ CMU web app. We know that some CMU researchers have an ORCID ID, but have not used the web app to link their ORCID ID with their Andrew ID in CMU's identity management system.
- Endeavor to get CMU researchers to
 - Complete their ORCID profile records, which hinges on their understanding that ORCID is more than simply another profile service, and
 - Encourage developers of tools they use to integrate ORCID into these tools, e.g., ResearchGate.
- Explore next steps for integrating ORCID IDs into CMU systems.

³ These researchers will be contacted in the near future and encouraged to claim their ORCID ID or to use the ORCID @ CMU web app again and complete the transaction.

⁴ With the exception of CFA, where all participant profiles were examined, the ORCID profile data in this report are based on statistically valid random samples per college. Sample sizes were determined using the Sample Size Calculator at <http://www.surveysystem.com/sscalc.htm> with a confidence level of 95% and confidence interval of 10. Participants per college were sequentially numbered and selected for inclusion in the sample using the Random Integer Generator at <http://random.org>. The sample sizes are indicated in the report.

ORCID @ CMU

Lessons learned from our experience with ORCID @ CMU and further details not included in this report will be discussed in a forthcoming article.

If you have questions about this report or want more information, please contact

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ORCID Team:

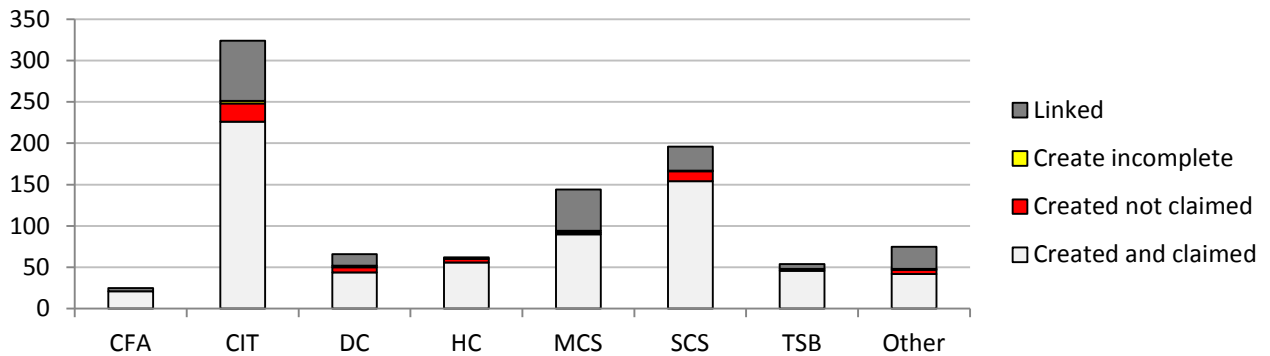
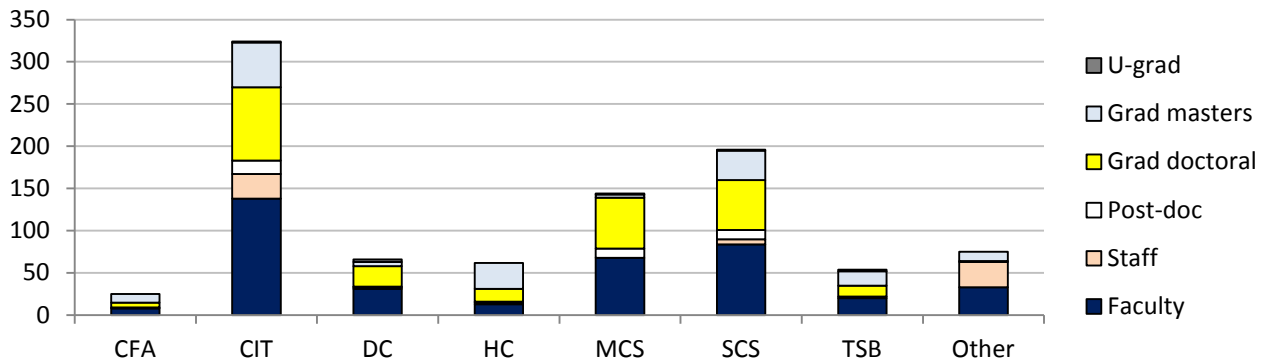
University Libraries
Lynn Berard – Liaison Librarian
Chris Kellen – Developer
Gabrielle Michalek – Director, Scholarly Publishing, Archives, and Data Services

Computing Services
Doug Blair – IT Consulting Engineer
Michael Gettes – Assistant Director for Identity Services

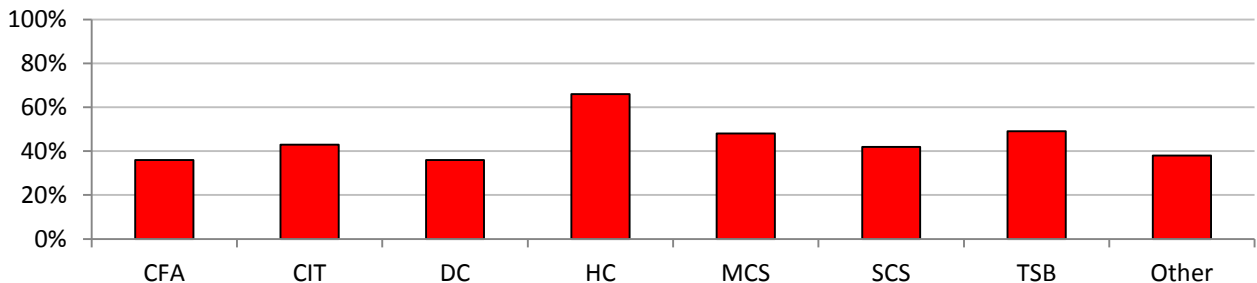
CARNEGIE MELLON UNIVERSITY

Overall: 946 participants

	TOTAL	
Faculty	395	42%
Staff	69	7%
Post-doc	44	5%
Grad doctoral	264	28%
Grad masters	166	18%
U-grad	8	1%
TOTAL	946	100%

