

Roles and Responsibilities of ORCID Consortia

Summary

Effective ORCID implementations, user awareness, adoption rates, are all improved when the research community coordinates efforts, shares successes, and supports each other in local outreach and integration initiatives. To encourage community collaboration, in 2015 ORCID launched a consortium program. In this document we describe the goals of the consortia program, the roles and responsibilities of ORCID and consortia, and how consortia can qualify for discounted membership fees.

ORCID: Small and global

ORCID is a community effort. We exist to help the research community transition into the digital age, a necessary first step in making open research a reality.

ORCID encourages change on a global scale and is also inclusive of local and regional priorities and policies.

ORCID is a small organization. We have modest membership fees that cover the costs to run the organisation. We rely on membership fees to operate and develop a sustainable business model for ORCID in the future.

To ensure that ORCID can remain agile and provide an inclusive global product/service we need to intentionally scale in several ways:

- **Diversity of experience.** Our staff are located in countries around the world. We speak and support multiple languages. We reflect the communities we live in, the communities we have worked in. Our Board brings additional expertise from our membership.
- **Central platform.** We provide a one-stop Registry for researchers to obtain an ORCID iD, learn how to use it, and manage connections to it.
- **Standards of use.** We provide open documentation, tools, and support for the community to use and make confident connections with ORCID iDs.
- **Community of practice.** We rely on the community to use ORCID services in a responsible manner, to communicate with researchers, and to help us improve our services.

ORCID Consortium: Key to Scalability

In 2013-14, we were funded by the Alfred P. Sloan Foundation to work with organizations in North America on a joint adoption and integration project.¹ We witnessed how collaboration created community. The project led to discussions about community approaches and, in 2015, we launched a formal consortium program² to create communities of practice that can apply ORCID tools, services, and resources in regional and national contexts. This is fundamental to keeping ORCID small and global. To meet this goal, each consortium must provide support for its members through dedicated staff responsible for ORCID outreach and tier one technical support. ORCID provides a substantial membership fee discount to consortia that provide local community support staff at their own expense. To be eligible for the fee discount, a consortium must demonstrate that it meets this and other program requirements, as described in our [consortium onboarding checklist](#).

1. Getting Started

Consortia start locally with a conversation. Do you have national open research goals? Are you seeking to improve the sharing of research information? Are you developing a strategy to implement [FAIR principles](#)? Which organizations are part of these goals? How does ORCID fit into these objectives? What systems or processes are targeted for integration? What questions do you have about how ORCID works? Which organization(s) are well-positioned to serve as a lead organization? We encourage you to invite ORCID into these conversations - to answer questions, make introductions to other consortia with similar goals, and provide resources (and encouragement) as needed. The objective of these conversations is to engage stakeholders in the community, to develop a regional or national strategy and policy for engaging with ORCID, and to identify the organization that will lead the consortium.

2. Identifying a Consortium Lead

Each ORCID consortium must have a Consortium Lead Organization, whose role is to catalyze the adoption of ORCID in their community. The Lead is responsible for providing:

- administrative support to their consortium;
- managing and supporting the onboarding of consortium members;
- employing dedicated community management staff;
- developing shared resources, communication materials and events;
- maintaining consortium document repositories; and

¹ Brown, Josh; Wilmers, Catalina; Haak, Laurel (2015): Final Report: Sloan ORCID Adoption and Integration Program 2013-2014. Figshare. <https://doi.org/10.6084/m9.figshare.1290632.v1>; Jisc-ARMA ORCID Pilot program, <https://orcidpilot.jiscinvolve.org/wp/>; Brown, Josh (2015): ORCID at Scale. <https://orcid.org/blog/2015/05/01/orcid-scale>.

² ORCID Membership webpage, <https://orcid.org/about/membership>; Consortium License Agreement, <https://orcid.org/content/consortium-member-license-agreement>.

- working with the community to identify goals, develop policy and governance, and establish regular progress reporting to members and ORCID.

Leads should also be involved in establishing local governance of the consortium, to oversee progress and support conversations about national research policy and cross-sector engagement.

