



Connecting Research
and Researchers

2017 ANNUAL REPORT

ABOUT ORCID

As an independent non-profit organization with a global scope, ORCID is uniquely positioned to address key challenges for research and researchers. We were established in 2010 by the research community, to reliably and uniquely identify researchers and enable trusted and persistent connections between researchers and their contributions and affiliations.

Founded on fundamental principles of openness and researcher control, ORCID makes our Registry available for free to researchers, who own and manage their record. We publish our open source code, documentation, and an annual public data file; and we provide a free public API and Sandbox server for the community to test integration approaches. We are supported and governed by our members, with an elected Board of Directors from a broad cross-section of community stakeholders, the majority of whom are non-profit as per our bylaws. As a 501c3 non-profit, we cannot be sold to or acquired by a commercial entity.

The ORCID Registry officially launched in October 2012. Our member and user base has grown steadily, and as of 31 December 2017, 4,253,582 researchers from every country and discipline had registered for an ORCID iD. We work closely with our community, and are thankful for their continued support and engagement.

OUR VISION

ORCID's vision is a world where all who participate in research, scholarship, and innovation are uniquely identified and connected to their contributions and affiliations across disciplines, borders, and time.

OUR MISSION

ORCID provides an identifier for individuals to use with their name as they engage in research, scholarship, and innovation activities. We provide open tools that enable transparent and trustworthy connections between researchers, their contributions, and affiliations. We provide this service to help people find information and to simplify reporting and analysis.

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MESSAGE FROM THE ORCID BOARD CHAIR

VÉRONIQUE KIERMER



ORCID has made great strides in 2017 and is increasingly becoming a part of the daily life in the research ecosystem. This is thanks to the growing number of members who are integrating ORCID fully in their workflows, and to the researchers and scholars who are registering and using their iD as part of their work. It is also, of course, thanks to the amazing work of the ORCID staff who are engaging with the community and tirelessly working to address the community's needs.

With the Registry and membership base continuing to grow, and with the steady progress being made toward financial sustainability, the ORCID team has engaged in a deep dive strategic exercise, including staff, the Board, and external stakeholders (whose participation was supported by the Sloan Foundation). We deliberately set the strategic horizon to the long term, using the scenario planning technique to imagine the ORCID of the future. We asked how ORCID can optimally position its offering to empower researchers and advance the research ecosystem to drive better research outcomes. We concluded, perhaps unsurprisingly, that ORCID needs to continue to put the researcher at the center of everything we do. Having confirmed this foundational ORCID principle, the exercise helped crystallize an ambition to invest in developing a robust information infrastructure, to enable a wide range of connections between identifier and identity (allowing ORCID to be used to provide credit across multiple ecosystems), and to continue to establish strategic relationships within our community to help develop and sustain ORCID in the long run.

This long-term strategic vision has already translated into short term priorities for the years to come. Continuing to embed ORCID in the infrastructure that researchers use regularly to share their work and obtain credit for it is a key priority. ORCID integration in publishers' systems is now well underway (p. 9) and, in 2018, the emphasis will be on supporting effective integrations in funder systems. To this end, we are collaborating with the US National Institutes of Health and other funding organizations on project ORBIT, which involves a network of funders and aims at using identifiers to facilitate the flow of information between systems, and ease researchers' reporting burden.

The goal of establishing strategic relationships resonated powerfully for me personally when staff and Board met with member consortia representatives in Lisbon in January 2018. Learning from these varied local communities of practice was energizing and illuminating for all participants. ORCID has a fantastic staff whose dedication is multiplied by the communities they interact with. ORCID works in service of the community, and it is the community that helps build ORCID.

MESSAGE FROM THE EXECUTIVE DIRECTOR

LAURE HAAK



Thank you for yet another great year – by many measures, the community is embracing and integrating ORCID! We made substantial progress on stabilizing our core functionality, continued to deliver reliable services (99.99% uptime for our Member and Registry APIs), and made huge strides forward in demonstrating the value of ORCID: namely, how embedding ORCID identifiers (iDs) in research workflows improves researchers' ability to share information between systems. The community is using ORCID more and better as shown by the results of our two community surveys, through integrations and our Collect and Connect engagement program.

A number of working groups have helped refine and enhance the use of persistent identifiers, including work to improve our iD display guidelines for journal publishers and to develop guidelines for embedding iDs in book workflows; projects to assess use of iDs by research facilities and federated identity systems; and major projects to develop resources that enable researchers to assert their affiliation in a trusted way through an open organization identifier registry, and improving our data model to better reflect affiliation types. All this while also taking on a major overhaul of our user help documentation and outreach resources.... and implementing new Czech and Arabic user interfaces. We are 30 strong, and we are busy! We could not do this without the support of our ambassadors, partners, and members — including 218 new members and five new consortia during 2017!