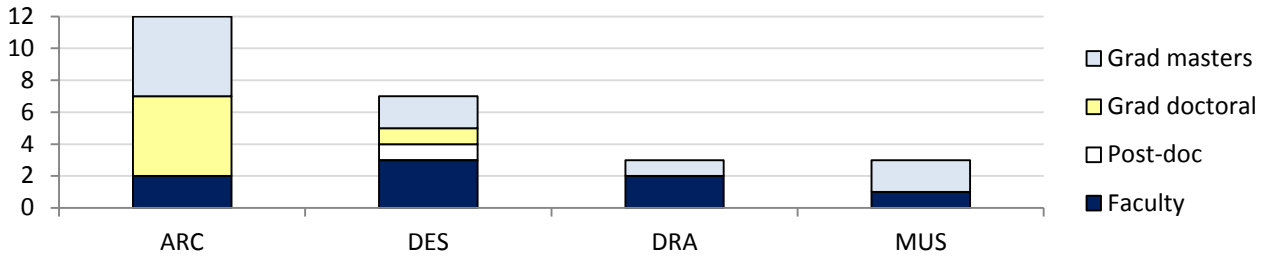


No information entered into ORCID profile

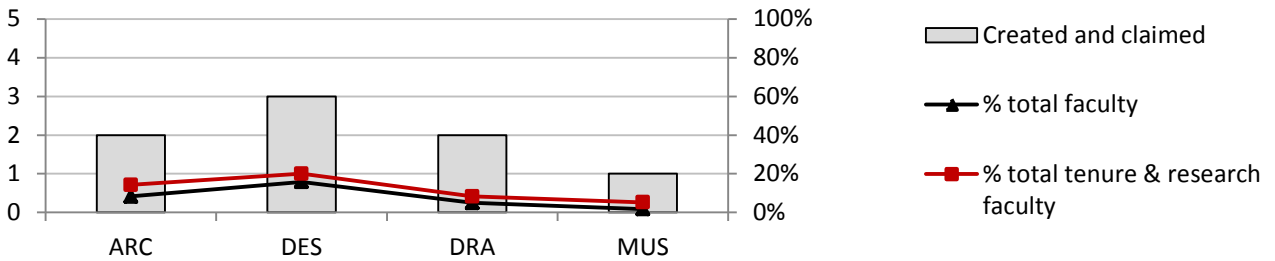


COLLEGE OF FINE ARTS

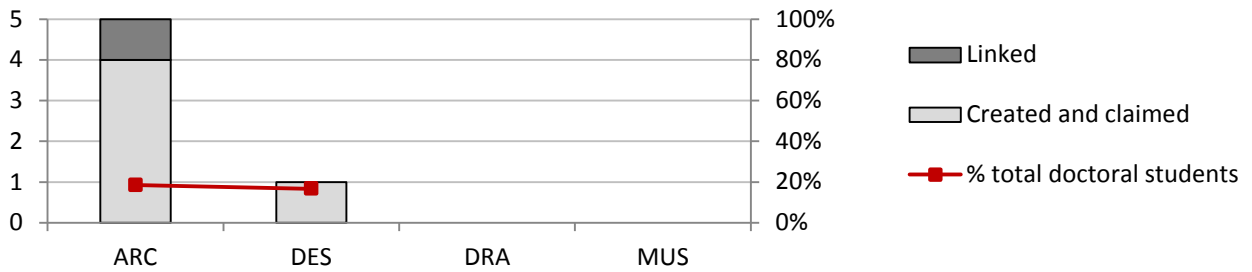
Overall: 25 participants



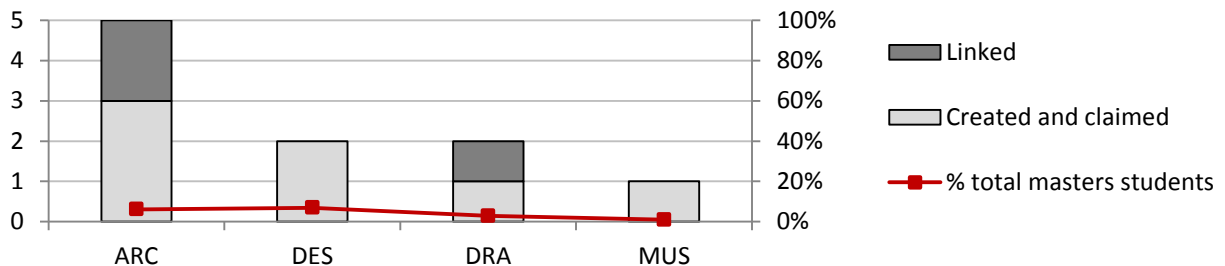
Faculty: 8 participants



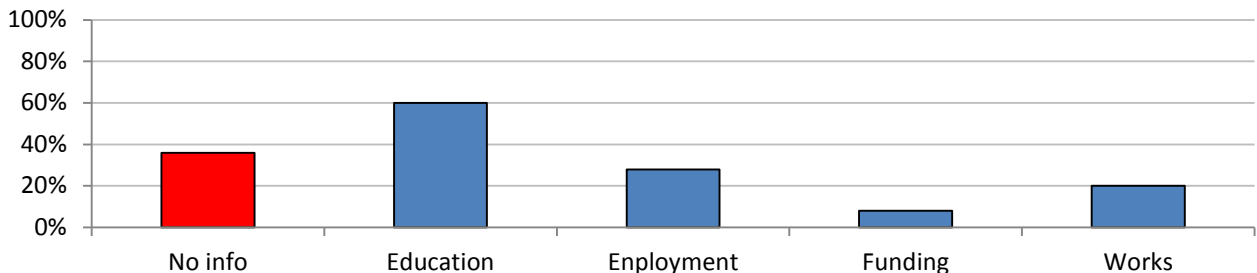
Doctoral students: 6 participants



Master's degree students: 10 participants

