

Changing Security Requirements from U.S. Federal Research Funding Agencies

November 17, 2022 – 2 pm EST / 11 am PST

Presented by:

Shawna Sadler, MLIS

ORCID

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Today's Moderator & CITI Program



The Collaborative Institutional Training Initiative (CITI Program) is dedicated to promoting the public's trust in the research enterprise by providing high quality, peer-reviewed, web-based educational courses in research, ethics, regulatory oversight, responsible conduct of research, research administration, and other topics pertinent to the interests of member organizations and individual learners.



Webinar Features



Questions and Answers

- You can submit a question during the presentation by selecting “Q&A” icon on the bottom of the screen.
- It opens a separate window where you can type and submit questions.
- Questions will be addressed after the presentation.

About Today's Presenter

Shawna Sadler

Engagement Manager, Outreach and Partnerships

ORCID

 <https://orcid.org/0000-0002-6103-5034>

Shawna heads up ORCID's Outreach & Partnerships program at ORCID, building strategic relationships worldwide and exploring new opportunities for adoption and growth.




Conflicts of Interest Disclosure: Shawna Sadler

I have no relevant personal/professional/financial relationship(s) with respect to this educational activity.



Learning Objectives

- Understand why researchers should have an ORCID iD 
- Understand how ORCID can help researchers meet...
 - The new Research Security expectations
 - The new Public Access and Research Integrity expectations
- Describe ORCID and author identity management



Quick Introduction to ORCID

Quick Introduction to Research Security

The Significant Shift

NSF Response

What's on the horizon?

Quick Introduction to ORCID

Quick Introduction to Research Security

The Significant Shift

NSF Response

What's on the horizon?

A few ORCID facts...

- Independent not-for-profit open to participation by all
- Registry launched in 2012
- Sustained by fees from our member organizations
- Guided by our [values and founding principles](#)
- Community-governed by a Board of Directors representative of our membership



ORCID- Open Research and Contributor Identifier - Provides three main services



The ORCID iD: a unique, persistent identifier free of charge to researchers




An ORCID record/digital CV connected to the ORCID iD, that can include employment, education, and research output metadata




A set of Application Programming Interfaces (APIs), as well as the service and support of communities of practice, that enable interoperability between an ORCID record and member organizations

ORCID Record Example



 <https://orcid.org/0000-0001-5727-2427>

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Published name
Sofia Maria Hernandez Garcia

Name: Sofia Garcia Also known as: S. M. Garcia, Sofia Maria Garcia

Biography
Sofia Maria Hernandez Garcia is used for testing and demonstrating ORCID records.

Activities Collapse all

Employment (2) Sort

New Arizona State University: Sedona, Arizona, US

2015-09 to present | Associate Professor (Department of Geography)
Employment [Show more detail](#)

Source: Sofia Maria Hernandez Garcia

ORCID: Bethesda, Maryland, US

2014-05-01 to 2019-10-25 | Engagement Lead
Employment [Show more detail](#)

Source: ORCID via Assert-o-matic

Education and qualifications (4) Sort

London School of Physics: London, GB

2016 to 2018 | PhD (Computer Science)
Qualification [Show more detail](#)