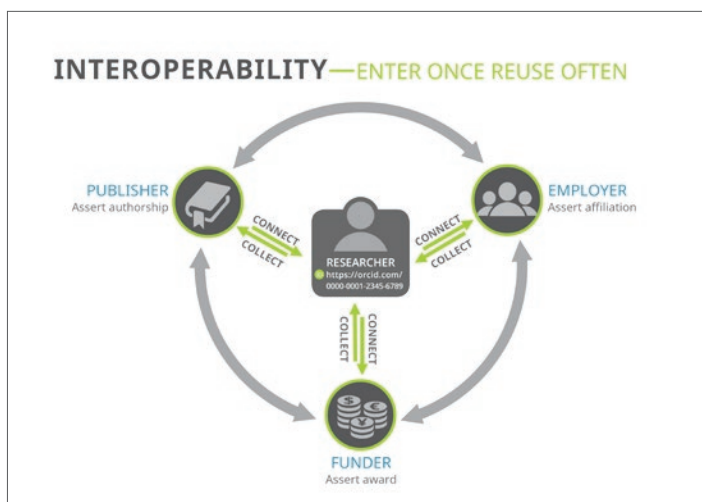
MESSAGE FROM THE TREASURER

EDWARD WATES



ORCID maintained its strong financial governance and made good progress towards financial sustainability. Expense management continues to be well controlled, ending the year US\$81K (2%) positive to the working budget (\$3,922,940 actual expenditure versus \$4,003,934 budget). Total revenues (excluding grant income) came in slightly lower (2%) than budget (\$2,985,422 vs \$3,045,246), with 218 new members, five new consortia, and \$854K in new member revenue — a 29% increase over 2016. We have recurring membership revenues of \$3.1m, a 96% member renewal rate, and our cash at year-end is sufficient to cover 70% of our 2018 projected expenses. We have successfully completed our fourth annual audit, have entered 2018 with strong financials, and remain on track to meet our schedule for start-up loan repayments beginning in 2021.

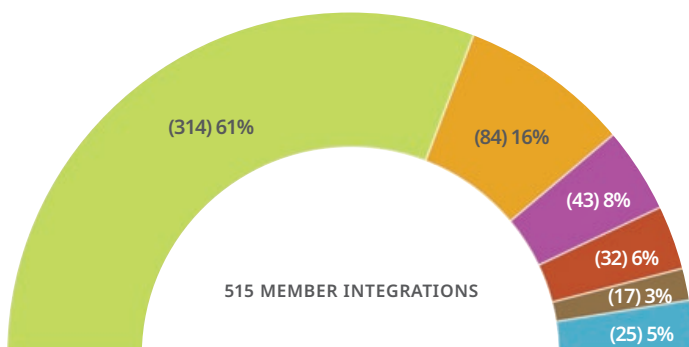
1. BUILDING AN IDENTIFIER-ENABLED RESEARCH INFORMATION INFRASTRUCTURE



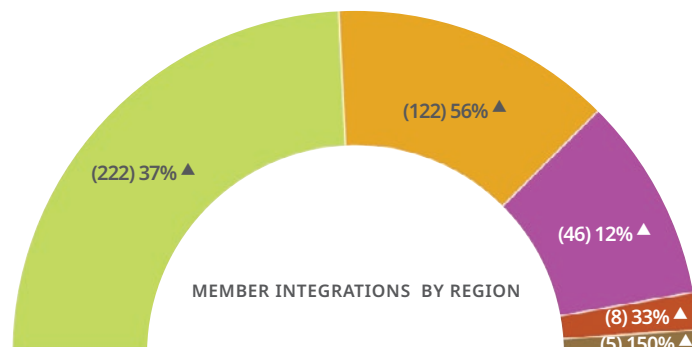
Building a trusted and trustworthy research information infrastructure — one that keeps researchers at its heart — underpins everything we do. We are guided by our core principles of privacy and researcher control, and of being open, transparent, and non-proprietary. The more widely ORCID is adopted and embedded in the systems that researchers need, the more everyone — researchers, their organizations, and the wider community — can benefit from an improved information flow, with less manual entry and more validated information.

INTEGRATIONS

We continue to work with our community to provide more opportunities for researchers to use their iD to make reliable connections with their works and affiliations. The charts below show the full breakdown of ORCID member integrations in 2017 by community (left) and region (right).



- Research Institute (314) 61%
- Publisher (84) 16%
- Repository/profile (43) 8%
- Association (32) 6%
- Funder (17) 3%
- Other (25) 5%



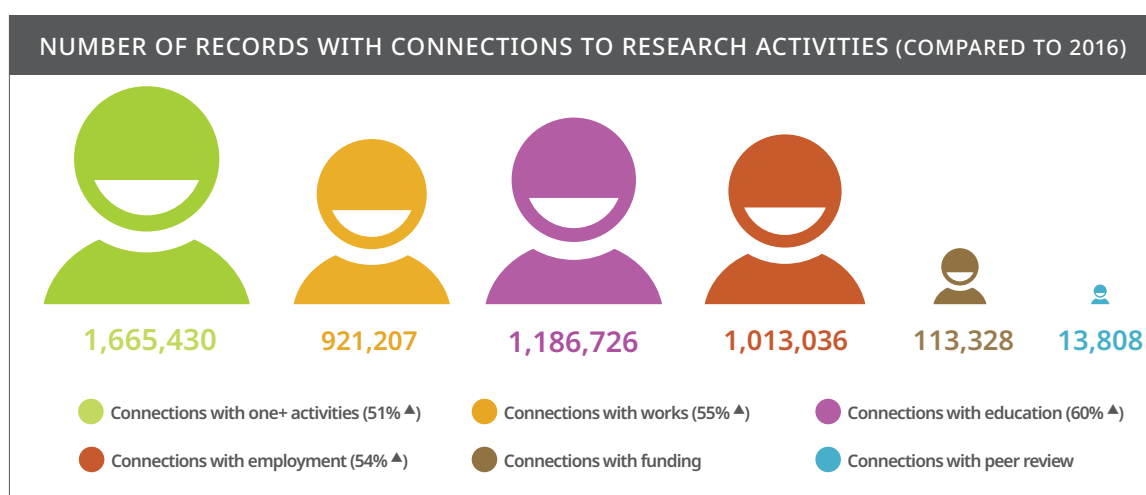
- Europe (222) 37% ▲
- USA/Canada (122) 56% ▲
- Asia Pacific (46) 12% ▲
- Middle East & Africa (8) 33% ▲
- Latin America (5) 150% ▲

ADOPTION

We achieved several adoption and usage milestones during 2017:

- [ORCID Pi Day](#) (to celebrate the 3,141,593rd ORCID registrant)
- 4 million registrants (OECD estimates there are 25.5 million academic and non-academic researchers globally)
- 1.5 million records with at least one connection
- 10 million unique DOIs connected to ORCID records

As of December 31 2017 4,253,582 researchers had registered for an ORCID iD. Find all the latest data on our new, improved [statistics page](#).