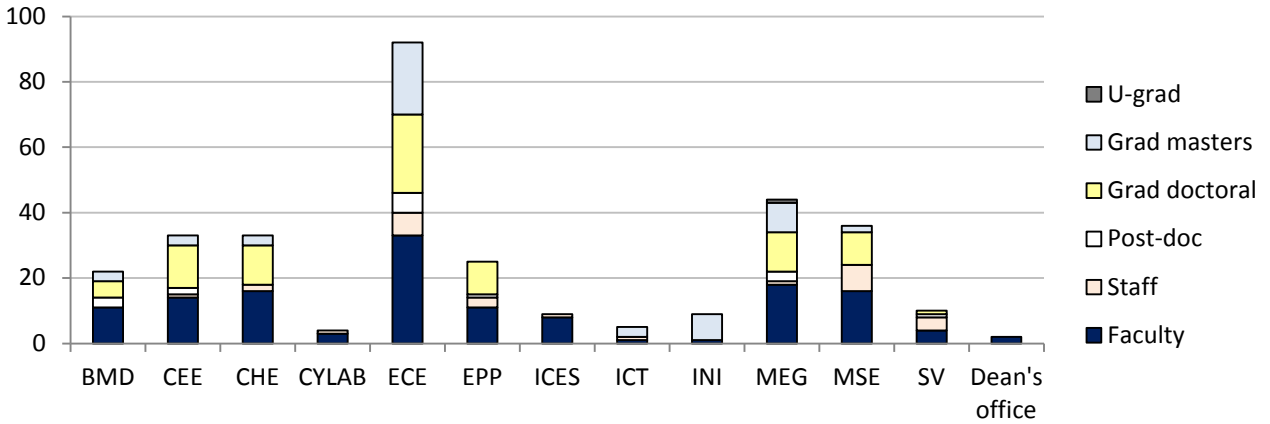


Information entered into ORCID profiles: examined all 25 participant profiles



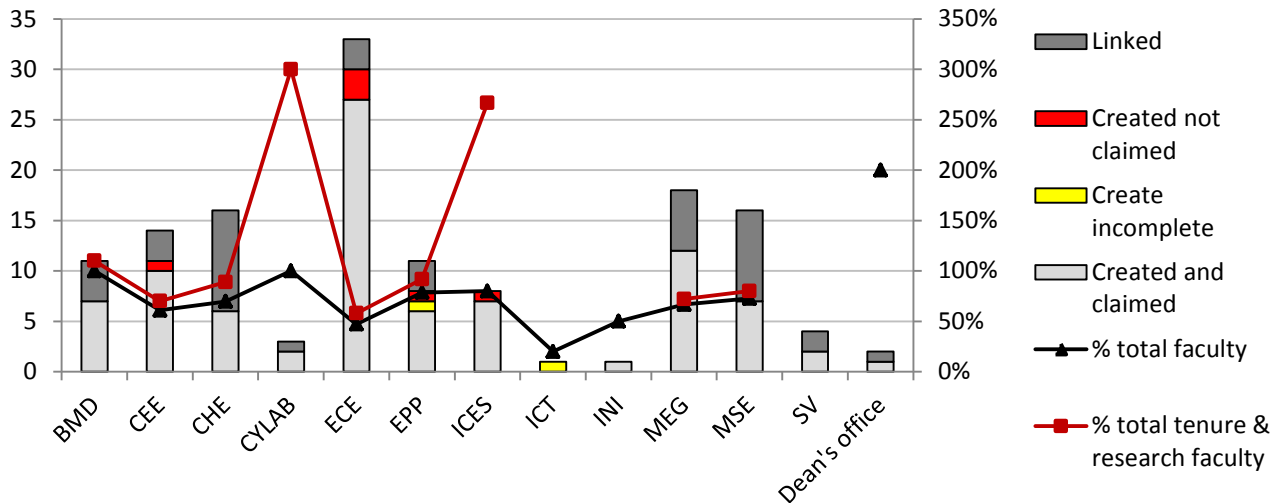
COLLEGE OF ENGINEERING

Overall: 324 participants

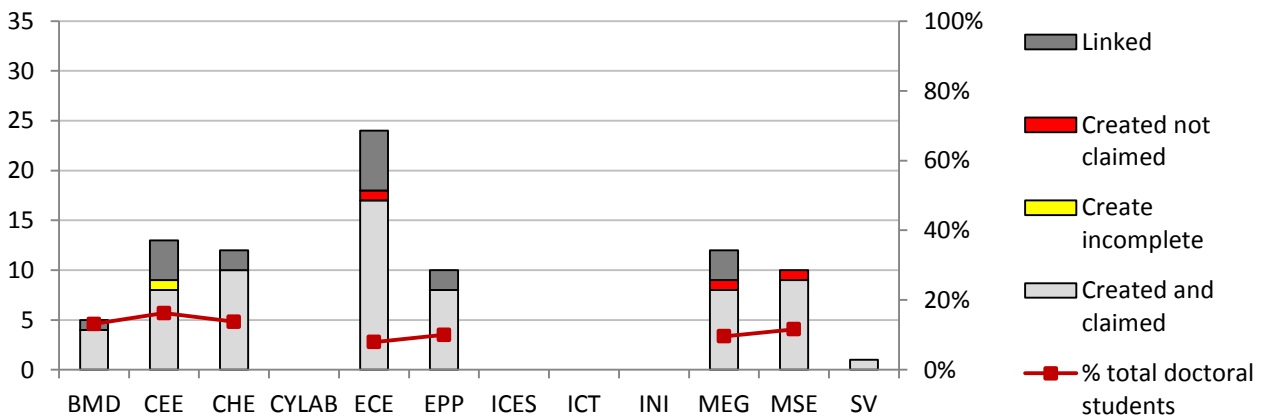


Faculty: 138 participants

Note: In some cases the percentages exceed 100%, presumably because some units now have more faculty than indicated in the CMU Factbook 2014-2015.