In addition to ensuring appropriate community management staffing, Leads serve as a bridge with ORCID, acting as national or regional liaisons and accelerating the understanding of best practice and speed with which consortium members adopt and integrate ORCID. Leads help to develop and maintain a community of practice, building on findings and lessons learned across the community and translate them into locally relevant practices for engaging users, integrating identifiers into systems, and encouraging external platform providers to build identifiers into their systems.

Roles and responsibilities of the Consortium Lead Organization

Role of the ORCID Consortium Lead Organization	
Alignment with ORCID Strategy	<ul style="list-style-type: none"> • Understanding of and commitment to ORCID's Vision and Mission
Provide administrative support for the consortium	<ul style="list-style-type: none"> • Manage the ORCID licensing agreement and renewal of the agreement annually on behalf of the consortium members • Manage the annual billing cycle for the collection of fees from members and the payment of licensing fees (Member Fee) and leader fees (Consortium Lead Fee) • Obtain, maintain, and share with ORCID, accurate contact details for consortium members, including voting contacts • Provide regular updates to consortium governance and advisory groups and to ORCID. Coordinate and provide secretariat support to these groups
Actively seek to grow the consortium	<p>Promote the value of the consortium through:</p> <ul style="list-style-type: none"> • Promotion and marketing • Developing collateral and resources • Coordinating, activities and events for the national or regional community.
Manage and support the on-boarding of consortium members	<ul style="list-style-type: none"> • Manage the on-boarding of new consortium members: <ul style="list-style-type: none"> ◦ Act as the primary contact for all new membership enquiries

	<ul style="list-style-type: none"> ○ Manage the membership process for joining the consortium as outlined in the consortium agreement ○ Provide relevant new member resources
<p>Provide central community management contact for all members</p>	<ul style="list-style-type: none"> ● Catalyze ORCID adoption among consortium members, ensuring that they understand why and how to make the most of ORCID tools and services: <ul style="list-style-type: none"> ○ Engage with members collectively and individually to understand, help prioritize, and support their integration plans ● Provide an online interface to the consortium support desk: <ul style="list-style-type: none"> ○ Be available to respond to support requests all days of the working week ○ Manage the resolution of basic (Tier 1*) technical support incidents ○ Manage the escalation of Tier 2** support incidents with ORCID ● Provide guidance aligned with ORCID standards and requirements: <ul style="list-style-type: none"> ○ Engage with ORCID to ensure that member ORCID integrations are in accordance with ORCID guidance and stated good-practice ○ Actively promote and support compliance with ORCID's Collect & Connect program, including carrying out initial C&C reviews of member integrations ○ Ensure members are kept up-to-date with ORCID technical and community developments, such as new functionality, API upgrades, new resources, etc. ● Provide technical feedback to ORCID: <ul style="list-style-type: none"> ○ Act as liaison between the consortium community and the ORCID organization, ensuring that members' technical interests are represented and that feedback is provided via appropriate channels to fuel improvement and innovation ○ Manage the consortium issues register ○ Execute the consortium escalation process ● Ensure all consortium member lead contacts have ORCID iDs to use self-service functionality
<p>Maintain consortium documentation and technical documentation repositories</p>	<ul style="list-style-type: none"> ● Provide relevant local online web resources to the members: <ul style="list-style-type: none"> ○ Resources to assist members with integration

	<ul style="list-style-type: none"> ○ Documentation, online resources and collaboration tools for members
Participate in the ORCID consortium community	<ul style="list-style-type: none"> ● Join and contribute to the ORCID API User Group, Consortia Community Group, and other groups as appropriate ● Share experiences, user stories, and resources with other consortia ● Influence ORCID regional strategy by participating in quarterly meetings with ORCID regional team and other regional consortia ● Attend ORCID virtual and/or in-person consortia meetings, including the annual consortium workshop
Develop and maintain communication and engagement resources	<ul style="list-style-type: none"> ● Develop consortium specific communication resources, and/or contribute to/adapt resources that are developed by ORCID and (as appropriate) other consortia: <ul style="list-style-type: none"> ○ To educate members about ORCID and the services that are available ○ To inform members about integration options ○ To promote ORCID to member organizations and researchers