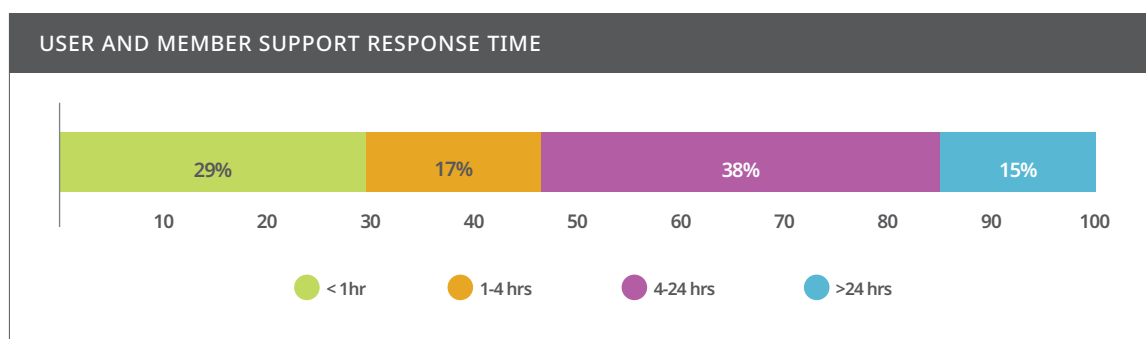


Other examples of increases in adoption come from [Web of Science](#) (11.5 million records with at least one iD across all collections as of end 2017 and 10.8 million records with at least one iD in the core collection); [Europe PubMed Central](#) (4,887,495 and 625,000 unique iDs at the end of 2017); and [Wikipedia](#) (83,971 iDs at the end of 2017, up from 1,636 at the start of the year).

As part of our ORCID EU affiliate activities under the European Commission-funded THOR project, we worked with [CWTS](#) at Leiden University, [Clarivate Analytics](#), and [Digital Science](#) to analyze ORCID adoption and use. Using the 2016 ORCID public data file, we matched publications linked to ORCID records with subject classifications and geographical data from ORCID records, to generate a view of ORCID adoption around the world and across disciplines. Key findings of the [report](#) include strong representation of natural, health, and applied sciences and of Europeans among ORCID record holders, as well as a stronger showing of humanities researchers in ORCID than would be expected based on the proportion of researchers in those disciplines in general literature databases.

EASE OF USE

As ORCID registrants and integrations grew, so did user questions and community requests. Our community team aims to respond to member and user questions within 48 hours, and we continue to address the vast majority within 24 hours. We have also been working to improve the user experience through adjustments to the Registry interface, including self-management of duplicate iDs, improved authentication process, and enabling users to print their ORCID record.



During 2017 we updated and expanded our resources for users to enable better and more consistent help at the point of need, and provide a toolkit of customizable materials for researcher education. This community-driven initiative engaged a global working group, ambassadors, and volunteer testers. Resources include:

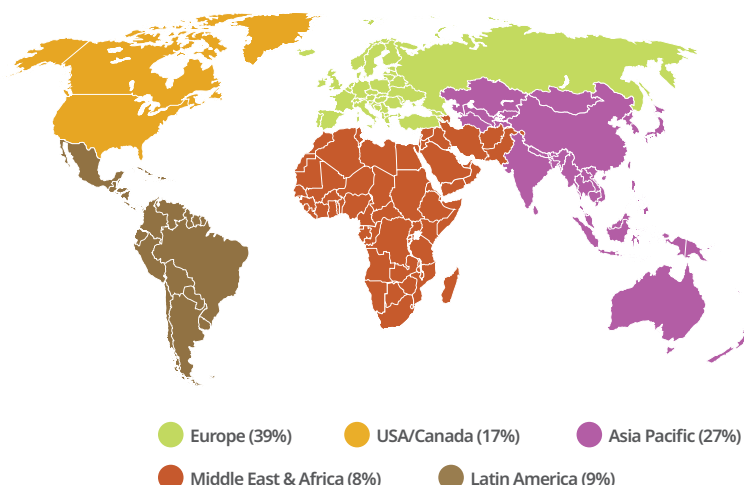
- New Welcome to ORCID page, with easier navigation, popular topics, updated KnowledgeBase articles, and a narrative version
- New How-to videos embedded at point of need: Adding employment information, Using search and link wizards, Resetting your ORCID password, Editing your name
- Updated outreach resources page, including a new Why ORCID? video; an ORCID presentation for researchers; templated messages; and new e-poster/digital wallpaper
- Three-phase communications plan template to build Anticipation, Action, and Awareness

There were 223,104 views of our new KnowledgeBase (KB) articles between October 16 – December 31, 2017; and a 5.78% to 10.49% increase during that period in users with at least one work, employment, education, biography, other name, person identifier, keyword, website, or more than one email connected to their ORCID record.