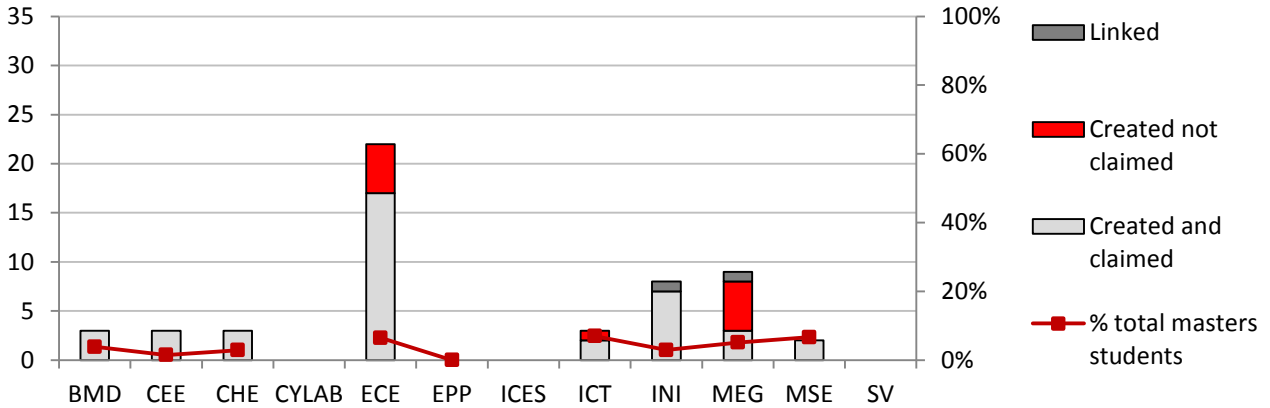


Doctoral students: 87 participants

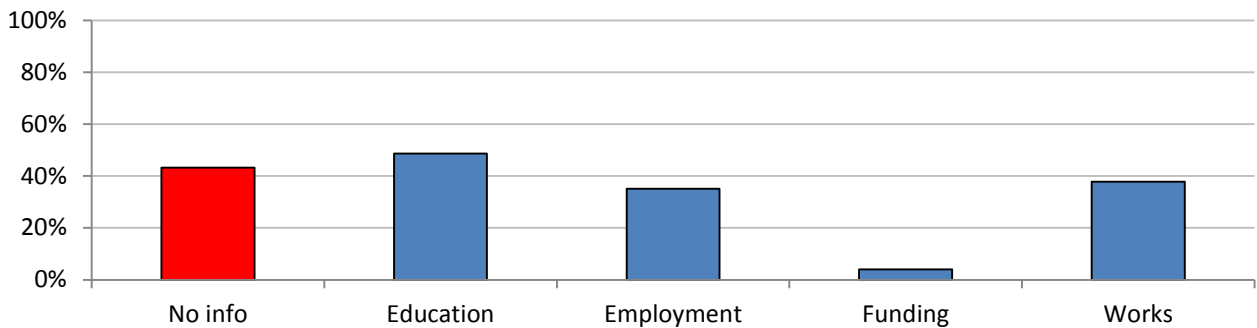


COLLEGE OF ENGINEERING continued

Master's degree students: 53 participants

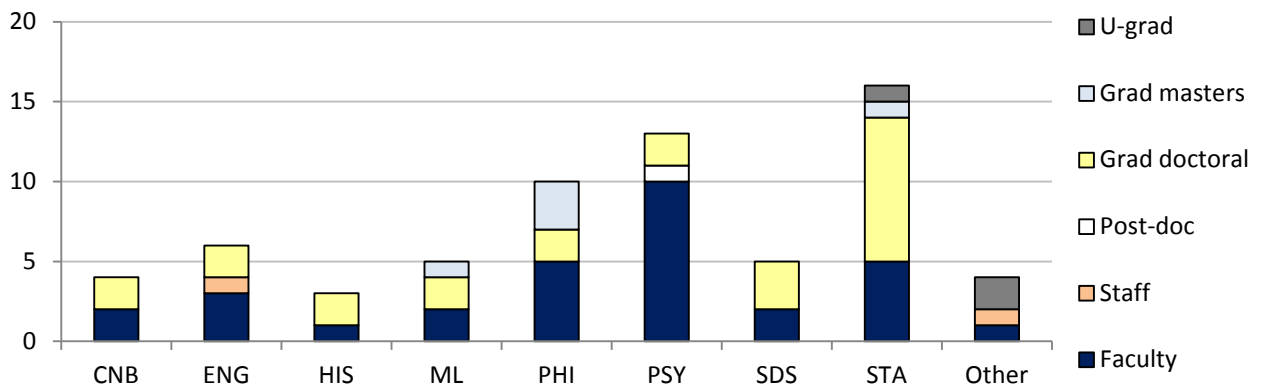


Information entered into ORCID profiles: random sample of 74 profiles examined



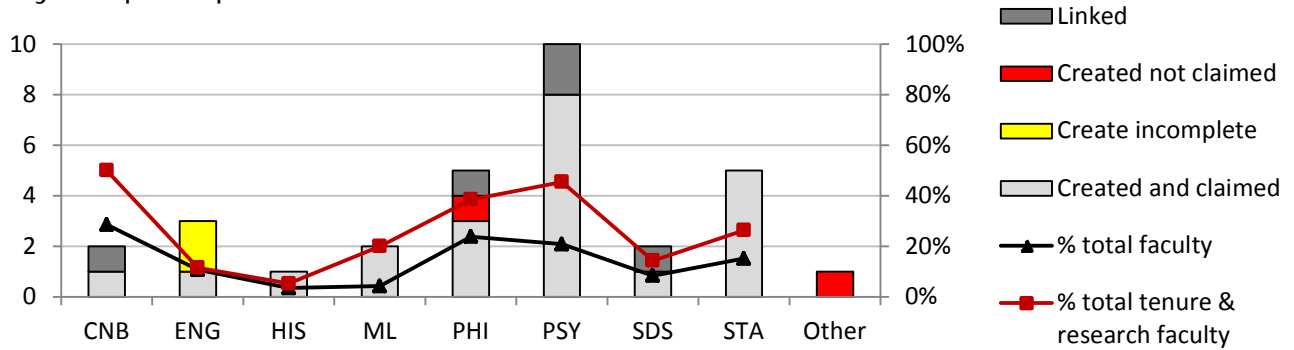
DIETRICH COLLEGE

Overall: 66 participants

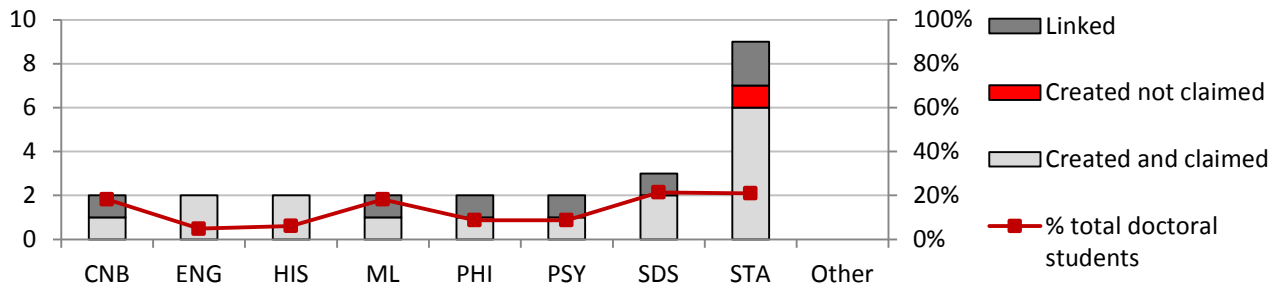


DIETRICH COLLEGE continued

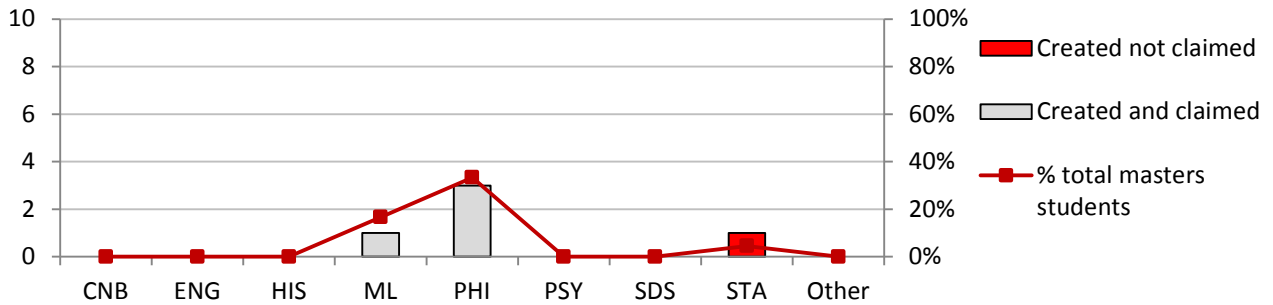
Faculty: 31 participants



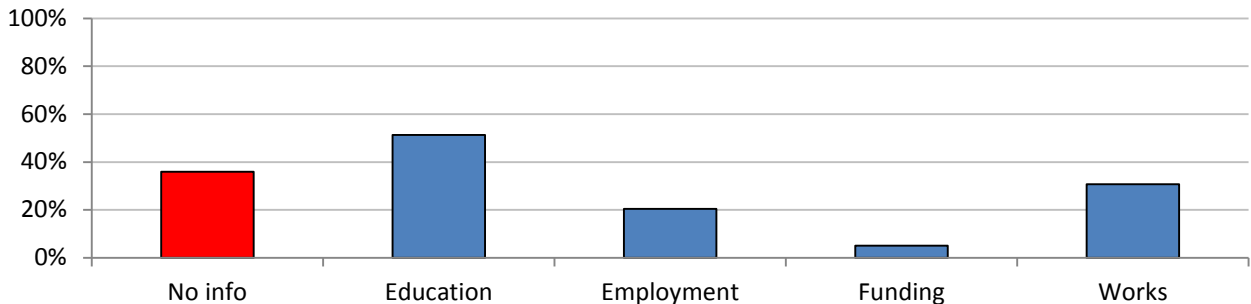