Source: Sofia Maria Hernandez Garcia

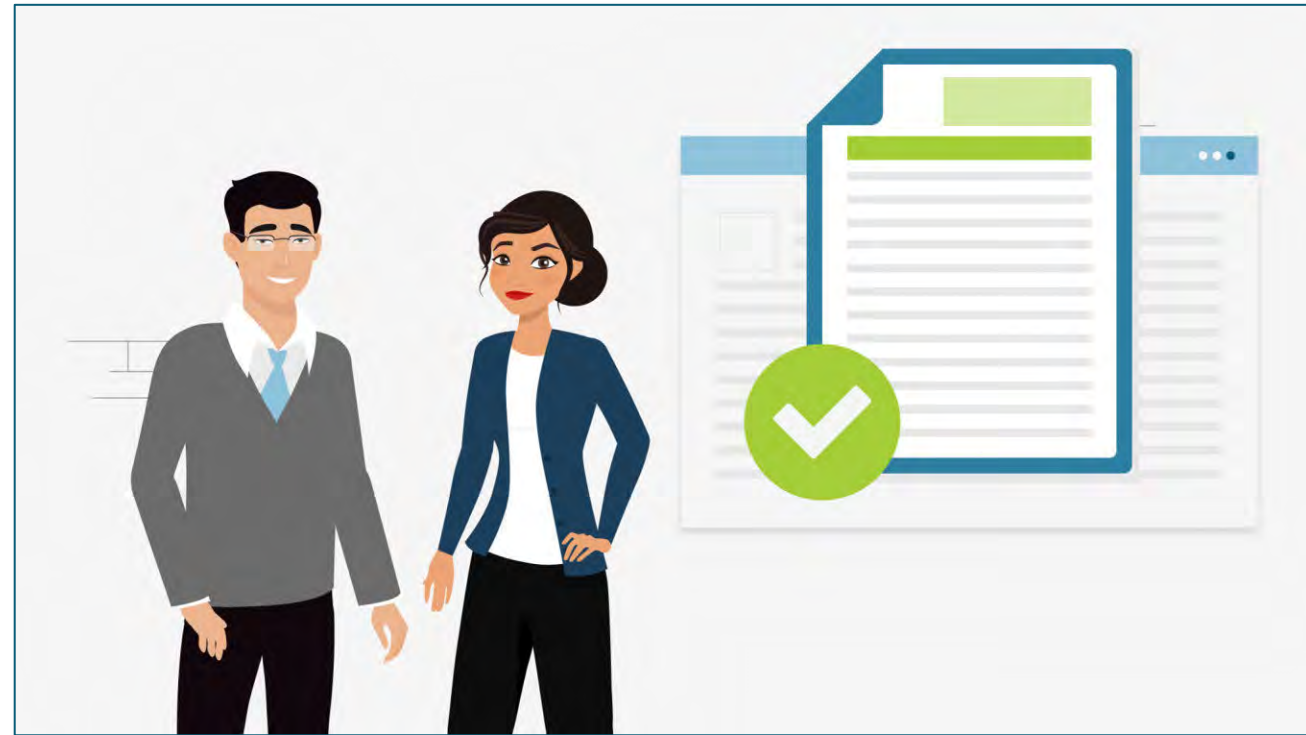
Universidad Politécnic de Madrid: Madrid, Comunidad de Madrid, ES

2008-09 to 2012-05 | BA Computer Science
Education [Show more detail](#)