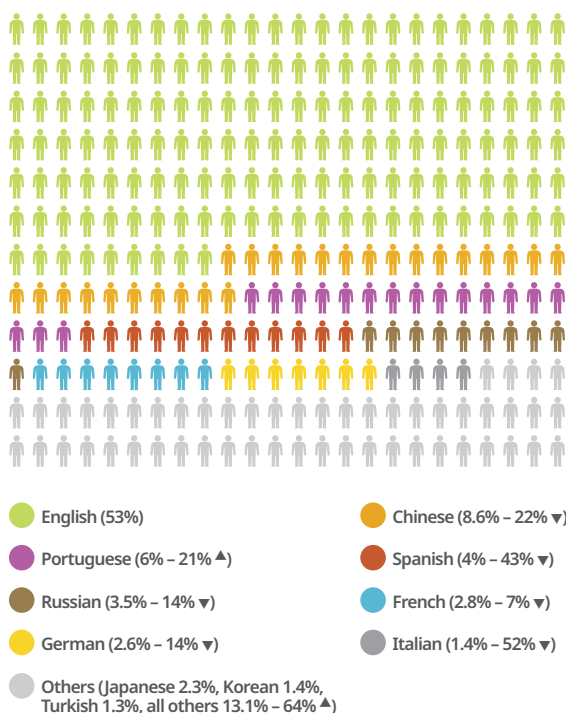
RESEARCHERS

ORCID continues to be used by researchers around the world. English and Chinese are still the top-used languages in the Registry, but in 2017, Portuguese overtook Spanish as the third most used language, coinciding with the launch of a Brazilian ORCID consortium. Thanks to the efforts of our community translators, we launched Czech and Arabic Registry localizations, as well as German, Czech, and Arabic outreach resources translations.

SITE VISITS BY REGION



ORCID USAGE BY LANGUAGE



RESEARCH INSTITUTIONS

Research institutions continue to represent the majority of ORCID members: 647 of 827 (78.2%) members are from this sector. Researchers used their iD 30,175 times within the top five sector integrations in 2017, compared with 32,744 in 2016. Our 2017 Institutional Connect initiative was designed to increase the number of research institution integrations globally that connect iDs and affiliation information. We launched a suite of new and updated web pages and resources for research institutions to support this initiative, and also worked with our CRIS system members to map their integrations and enable ORCID members using these systems to easily integrate ORCID following best practices. We focused on:

- **Connections.** Capturing researcher affiliation connections that don't yet exist in the record. We published a proposal for new affiliation types for public comment. API and UI work will be implemented in 2018

- **Trust.** Ensuring members and the community have the tools and data they need to make decisions about trusting affiliation assertions. We cleaned data, increased controls for quality data entry, updated documentation to emphasize the use of key fields (including organization identifiers), and developed guidance on who should be making affiliation assertions. Members can also now directly manage their organization identifier associations
- **Access.** Ensuring researchers have the information they need to manage affiliation assertions. We exposed organization ID metadata in ORCID records, and started to explore grouping affiliation assertions

PUBLISHERS

Ten publishers joined ORCID in 2017, bringing the total to 75 (including 26 associations that are currently using ORCID in publishing workflows). Researchers continue to use their ORCID iD most often in a publishing workflow, with users sharing their iD via account sign-in (OAuth) 1,447,170 times through the top five sector integrations during 2017, compared with 1,075,543 in 2016. Support for the [ORCID open letter](#) has contributed to this traffic; the number of signatories increased to 37 in 2017, with 20 of them now requiring iDs for authors and complying with our [best practices](#). In April, we published a report on the [ORCID Open Letter One Year On](#), demonstrating the impact of requiring iDs and highlighting areas for improvement. Publishers have been early adopters of our peer review functionality, and, by the end of 2017, 206,217 peer review activities had been added to 13,808 ORCID records (read more in this post about [peer review in the ORCID community](#)). ORCID publisher members using any of our three [member manuscript submission systems](#) can now qualify for Collect & Connect badges.

FUNDERS

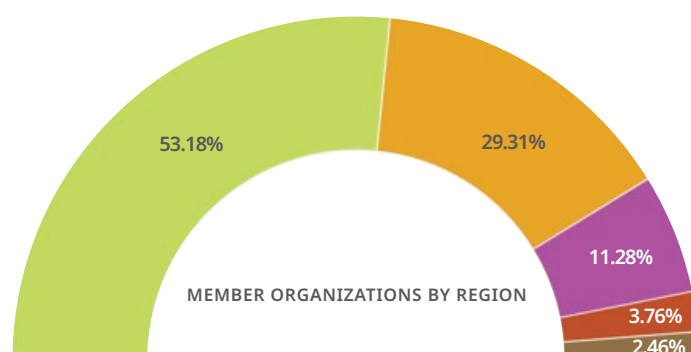
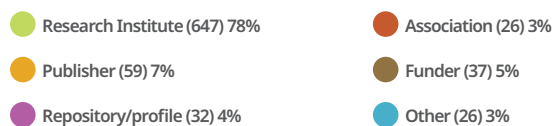
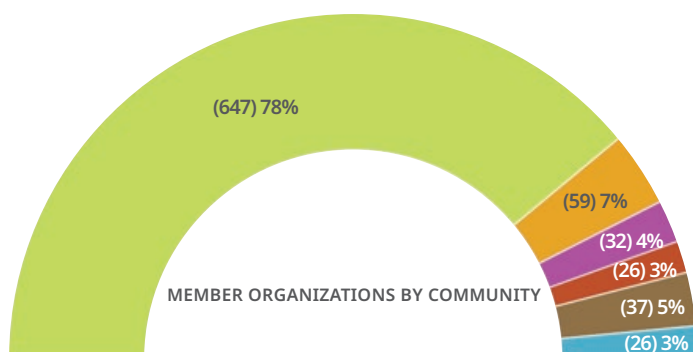
Our funding sector members grew by 17 to 37 this year, as we welcomed new members from foundation and government organizations, including [our first consortium of funding bodies, led by the Health Research Alliance](#). User sign-ins via the top five sector integrations increased from 59,973 in 2016 to 74,274 this year. In 2017 we launched the ORCID Reducing Burden and Improving Transparency (ORBIT) project, supported in part by a contract with the US National Institutes of Health (see Section 2). ORBIT engages funders and researchers to use persistent identifiers to streamline the flow of research information between systems. There are two components: a funder network and demonstration projects. Ultimately, our goal is to enable the community to optimize an open infrastructure that supports open research. We launched our [new funder pages and resources](#) to support this initiative.