Doctoral students: 24 participants



Master's degree students: 5 participants

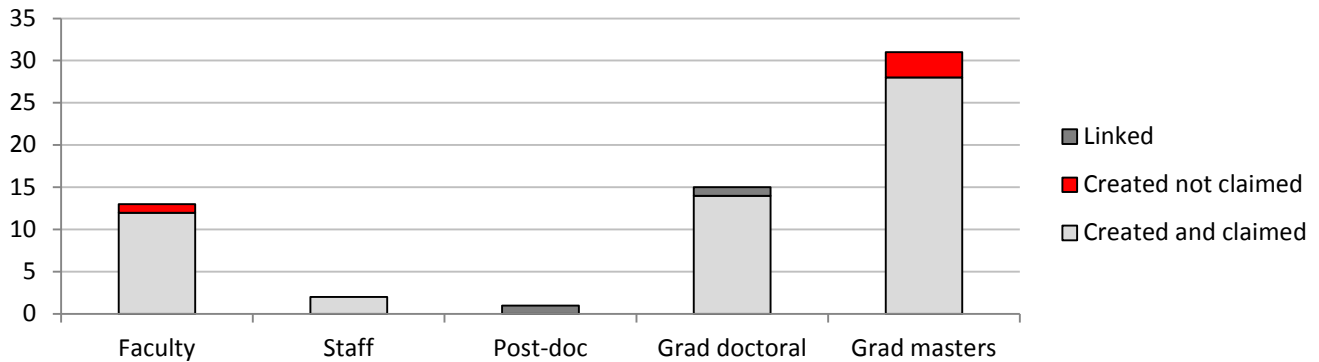


Information entered into ORCID profiles: random sample of 39 profiles examined



HEINZ COLLEGE

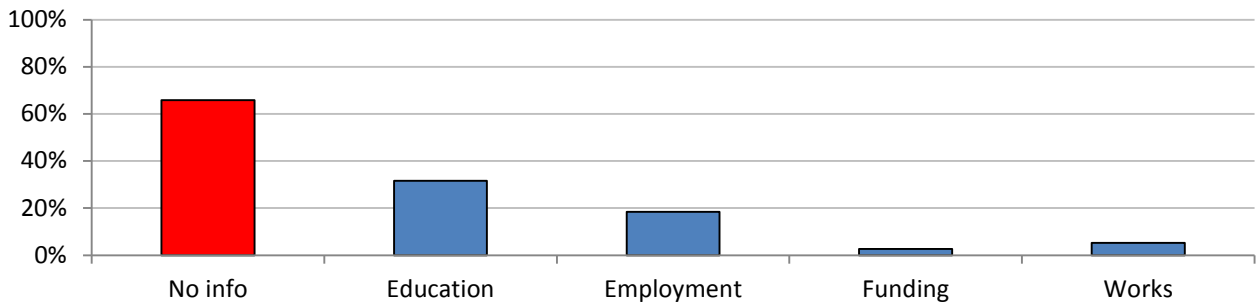
Overall: 62 participants



Totals	Factbook	Participants
Faculty	69	13
Tenure & research faculty	31	
Post-docs		1
Staff		2
Doctoral students	56	15
Masters students	1,356	31

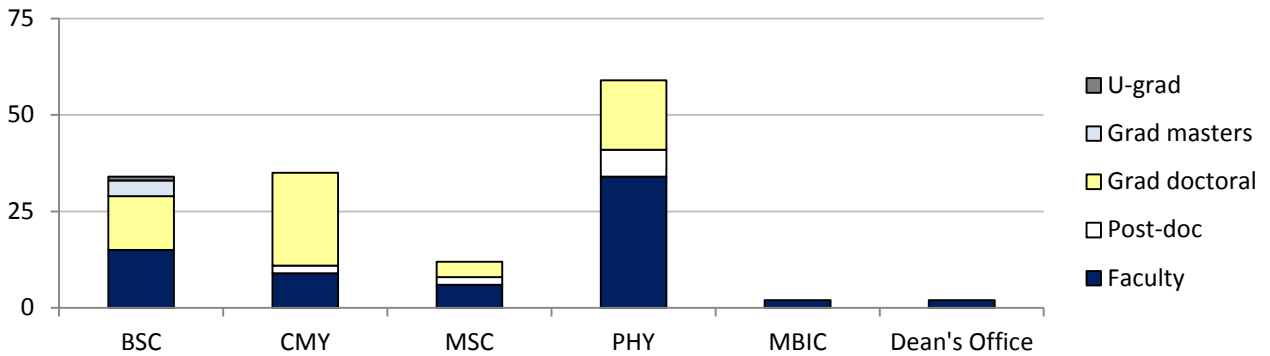
Participant estimates	
% total faculty	19%
% tenure & research faculty	42%
% total doctoral students	27%
% total masters students	2%