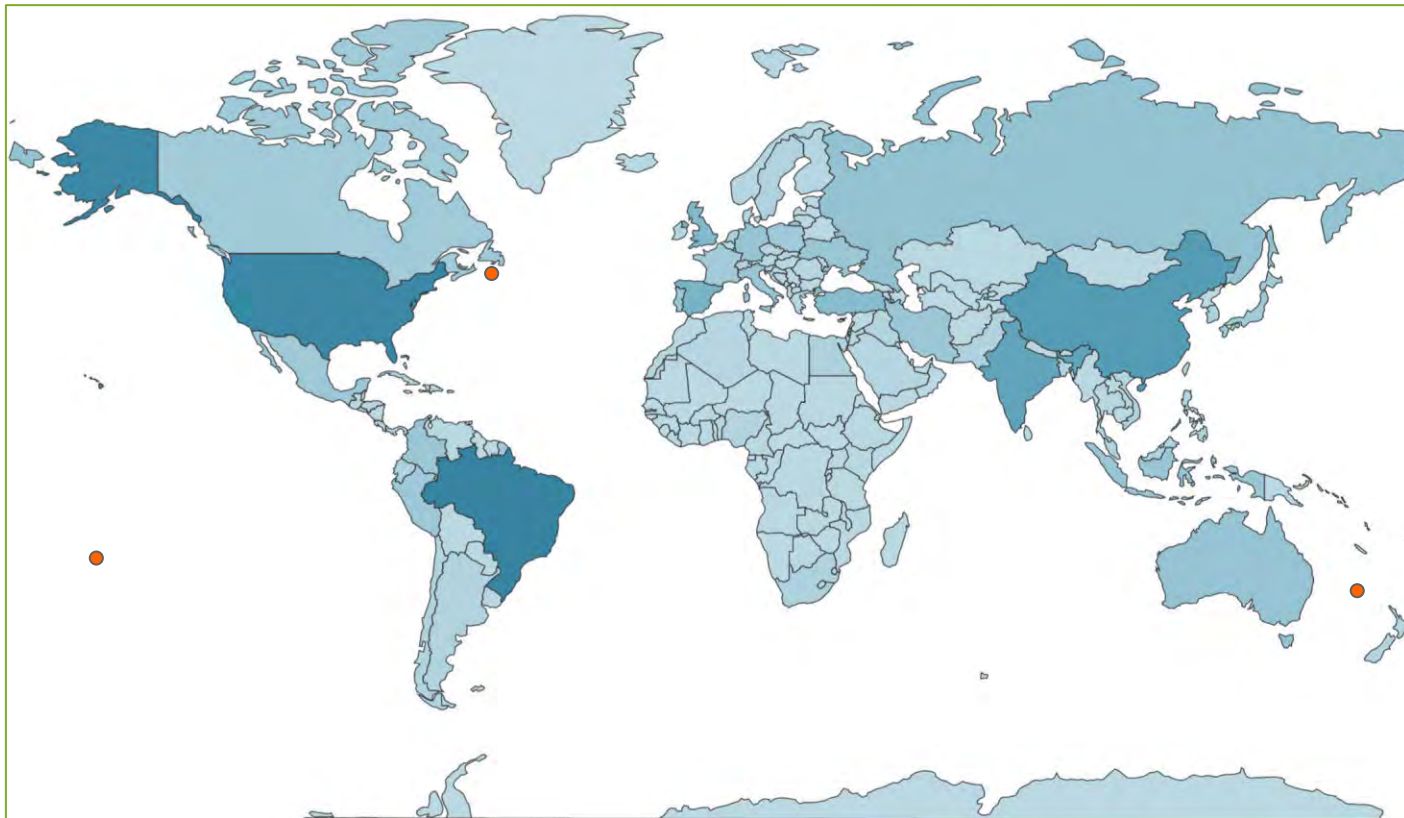
Source: Sofia Maria Hernandez Garcia

Researchers access all of their research information via their unique ORCID profile

	Uniquely yours
	Name flexibility
	More time for research
	Control your visibility and discovery
	Reduced administrative burden
	Portable profile data



ORCID is Broadly Used by Researchers Globally



There are **ORCID** users in **246** countries

That's every country on the planet apart from,

- Niue - island nation in Oceania, pop. 2k
- Norfolk Island - Australian island, South Pacific, pop. 2k
- Saint Pierre and Miquelon - French archipelago south of Newfoundland, pop. 6k

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NSF Response

What's on the horizon?

Research Security is a relatively new issue...

Presidential Memorandum on United States Government- Supported Research and Development National Security Policy

— NATIONAL SECURITY & DEFENSE | Issued on: January 14, 2021

NATIONAL SECURITY PRESIDENTIAL MEMORANDUM – 33



Research Security

“This memorandum directs action to strengthen protections of United States Government-supported Research and Development (R&D) against foreign government interference and exploitation.”

Research Security

“The open and collaborative nature of the United States R&D enterprise underpins America’s innovation, S&T leadership, economic competitiveness, and national security.”

Research Security

Disclosure

Agencies shall require disclosure,

1. Principal investigators (PIs) and other senior/key personnel seeking or receiving Federal R&D funding (i.e., extramural funding);
2. Individuals participating in the process of allocating Federal funding: program officers, peer/merit reviewers, and members of advisory panels and committees; and
3. Researchers at Federal agency laboratories and facilities (i.e., intramural researchers, whether or not Federally employed), including government owned, contractor-operated laboratories and facilities.

Research Security

The new disclosure requirements are going to increase the amount of administrative workload on researchers...

So to counter this workload, NSPM-33 gives instruction to the federal funding agencies to adopt “digital persistent identifiers” and to streamline their reporting - in order to reduce the administrative burden on researchers.

Quick Introduction to ORCID

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The Significant Shift

NSF Response

What's on the horizon?