2. REACHING FINANCIAL SUSTAINABILITY

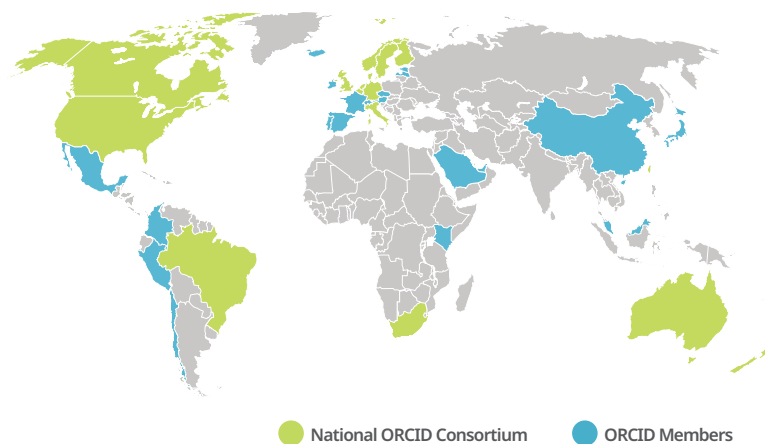
ORCID is a 501c3 not-for-profit organization, sustained by fees from our member organizations. Reaching financial sustainability through tight expense control and membership growth is a key objective. In 2017, we continued to grow our membership globally through direct outreach and via our consortia. We engaged our members to ensure they had the resources needed to develop and support trusted integrations as outlined in Section 1. We also benefited from grants and contracts from several sources.

MEMBERS

To achieve our mission, we need to build and support our membership community. During 2017 we added 218 new members and provided support for their outreach efforts and ORCID integrations. At the end of 2017 we had 827 members, with a renewal rate of 96.15% from 2016–17. The charts below show the breakdown of our membership by community (on the right) and region (on the left).



We added five new consortia members in Canada, Norway, South Africa, and Brazil, and our first fully funded consortium — Health Research Alliance. Consortia now represent two thirds of our members. The map to the right shows countries with at least one ORCID member in blue and countries with ORCID consortia in green.



GRANTS AND CONTRACTS

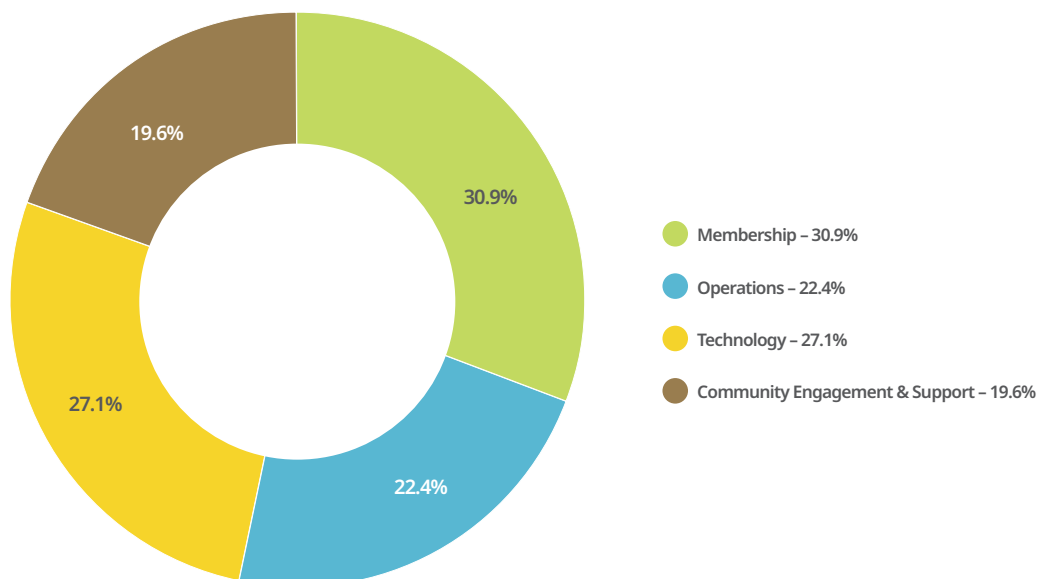
As we build our membership base, we rely on income from grants and contracts for a portion of our activities. We are very grateful to these organizations for their support in 2017:

- During 2017 we benefited from a generous 18-month \$1.84m follow-on grant from the [Leona M. and Harry B. Helmsley Charitable Trust](#) that was awarded in October 2016
- We were awarded a \$50,050 contract from the [US National Institutes of Health \(NIH\)](#) for our [ORBIT](#) project (see section 1) and received a \$19,900 grant from the [Alfred P. Sloan Foundation](#) to support travel expenses for members of the community to participate in our Board's strategic planning work (see page 4)
- In 2017, ORCID EU completed work on the [European Commission](#)-funded [THOR](#) project, a 30-month long, €3.5M project under the [Horizon 2020](#) program, for which ORCID EU was awarded €739,000. The other partners on the project were the [Australian National Data Service \(ANDS\)](#), the [British Library](#), [CERN](#), [DataCite](#), [Dryad](#), [Elsevier](#), [EMBL-EBI](#), [PANGAEA](#), and [PLOS](#)

MEMBERSHIP AND GRANT-SUPPORTED ACTIVITIES

During 2017, membership fees combined with grant support enabled us to undertake the wide variety of activities outlined in this report. This chart shows the breakdown of expenditure by activity type, which is split fairly evenly across our four main areas of focus. In addition to staff costs in each area, Community Engagement and Support activities include communications, marketing, and user and member support; Membership activities include our regional workshops program; Operations includes back-office costs such as book-keeping, audits, and privacy certification; and Technology includes infrastructure costs such as Rackspace.

BREAKDOWN OF 2017 EXPENSES



3. BUILDING TRUST IN THE RESEARCH INFORMATION INFRASTRUCTURE

We strive to be a trustworthy component of the global digital research infrastructure, with the goal of providing trusted connections between a range of research contributions and the people who make them. This includes ensuring that our technology is reliable; that our members build integrations that work for their users, their organizations, and the wider community; and that we continue to adhere to our core principles, including openness and researcher control.

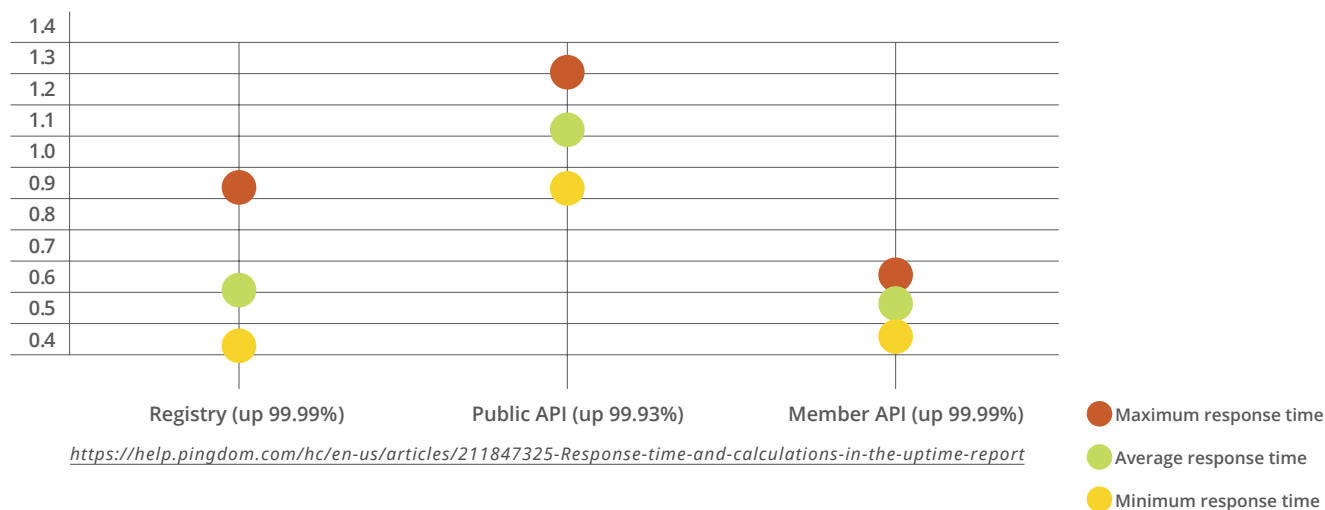
PRIVACY

Since 2013, ORCID has sought independent audit and certification of our Privacy Policy against international standards. This is a formal process carried out annually through [TrustArc's privacy management program](#) to ensure we are meeting the requirements of our own privacy policy and those of the [EU-US Privacy Shield Framework](#), the European Union's framework of data security requirements for data transfer. A link to our [certification letter](#) is included in [Section 12](#) of our Privacy Policy.

RELIABILITY

Registry and API availability and reliability are essential to our success. We are delighted to report that there was 99.99% availability throughout 2017 for our Member and Registry APIs. Public API uptime also improved from 99.2% to 99.93%. Considering these numbers are inclusive of external network, releases, and server issues we are very pleased; however, they also set a high bar for 2018!

SERVER RESPONSE UPTIME







INFRASTRUCTURE IMPROVEMENTS

Our developers completed over 40 new projects, including several major infrastructure improvements:

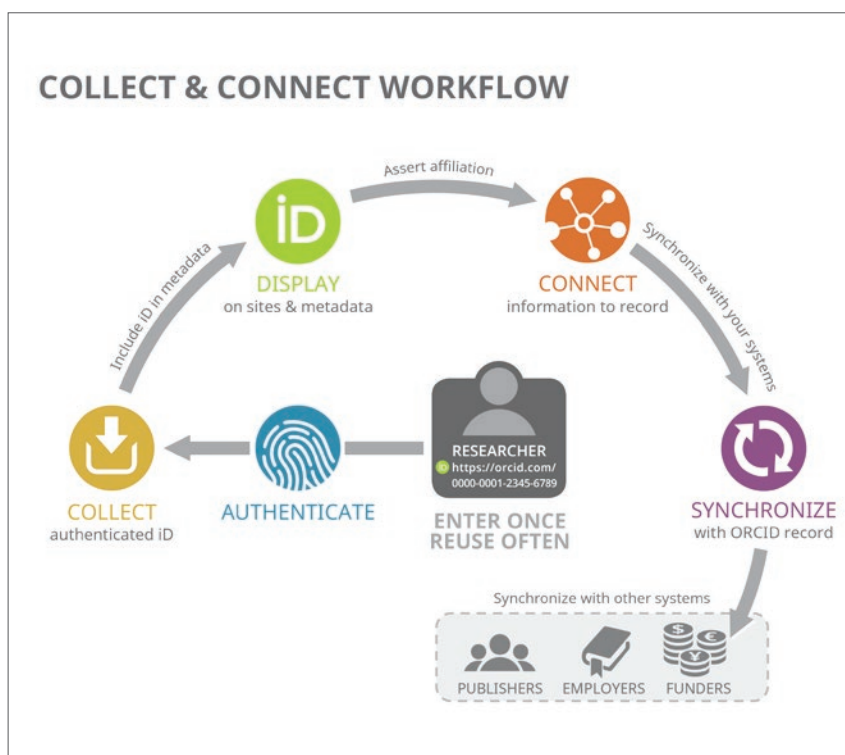
- Launch of [ORCID 2.0 API](#) — a major shift from the original monolithic API designs to one that better reflects scalable [RESTful](#) designs
- [Share-my-id.orcid.org](#) (soft rollout in 2017) — a lightweight app for collecting authenticated ORCID iDs and a first step toward tools we are planning in 2018
- Migration to a new CDN (content delivery network) architecture to provide better international service
- Switching the ORCID identifier to a secure protocol and implementing [OpenID Connect](#)
- [Back end message queues](#) to help us keep up with changes to the 4 million+ records and 35 million+ items in the Registry. This helped streamline processing of our annual public data file, also enabling us to provide on-demand public datafiles for our premium members

COLLECT & CONNECT

We continued to make progress on our [Collect & Connect](#) program, designed to encourage, support, and recognize better ORCID member integrations. During 2017 we reviewed 216 integrations, 47 of which have been awarded badges to date (see [Celebrating Collect & Connect: Progress to Date](#)).

-  **Synchronize** — 4 integrations
-  **Connect** — 20 integrations
-  **Display** — 6 integrations
-  **Collect** — 17 integrations

We also fully incorporated Collect & Connect into our new [API 2.0 documentation](#), added badges to the integration information on the member list, and launched a series of [monthly blog posts](#) featuring integrations that have been awarded badges.



4. CREATING A GLOBAL, DIVERSE, AND INCLUSIVE ORGANIZATION

We take a global view, and we are committed to diversity and inclusivity; our globally based staff, Board, ambassadors, and working group members reflect this commitment. We are working with our consortia members around the world to develop communities of practice in their countries and regions.

GLOBAL AND DIVERSE TEAM

In 2017, we welcomed new staff in Germany, Hungary, the US, Brazil, and China. We now have 30 team members in 11 countries and collectively we speak nine languages!

CONSORTIA PROGRAM

We operate globally, with members in 42 countries and users everywhere. We can do a lot ourselves, but we also rely on our community to help us achieve our mission. Consortia are a key component of our operations. Our consortium program grew out of our Alfred P. Sloan Foundation-funded Adoption and Integration project. Launched in 2014, the program's goal is to facilitate adoption and use of ORCID identifiers by supporting localized communities of practice. We encourage formation of consortia by providing incentives in the form of membership fee discounts, support, and training. Today, there are ORCID consortia in 17 countries, collectively comprising around two thirds of our member community. Following feedback from our first consortium survey in June, we made the following adjustments:

- **Documentation.** We launched new consortia pages, as well as education and outreach materials for the community
- **Policy.** We clarified roles and responsibilities for Consortium Lead Organizations and ORCID, and introduced a checklist to make the onboarding process more straightforward
- **Community.** In January 2018 we hosted our first consortia workshop, designed to build collaboration across regions and establish clear communities of practice
- **Administration.** We launched a beta version of a new self-management tool that allows Consortium Leads to more easily manage information about their members and contacts



Attendees at the January 2018 ORCID consortia workshop in Lisbon, Portugal

5. WORKING WITH OUR COMMUNITY

ORCID is a community-led organization; actively engaging with our community is vital to ensuring that we understand and respond to the needs of our users and members. We seek input and direction on specific initiatives through community working groups and task forces, and we make decisions collaboratively, involving our staff and Board — which is majority non-profit and broadly representative of the research community — as well as our partners, and the researchers and community that are the purpose of our work. We also engage with our community through ORCID-hosted and community events, webinars, our blog and other publications, and social media.

ORCID BOARD

ORCID Board elections were held in November-December 2017. Seven new and returning Directors started their three-year term in January 2018. Board members chair two standing committees, Audit and Nominations. They also chaired three ad hoc committees in 2017. All Board committees include individuals from the general research community.

