

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

Draft: 10 August 2015

Please send comments or questions to orcidconsortium@aaf.edu.au with subject heading “comments” or “questions”

For expressions of interest, please send response to orcidconsortium@aaf.edu.au with subject heading “institutional response”

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. This document should be read in conjunction with these background statements and documents.

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

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 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 Host, aka “Consortium Leader”). 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 [ORCID Consortium Member Licence Agreement](#)⁷, 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. [A Non-binding Trusted Third Party Consortium Agreement](#)⁸ will be used to establish the Australian ORCID Consortium. The Agreement will be signed between ORCID Inc. and the Consortium Host. Each Consortium member will be required to sign an Accession Agreement with ORCID Inc. The Host is currently seeking legal advice on the agreement.

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 ORCID Consortium Member Licence Agreement <http://orcid.org/content/consortium-member-license-agreement>

⁸ Non-Binding Agreement <http://orcid.org/sites/default/files/ORCID%20Consortium%20Trusted%20Party%20Non-Binding%20Agreement%2020150406.pdf>

The Governance Framework

7. The governance framework of the Consortium will be established by a Memorandum of Understanding (MoU) amongst members - to be signed by the Consortium Host and all members jointly. The MoU will provide details of the goals and expectations of the engagement, as well as the roles and responsibilities of all members.

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.⁹ The governance body will include:

- the Consortium Host
- two elected institutional representatives from the current ORCID Working Group, to be nominated by Consortium members¹⁰
- 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 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 Host

10. The AAF has agreed in principle to be the Australian ORCID Consortium Host (subject to due diligence which is currently underway). The key responsibilities of the Consortium Host are:

- Provide administrative support to the Consortium;
- Manage and support the onboarding of Consortium members;

⁹ 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.

¹⁰ Once the Consortium is in "steady state", institutional representatives will be drawn from general 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 Host are in accordance with the terms and conditions specified under Exhibit 2 of the ORCID Consortium Member Licence Agreement¹¹ which requires the Consortium Host to provide such technical frontline support and communications. The details of the support provision is stated in Appendix I at the end of the document.

12. The AAF has well established relationships with universities, research and research support organisations in Australia, serving as the Consortium Host is an extension of current services provided by the AAF.

13. 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.

Consortium Benefits

14. 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 Host;
- access to onboarding webinars and other online resources such as FAQs, technical documentation, and training materials provided by the Consortium Host 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);

¹¹ Non-Binding Agreement:
<http://orcid.org/sites/default/files/ORCID%20Consortium%20Trusted%20Party%20Non-Binding%20Agreement%2020150406.pdf>

- 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;
- customized monthly analytics report and newsletter.

A summary of the different member categories is listed in Appendix II. A detailed APIs functionalities for different membership categories is listed in Appendix III.¹² For different institutional implementation options, the reader should consult the paper, "[Institutional ORCID Implementation Options](#)"¹³

15. In addition to technical support, ORCID will work with the Consortium Host 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.

Community of Practice

16. 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. Currently ANDS and CAUL are playing a key role in facilitating the development of the community. Over the next 12 months, 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

17. The initial term of the Consortium membership is set at three years (36 months). The Consortium will commence when 20 members (21 including the Consortium Host) are established through the signing of the MoU.

18. 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

¹² These are summaries from ORCID websites:

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

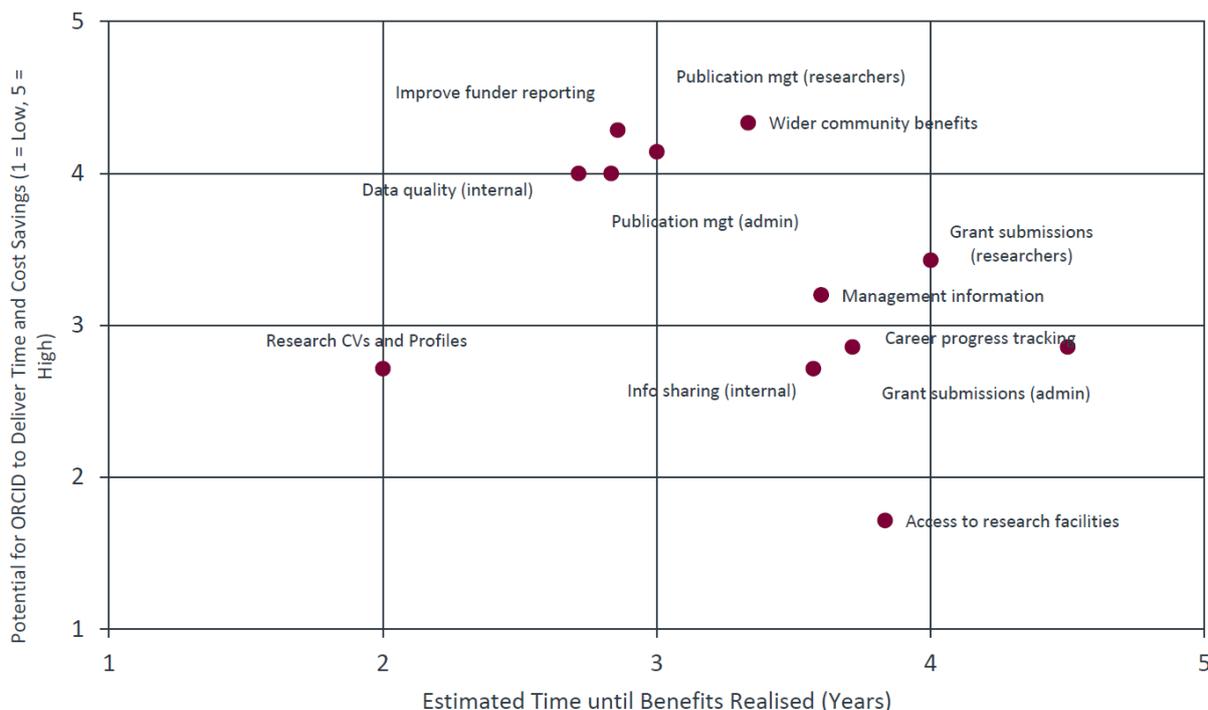
<http://orcid.org/about/membership/comparison>

¹³ <http://ands.org.au/discovery/orcid-implementation-options20150414.pdf>

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.

19. 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

Figure 7: Efficiency Gains vs Timescales for Benefits Realisations



to the Consortium should be understood as a long term investment to improve efficiency.

The Annual Cost

20. 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 licensing¹⁴
- the Consortium Host's licence fee recovery
- the Consortium Host's on cost (with annual indexation of 3%)
- the administrative support (with 3% indexation)
- the one-off legal fee for advice associated with the establishment of Consortium contract by the Consortium Host - estimated to be between \$6K-\$10K depending on whether contract amendment is required
- providing onboarding, technical and documentation support (with 3% indexation)

¹⁴ 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>

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

22. The pricing of the annual membership fee, including lower and upper estimates and itemised cost components, is provided in the two tables below (without indexation). It is noted that the implementation support fee will be charged during the ramp up phase of the Consortium in the first three years. Given that the UK's implementation pilot [final report](#) suggests that the recurrent support cost is minimal, the support component of the membership fee is expected to decrease in the subsequent year of renewal.

23. There is no expectation that members must undertake implementation in the first year of membership, but members must notify the AAF 8 weeks in advance once an implementation decision is made to ensure that the AAF can adequately allocate support.

24. 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.

25. Implicit in the costing model are three key assumptions listed below. A [spreadsheet model](#)¹⁵ with adjustable model parameters is available. The costing model is subject to review in the future.

- Assumption 1: the equivalent of one FTE at the rate of \$115K (inclusive of 17% super and on costs) is required to support 20 institutions annually during the ramp up phase.
- Assumption 2: the component ratio between administrative, ongoing and implementation support is set at 1:3:6.
- Assumption 3: the total support cost scales proportionally to the size of the consortium, e.g. doubling the size of the consortium doubles the total support cost, thus a Consortium with 40 members will require the equivalent of two FTE, each at the rate of \$115K, totally \$230K of support cost.