The significant shift - NSPM-33 Guidance

NATIONAL SCIENCE AND TECHNOLOGY COUNCIL



**GUIDANCE FOR IMPLEMENTING NATIONAL
SECURITY PRESIDENTIAL MEMORANDUM 33
(NSPM-33) ON NATIONAL SECURITY
STRATEGY FOR UNITED STATES
GOVERNMENT-SUPPORTED RESEARCH AND
DEVELOPMENT**

A Report by the

Subcommittee on Research Security

Joint Committee on the Research Environment

January 2022



The significant shift - NSPM-33 Guidance

Five Key Sections

1. Disclosure Requirements and Standardization
 - a. Biosketches
 - b. Current & Pending Support / Other Support
2. Digital Persistent Identifiers (i.e., ORCID)
3. Consequences for Violation of Disclosure Requirements
4. Information Sharing
5. Research Security Programs

NSPM-33 Guidance – DPI Specifics

- iD Adopt digital persistent identifiers to ease reporting & compliance
- iD Reduce administrative burden
- iD Disambiguates one researcher from another
- iD Researcher controls the content in their record/profile
- iD DPI is free to researchers
- iD DPI enables interoperability between systems

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NSF Response

What's on the horizon?

NSF Response



National Science Foundation
WHERE DISCOVERIES BEGIN

Contact | Help



NSF

Research Areas

Funding

Awards

Document Library

News

About NSF

Office of Budget Finance and Award Management (BFA)

Office of Budget, Finance, & Award Management >

Budget Division >

Division of Acquisition and Cooperative Support >

Division of Financial Management >

Division of Grants & Agreements

Division of Institution & Award v

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NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Disclosure Requirements & Standardization

Over the past several months, the National Science and Technology Council (NSTC) Research Security Subcommittee has worked to develop consistent disclosure requirements for use by senior personnel, as well as to develop proposed common disclosure forms for the Biographical Sketch and Current and Pending (Other) Support sections of an application for Federal research and development (R&D) grants or cooperative agreements.

The National Science Foundation (NSF) has agreed to serve as steward for these common forms as well as for posting and maintenance of the table entitled, *NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support*.



Courtesy: National Science Foundation

NSF Response

Updated & harmonized forms

- Common Biosketch
- Common Current & Pending Support/Other Support

New forms will likely go live in 2023.

NSF Response

A	B	C	D	E	F	
	Section	*	Field	Format	More than one submission possible	Instructions
1	Identifying Information	*	Name	Last, First(Middle, Suffix)	No	Enter the name of the senior/key person (Last name, First Name, and Middle Initial, if applicable).
2		*	Persistent Identifier (PID) of the Senior/Key Person	URL, e.g.: https://orcid.org/NNNN-NNNN-NNNN-NNNN	No	Enter the PID of the senior/key person. The PID is a unique, open d same or a similar name.
3		*	Position Title	--	No	Enter the current position title of the senior/key person.
4	Organization and Location	*	Name	--	No	Enter the name of the primary organization of the senior/key person the project is not based in a physical location.
5		*	Location	City, (State/Province [XX],)Country		
6	Professional Preparation	*	Name of Organization	--	Yes	<p>A list of the individual's professional preparation (e.g., education and fellowship training, as applicable, listing each separately. Also include</p> <p>For each entry provide:</p> <ul style="list-style-type: none"> •the name of the organization; •the location of the organization: Enter the City, State/Province, and N/A. •the degree received (if applicable); •the month and year the degree was received (or expected receipt c •the field of study.
7		*	Location of Organization	City, (State/Province [XX],)Country		
8		*	Degree Received (if applicable)	--		
9		*	Month and Year the Degree was Received (or expected receipt date)	MM/YYYY		
10		*	Field of Study	--		
11	Appointments and Positions	*	Start Date	YYYY	Yes	<p>A list, in reverse chronological order by start date, of all the individual current appointment (including the associated organization and local institutional position whether or not remuneration is received, and wh</p> <p>For each entry provide:</p> <p>Start date: YYYY End date: YYYY Appointment or Position Title:</p>
12		*	End Date	YYYY		
13		*	Appointment or Position Title	--		
14		*	Name of Organization	--		
15		*	Department (if applicable)	--		
16		*	Location of Organization	City, (State/Province [XX],)Country		
17	Products	*	Names of Authors	Last, First Initial	Yes	<p>A list of products that demonstrate the individual's qualifications to ca including but not limited to:</p> <ul style="list-style-type: none"> •publications, conference papers, and presentations; •website(s) or other Internet site(s); •technologies or techniques; •inventions, patent applications, and/or licenses; and
18		*	Product Title	--		
19		*	Date of Publication or Release	DD/MM/YYYY		
20		*	Website URL	--		
21		*	Product Persistent Identifier	URL, e.g.: https://doi.org/10.NNNN/NXNXN		
22	*	Other Relevant Citation Information	--			
23	Certification	*	Signature	--	No	When the individual signs the certification on behalf of themselves, it is not limited to, information related to domestic and foreign appointm
24		*	Date	DD/MM/YYYY		