- **Trust Working Group**, charged with exploring what drives trust in ORCID services. Among their activities in 2017 was reviewing REFEDS Task Force recommendations (see below)
- **Membership and Fees Task Force**, charged with exploring our fee structure, the group recommended that we implement our first-ever fee increase as well as simplifying the fee structure for consortia
- **Cash Management Task Force**, charged with exploring how we manage our liquid assets as we work to achieve financial sustainability

COMMUNITY WORKING GROUPS

We engaged with the community via several working groups during 2017:

- **Publications and User Facilities**, charged with identifying what information would help facilities to map impact, and determining whether and, if so, how ORCID could enable its collection. The group published a summary report in November, and will develop demonstration projects in 2018
- **Organization Identifiers**, a collaborative effort with Crossref and DataCite, charged with refining the principles and specifications for an independent community-governed organization identifier registry to facilitate the disambiguation of researcher affiliations. The group published recommendations on governance, product specifications, and a call for community input and interest. In 2018 a governing board will be formed to oversee registry launch and operations

- **Book Workflows**, charged with developing guidelines on implementing ORCID in book publishing workflows. We worked with a consultant to carry out market research and interview stakeholders from across the books publishing workflow, and published a [report and recommendations](#) in July
- **Displaying iDs in journal articles**. This group first published [guidelines for displaying ORCID iDs in journal articles](#) in 2013. In 2016, we set up a [community working group](#), whose [updated guidelines](#) were published in May 2017
- **Refeds Working Group**, launched in 2016 to discuss ORCID's involvement and integration with the Federated Identity Management community. The group developed a draft set of recommendations for the use of ORCID iDs within the community, and outlined areas of future exploration. Their [report](#) was presented at TNC17

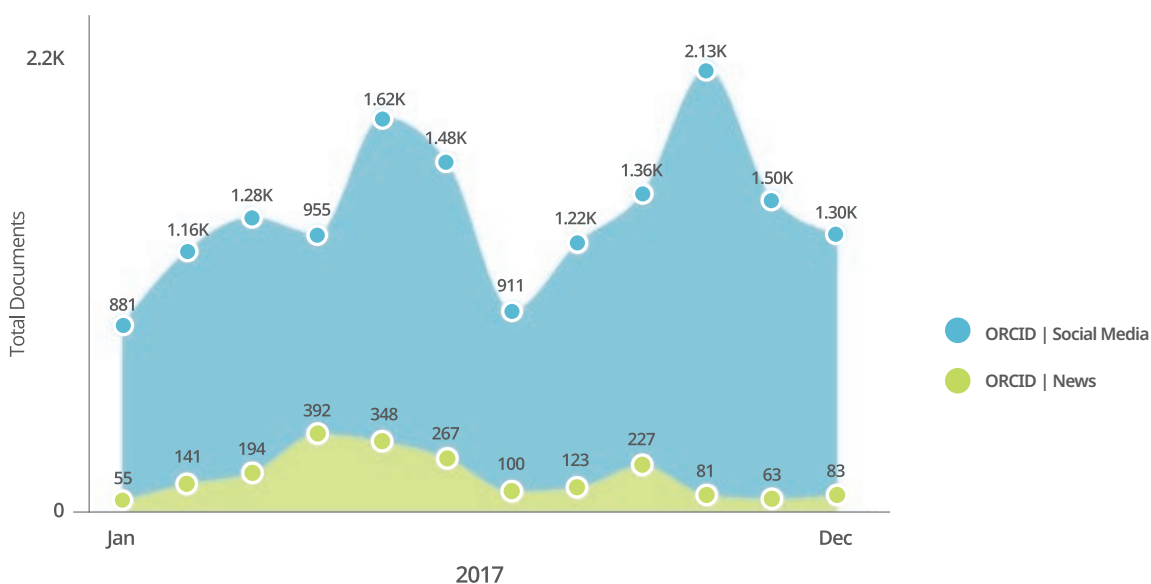
AMBASSADORS AND PARTNERS

Our [ambassadors](#) have been an amazing source of support and inspiration over the past five years and we are extremely appreciative of their efforts. Following intensive strategic planning work, we are now moving to a region- and sector-based community of practice approach, driven by our network of partners and consortia. Look for more on this in 2018!

COMMUNITY ENGAGEMENT

- **Workshops**. We hosted [15 workshops](#) during 2017, attended by 815 participants
- **Webinars**. As well as regular webinars on technical topics, we held [webinars](#) for universities as part of our Institutional Connect program (see section 1) and (co-hosted with NIH) to launch the [ORBIT program](#)
- **Town Halls**. We held three town hall meetings ([Americas](#); [Asia Pacific](#); [Europe, Middle East & Africa](#)) to report on progress toward our mission and encourage nominations for Board elections
- **Conferences**. We participated in over 80 events spanning all sectors and regions
- **Community surveys**. We carried out two major surveys — of our [consortia](#), providing feedback on why they formed, how they function, and what we can do better (see above); and of our [user community](#), where we found significantly increased awareness of ORCID compared to 2015, and identified communities for which targeted outreach is needed
- **ORCID repository**. As part of our commitment to [leading by example](#), we launched our own [repository](#) in May to store and share our annual data file, working group reports, and other resources (278 in total in 2017). All items are issued a DOI, enabling us to make connections with creator ORCID iDs and update ORCID records. Between launch and the end of December 2017, content had been viewed 28,758 times and downloaded 9,806 times

- **Press coverage.** We tracked 2,074 mentions of ORCID in the media globally, peaking in April/May when we published our annual report, open letter report, and journal display guidelines (see chart below — blue area)
- **Social media.** This continues to be an important form of community engagement (see green area on chart), in particular, [Twitter](#), where we engage actively with 19.5K followers (as of end December 2017). During the year, this resulted in 1.66 million impressions and 5.1K mentions




WHO WE ARE




ORCID BOARD MEMBERS, 2017


MICAH ALTMAN (2015–2017) *Massachusetts Institute of Technology (US)*

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PATRICIA BRENNAN (2017–2019 *second term*) *Clarivate Analytics (US)*

 <https://orcid.org/0000-0001-7675-1933>


ANDREW CORMACK (2017–2019) *Jisc (UK)*

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