26. 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.

27. The AAF will invoice each member in AUD within 20 days of the commencement of the Consortium (signing of the MoU by 20 members). Members are responsible to pay within 20 days upon receiving the invoice. The initial Consortium membership fee will be charged pro rata on the basis of the start month of the Consortium commencement until December. Membership fee in the subsequent year will be calculated on a calendar year basis (Jan-Dec). The first Consortium membership fee invoice will include both the partial year pro rata membership fee and the subsequent year membership fee. Any payments made more than sixty (60) days after they are due and payable shall be subject to a 1.5% monthly charge in line with the ORCID Consortium terms and conditions. It is noted that ORCID consortium

¹⁵ See <https://drive.google.com/open?id=0B8QpE-d2WdEuYWt1SIR6RTRZVjA>

licensing fee is in United States Dollars (USD) and thus subject to conversion rate change over time. In accordance with the Consortium Membership Licence Agreement, the consortium membership fee is subject to increase at no more than 3% per annum. The Consortium Host will adjust fees as per the terms and conditions of the ORCID Consortium Membership Licence Agreement.

28. An institution who wishes to join the Consortium and has a current ORCID membership will have their ORCID membership fee credited pro rata toward Consortium membership fee, 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 MoU).¹⁶ 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 Host.

29. Upon the establishment of the Consortium, any qualified Australian institution may join the Consortium and will be charged the membership 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.

30. The annual membership fee estimates (rounded in AUD) per member are:

- 20-29 members:
 - Between \$11.3K and \$11.7K per annum
- 30-99 members:
 - Between \$7.6K and \$12K per annum

Consortium with 20-29 members

Item	Details	Cost Per Member (AUD)
ORCID licence	\$4,000 USD charged per member conversion rate 1 USD = 1.28 AUD	\$5,111
Host membership recovery	lower: \$5,111 AUD / (29 - 1) upper: \$5,111 AUD / (20 - 1)	lower: \$183 upper: \$269
Host on costs	estimated to be \$10,000 per FTE per annum for a consortium of size 20	\$500
Host admin support	estimated to be 10% of all support cost	\$525
Host onboarding, technical and documentation	estimated to be 90% of all support costs	\$4,725

¹⁶ For example, an institution who paid \$20K USD premium institutional membership in 2015 joining the Consortium in July 2015 will receive a pro rata credit of \$10K USD (i.e. \$20K X 6/12 USD) for the Consortium membership fee for the whole term.

support		
One-off legal fee	estimated to be \$6K-\$10K total lower: \$6,000 AUD / (29 - 1) upper: \$10,000 AUD / (20 - 1)	lower: \$214 upper:\$526
	Total First Year Cost	lower: \$11,258 upper: \$11,654

Consortium with 30-99 members

Item	Details	Cost Per Member (AUD)
ORCID licence	\$135,000 USD charged per group \$135,000 USD / (number of member) charged per member conversion rate 1 USD = 1.28 AUD	lower: \$1,742 upper: \$5,750
Host membership recovery	lower: \$1,743 AUD / (99 - 1) upper: \$5,750 AUD / (30 - 1)	lower: \$18 upper: \$198
Host on costs	estimated to be \$10,000 per FTE per annum for a consortium of size 20	\$500
Host admin support	estimated to be 10% of all support cost	\$525
Host onboarding, technical and documentation support	estimated to be 90% of all support cost	\$4,725
One-off legal fee	estimated to be \$6K-\$10K total lower: \$6,000 AUD / (99 - 1) upper: \$10,000 AUD / (30 - 1)	lower: \$61 upper:\$345
	Total First Year Cost	lower: \$7,571 upper: \$12,043

Appendix I

The Consortium Host will provide the support with onboarding 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 onboarding 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 onboarding 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 Host'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 Host, including a mini course, weekly check-ins, assistance with planning onboarding 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		✓	✓