Data in the ORCID record will Pre-populate many fields in the SciENcv forms



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Name: Sofia Garcia Also known as: S. M. Garcia, Sofia Maria Garcia

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Source: ORCID via Assent-o-matic

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2016 to 2018 | PhD (Computer Science) Qualification Show more detail

Source: Sofia Maria Hernandez Garcia

Universidad Polit cnica de Madrid: Madrid, Comunidad de Madrid, ES

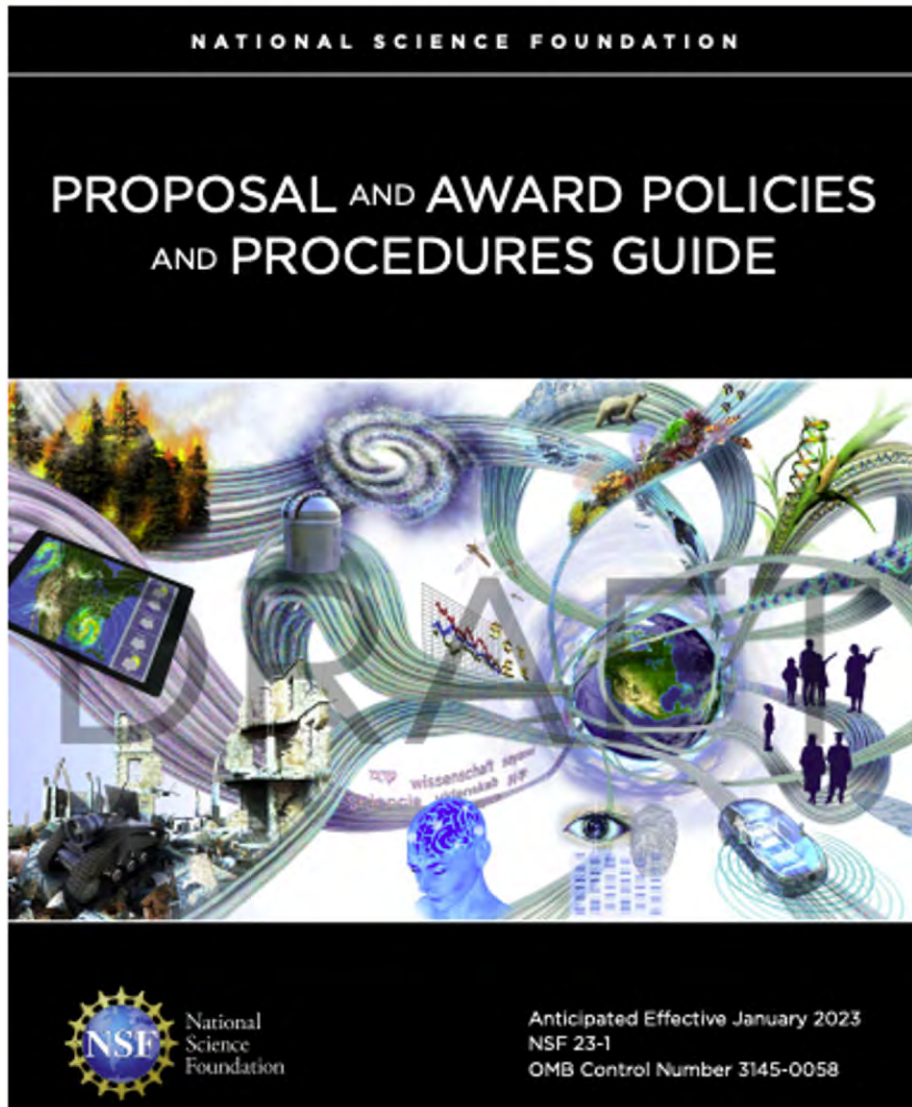
2008-09 to 2012-05 | BA Computer Science Education Show more detail