*Tier 1 Consortia lead organization responsibilities include:

- Explaining the what and how of ORCID implementations
- Keeping track of what consortia members are doing
- Troubleshooting technical issues and escalating to ORCID as needed
- Providing engagement and outreach resources

**Tier 2 ORCID responsibilities include:

- Communications around private accounts data (member API and user accounts)
- Advice for implementing ORCID in unusual workflows
- Developing and documenting new features
- Resolving complicated errors and technical issues

ORCID Responsibilities

ORCID ensures that best practices for use of our services are clearly articulated, that the Registry and API are available and maintained, and that we engage the consortium community and solicit member input in our strategic planning.

ORCID is responsible for including consortia in our activities, through regular (minimum of monthly) regional meetings with Consortium Lead Organizations and/or their community

support staff, participating in consortium advisory and/or governance meetings, and hosting an annual in-person consortium workshop.

On the operational side, ORCID partners with the consortium staff to manage the more complex questions and issues that cannot be resolved by consortium support staff, including all Tier 2 and 3 incident resolution support. We provide training and support for consortium support staff; maintain community documentation; issue sandbox credentials; perform final testing on member integrations and issue production API credentials; and help to coordinate communications -- including sharing of effective practices -- across consortia.

Roles and responsibilities of ORCID	
Provide strategic direction	<ul style="list-style-type: none"> ● Communicate ORCID's vision and mission with Consortium Lead <ul style="list-style-type: none"> ○ Strategic Plan ○ Annual reporting ○ Town Hall meetings ○ Consortium governance meetings (on invitation)
Provide administrative support to the Consortium Lead Organization	<ul style="list-style-type: none"> ● Manage the ORCID licensing agreement and renewal of the agreement annually with the Consortium Lead ● Manage the annual billing cycle for the collection of licensing fees ● Coordinate and connect Consortium Leads through knowledge exchange meetings and other groups.
Provide training and support for the Consortium Lead	<ul style="list-style-type: none"> ● Provide authoritative training ● Deliver regional support networks: <ul style="list-style-type: none"> ○ Provide regional senior support contacts for each Consortium Lead ○ Serve as the primary contact to support the consortium escalation process. Act as the problem manager for all escalated incidents/issues ○ Provide resources and support material for Consortium Lead support staff to communicate, educate, and integrate ORCID technology with members
Provide Tier 2 and 3 Technical support for the Consortium Lead and Members	<ul style="list-style-type: none"> ● Deliver a regional support desk, backed by a global support desk: <ul style="list-style-type: none"> ○ Manage the resolution of Tier 2 and 3 support incidents escalated by the Consortium Lead

	<ul style="list-style-type: none"> ○ Provide guidance and advice to the Consortium Lead to ensure that member ORCID integrations are in accordance with ORCID's standards and good practice
<p>Provide and maintain resources for technical implementation, communication and engagement</p>	<ul style="list-style-type: none"> ● Provide resources for consortia to assist members with integrating and realizing the benefits of ORCID ● Setup and manage a web interface/repository with resources for consortia to: <ul style="list-style-type: none"> ○ Assist with member integrations ○ Share vendor integration examples and resources ○ Share communication and engagement activities ○ Provide communication resources for consortia and members to use ● Develop and maintain documentation, online resources, promotional material and collaboration tools for consortia ● Deliver regional training events ● Maintain a regional presence at conferences and events of relevance

Consortium Community Manager

As outlined, this role is responsible for managing the consortium member community, including providing support to consortium members for outreach and technical implementation, and is not responsible for direct end-user support. This Community Manager role must be established for the consortium to be eligible for the consortium fee discount. Based on the experience of existing ORCID consortia, we recommend one full-time equivalent per 30-40 members, at least for the first three years of the consortium while members are actively working on their outreach and integration plans. Some consortia are operating at one FTE per 20 members, which enables them to provide valuable additional in-person outreach efforts. Community coverage should be available on all weekdays, even if it is only part time.