Information entered into ORCID profiles: random sample of 38 profiles examined

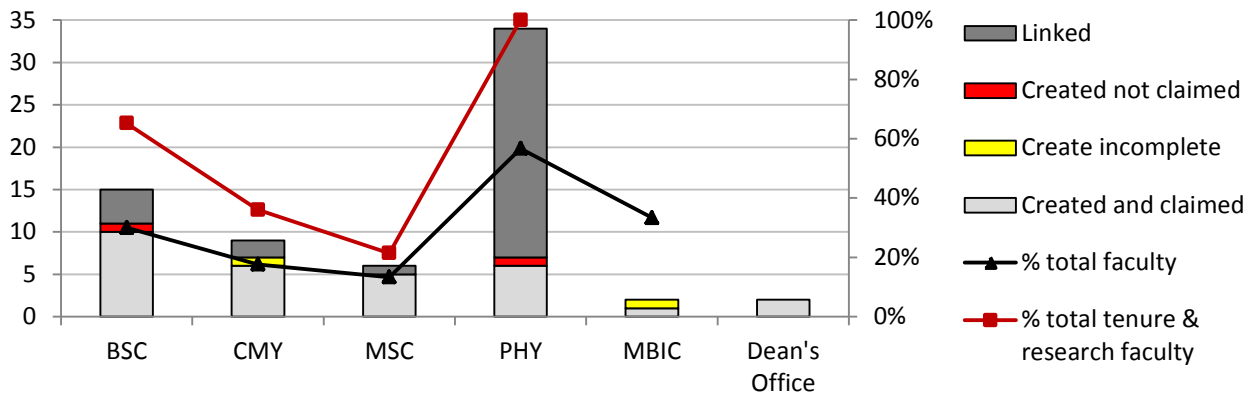


MELLON COLLEGE OF SCIENCE

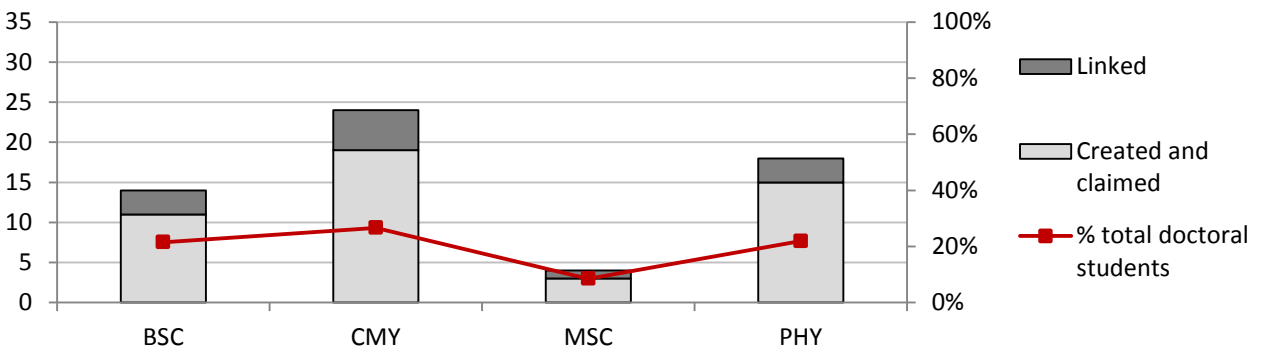
Overall: 144 participants



Faculty: 68 participants

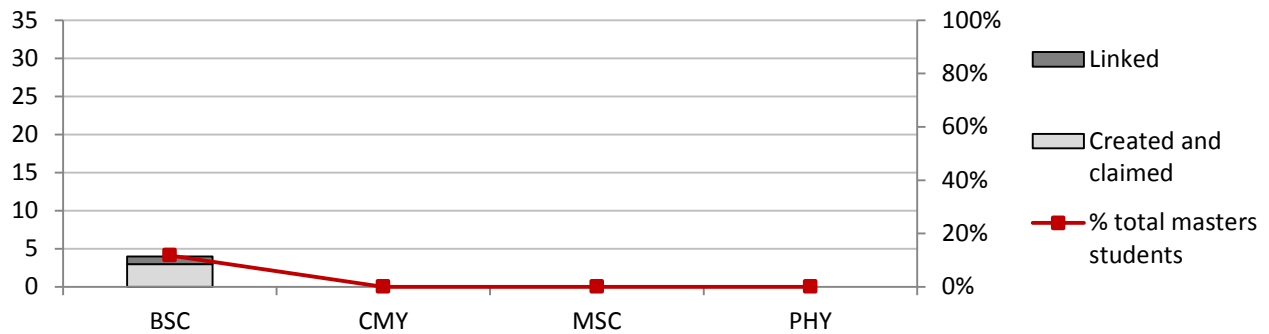


Doctoral students: 60 participants

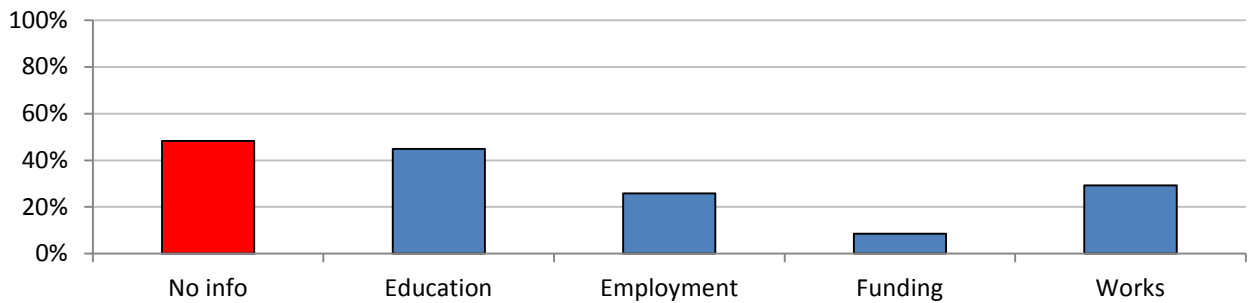


MELLON COLLEGE OF SCIENCE continued

Master's degree students: 4 participants

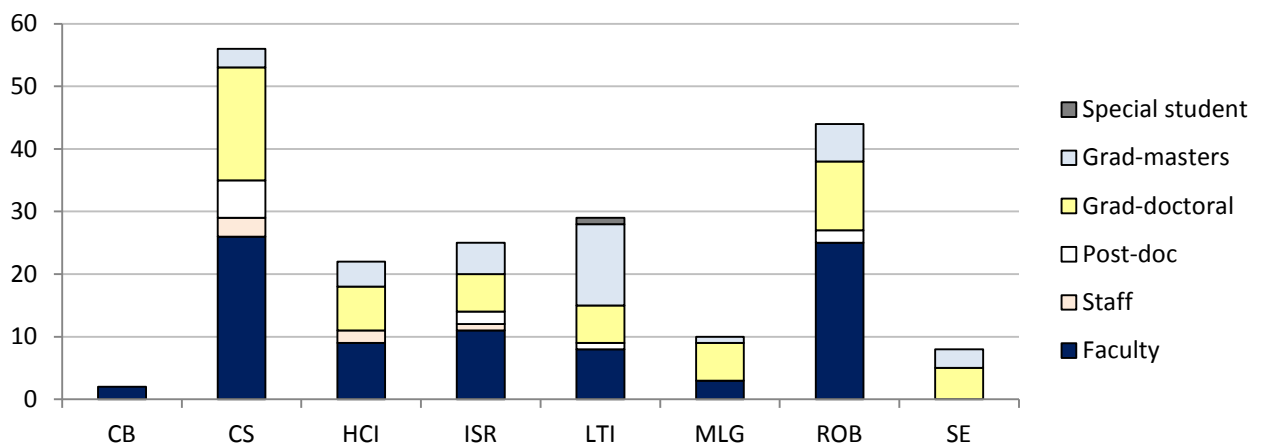


Information entered into ORCID profiles: random sample of 58 profiles examined