The community management role comprises about 75% time for outreach and community engagement, and about 25% time dedicated to technical issues. Key skills and experience for this role include:

- Customer support experience
- Experience organizing and facilitating workshops
- Demonstrated knowledge of HTML, basic CSS, and XML
- Familiarity with writing documentation

- An open, flexible, and engaged attitude to learning new skills and technologies such as APIs
- An understanding of and commitment to ORCID's vision and mission

ORCID will provide training for consortium community management staff and others who will be supporting member integrations. Standard training includes at least two 1-2 hour training webinars plus supporting documentation. These cover:

- General overview of ORCID
- Technical overview of our APIs and tools
- Overview of outreach methods and materials
- Homework (which ORCID will review and provide feedback on)
- Reading list and other resources

The regional ORCID Community team member will shadow new consortium staff for the first 1-2 months, including weekly check-ins, assistance with planning consortium webinars, and development of a consortium FAQ. ORCID will continue to interact with consortia support staff in regular (at least monthly) regional team meetings.

Models for Providing Support

To qualify for the consortia discount, a consortium must engage the appropriate level of support staff. A direct hire can be funded with a fee managed separately from the ORCID membership fee. Consortia that do not have the internal structure or capacity to hire support staff may consider engaging an appropriate organization (one that is involved in research infrastructure and/or community building) to provide trained staff to support the consortium or, in the case of a small consortium, collaborating with similar-sized consortia to hire a shared support role. Consortia that do not have the capacity to oversee support staff will be eligible for a smaller discount to enable ORCID to hire staff dedicated to supporting the consortium.

Support coverage criteria:

- Provide outreach, training, and technical support
- Available all weekdays
- At least 1 FTE per 30 organizations.
- At least 0.5 FTE for consortia smaller than 20

Cost Recovery

Some consortia receive funding from government sources for the support role, while others distribute the cost among their members. Various cost-recovery models are in use, including tiered fees and flat fees. In all cases, the membership fee remitted to ORCID is the same, and any additional fees are purely local in nature and not passed through ORCID. The AAF-Australia consortium have published their [cost-recovery model](#), which includes an

annual Lead Organization fee. This model has been adapted by the ORCID-Canada consortium hosted by the Canadian Research Knowledge Network.

Training and Recognition

Regardless of how a consortium chooses to provide community support to its members, ORCID will oversee the quality of that support through a training program and regular ongoing interactions, as described above. In addition, we will ask Leads to monitor and report on helpdesk volume and response rate, member satisfaction, outreach events, and in-progress integrations. We will independently monitor tickets from members that come directly to ORCID, and will carry out an annual consortium member survey (results will be shared with all Leads). ORCID will provide a central coordinating function for consortium support staff, to foster communication and sharing of effective practices. We will also publicly recognize excellent consortium support.

Contacts

For more information, please contact ORCID at community@orcid.org.

Appendix: Onboarding Checklist

The following criteria must be met before a consortium agreement can be finalized and the discount applied.

Consortium

1. Identify consortium lead organization and main contact
2. Determine how the consortium will be funded
3. Identify support model and cost recovery model for consortium staff
4. Draft policy for consortium, outlining goals of the consortium, membership criteria, governance principles, and how progress will be monitored
5. Put out a call for participation in the consortium
6. Determine whether implementation will be via a central platform, in a distributed manner, or in a mixed central/local approach
7. At a minimum, finalize job description and put out a hiring call for support staff
8. Develop a web page with information about the consortium lead, support contact, and basic information about ORCID best practices
9. Launch event

ORCID

1. Answer consortium questions
2. Support discussions about consortium policy
3. Provide introductions to other consortium leads
4. Provide training to consortium lead staff
5. Provide access to member self-management pages to collect information about consortium members

Fees for the consortium are due within 60 days of signing the agreement. In addition, the following criteria must be met within three months of the agreement being signed.

Consortium

1. Hire and onboard support staff
2. Relevant Lead staff participate in ORCID training
3. Support staff complete ORCID training and homework
4. Initial contact made with all consortium members, including instructions on how to contact support staff and communicate with other consortium members
5. Entry of consortium member organization details in the ORCID member database

ORCID

1. Provide training for support staff, review homework, and provide feedback
2. Initial contact with consortium members to introduce ORCID staff and resources