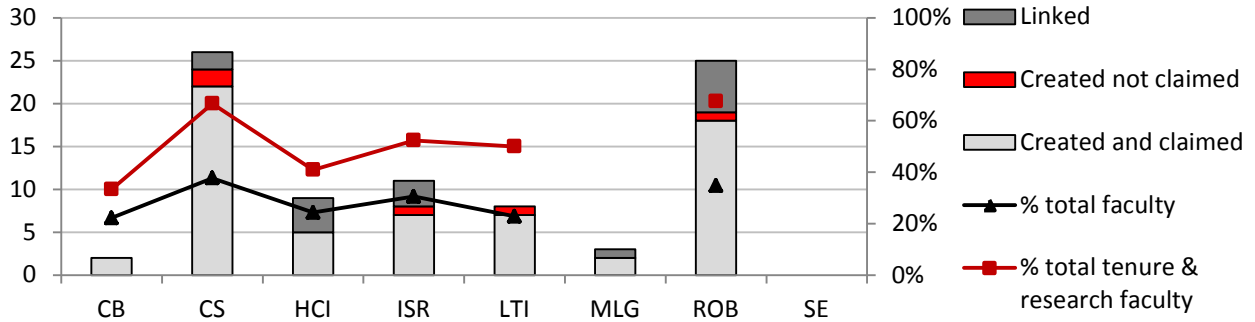
SCHOOL OF COMPUTER SCIENCE

Overall: 196 participants

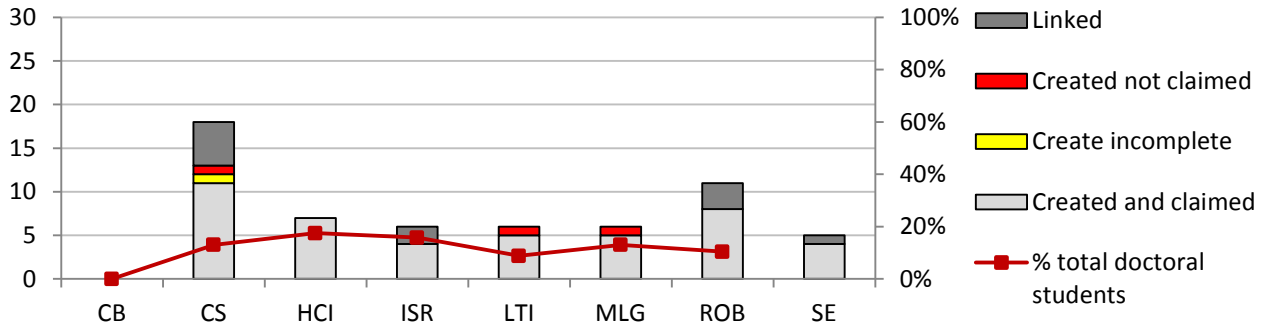


SCHOOL OF COMPUTER SCIENCE continued

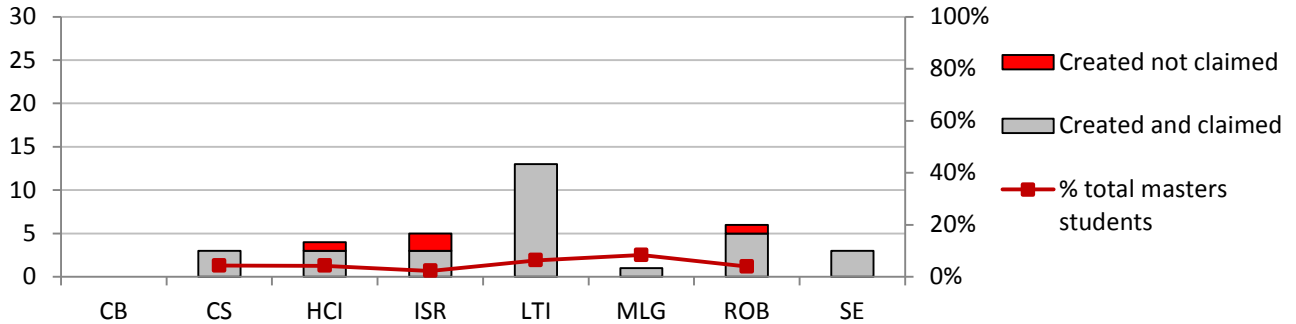
Faculty: 84 participants



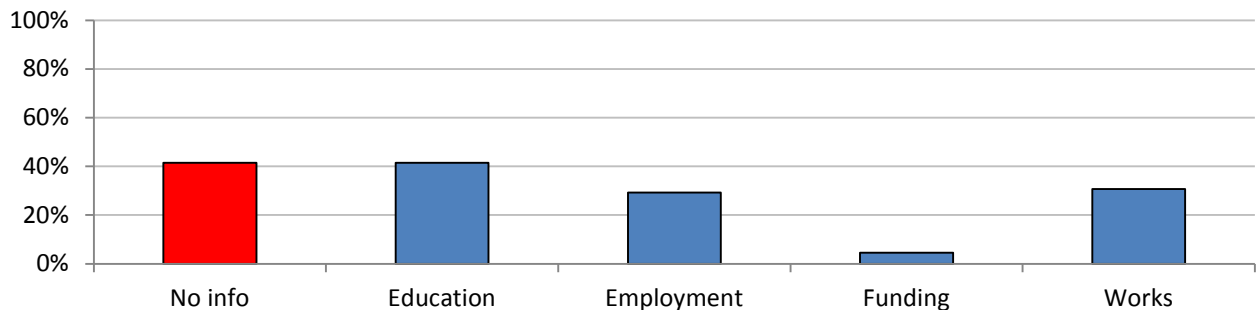
Doctoral students: 59 participants



Master's degree students: 35 participants

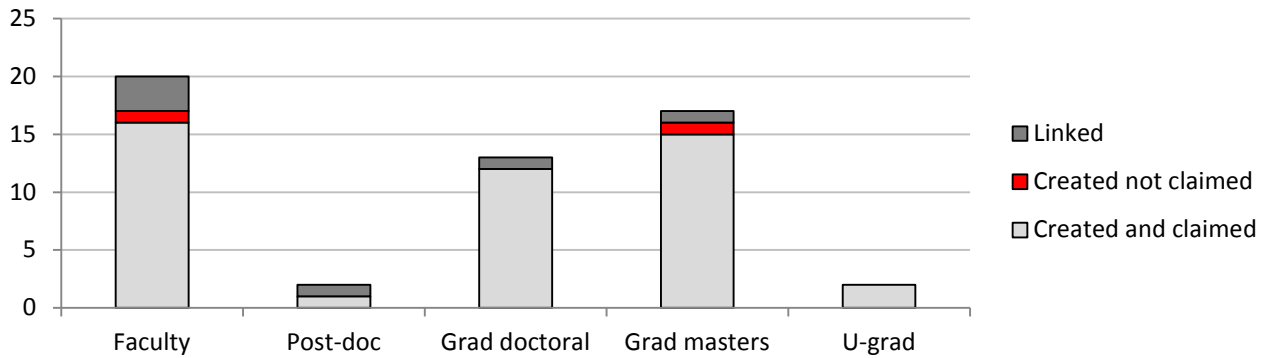


Information entered into ORCID profiles: random sample of 65 profiles examined



TEPPER SCHOOL OF BUSINESS

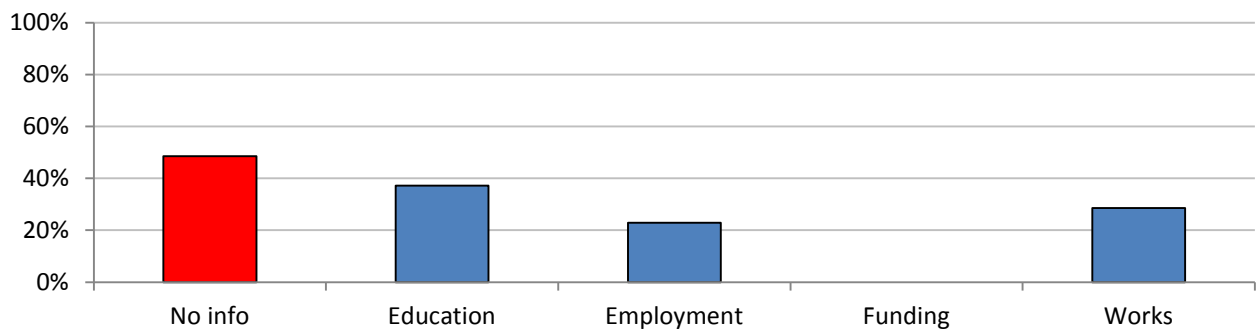
Overall: 54 participants



Totals	Factbook	Participants
Faculty	106	20
Tenure & research faculty	74	
Post-docs		2
Doctoral students	92	13
Masters students	850	17
Undergraduate students		2

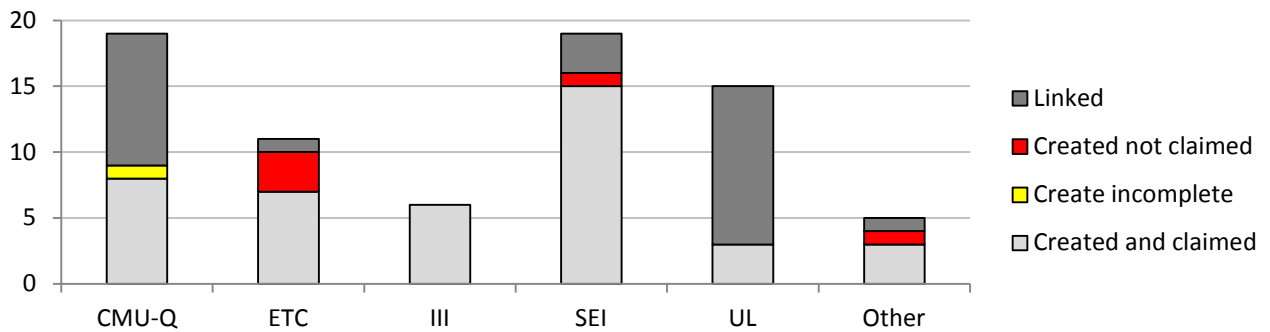
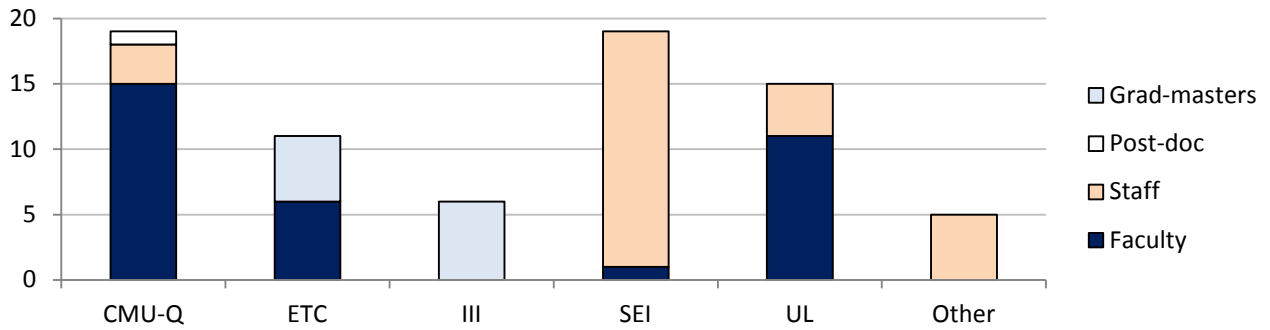
Participant estimates	
% total faculty	19%
% tenure & research faculty	27%
% total doctoral students	14%
% total masters students	2%

Information entered into ORCID profiles: random sample of 35 profiles examined



OTHER CMU UNITS

Overall: 75 participants



Information entered into ORCID profiles: random sample of 42 profiles examined