Source: Sofia Maria Hernandez Garcia



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2		* Persistent Identifier (PID) of the Senior/Key Person	URL, e.g.: https://orcid.org/NNNN-NNNN-NNNN-NNNN	No	Enter the PID of the senior/key person. The PID is a unique, open id same or a similar name.
3		* Position Title	--	No	Enter the current position title of the senior/key person.
4	Organization and Location	* Name	--	No	Enter the name of the primary organization of the senior/key person the project is not based in a physical location.
5		* Location	City, (State/Province [XX]), Country		
6	Professional Preparation	* Name of Organization	--	Yes	A list of the individual's professional preparation (e.g., education and fellowship training, as applicable, listing each separately. Also include For each entry provide: -the name of the organization; -the location of the organization: Enter the City, State/Province, and N/A. -the degree received (if applicable); -the month and year the degree was received (or expected receipt date); -the field of study.
7		* Location of Organization	City, (State/Province [XX]), Country		
8		* Degree Received (if applicable)	--		
9		* Month and Year the Degree was Received (or expected receipt date)	MM/YYYY		
10		* Field of Study	--		
11	Appointments and Positions	* Start Date	YYYY	Yes	A list, in reverse chronological order by start date, of all the individual's current appointment (including the associated organization and local institutional position whether or not remuneration is received, and when the individual signs the certification on behalf of themselves, it is not limited to, information related to domestic and foreign appointments.
12		* End Date	YYYY		
13		* Appointment or Position Title	--		
14		* Name of Organization	--		
15		* Department (if applicable)	--		
16		* Location of Organization	City, (State/Province [XX]), Country		
17	Products	* Names of Authors	Last, First Initial	Yes	A list of products that demonstrate the individual's qualifications to contribute to the field of study, including but not limited to: -publications, conference papers, and presentations; -website(s) or other internet site(s); -technologies or techniques; -inventions, patent applications, and/or licenses; and -other relevant information. When the individual signs the certification on behalf of themselves, it is not limited to, information related to domestic and foreign appointments.
18		* Product Title	--		
19		* Date of Publication or Release	DDMMYYYY		
20		* Website URL	--		
21		* Product Persistent Identifier	URL, e.g.: https://doi.org/10.NNNN/NXDXN		
22		* Other Relevant Citation Information	--		
23	Certification	* Signature	--	No	
24		* Date	DDMMYYYY		

NSF Response



NSF PAPPG

“Individuals are encouraged to obtain an ORCID ID to facilitate prepopulation of their biographical sketch in SciENcv. Use of an ORCID ID may help reduce the administrative burden associated with preparation of this section of the proposal.”

Courtesy: National Science Foundation



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NSF Response

What's on the horizon?

What's on the horizon...

Public Access & Research Integrity - Nelson Memo



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20502

August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM:

Dr. Alondra Nelson

A handwritten signature in blue ink that reads "Alondra Nelson".

Deputy Assistant to the President and Deputy Director for Science and Society
Performing the Duties of Director
Office of Science and Technology Policy (OSTP)

SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

Nelson memo - Section 4

4. Ensuring Scientific and Research Integrity in Agency Public Access Policies

- a) Collect and make publicly available appropriate metadata¹⁵ associated with scholarly publications and data resulting from federally funded research, to the extent possible at the time of deposit in a public access repository. Such metadata should include at minimum:
 - i) all author and co-author names, affiliations, and sources of funding, referencing digital persistent identifiers,¹⁶ as appropriate;
 - ii) the date of publication; and,
 - iii) a unique digital persistent identifier for the research output;
- b) Instruct federally funded researchers to obtain a digital persistent identifier that meets the common/core standards of a digital persistent identifier service defined in the NSPM-33 Implementation Guidance,¹⁷ include it in published research outputs when available, and provide federal agencies with the metadata associated with all published research outputs they produce, consistent with the law, privacy, and security considerations.
- c) Assign unique digital persistent identifiers¹⁸ to all scientific research and development awards¹⁹ and intramural research protocols that have appropriate metadata linking the funding agency and their awardees through their digital persistent identifiers.



Nelson memo - Timeline

All US government agencies that fund research must,

- Submit their *plans* for ORCID adoption by Dec 31, 2024
- All agencies update their *policies* regarding ORCID by Dec 31, 2026
- All agencies must *implement* ORCID adoption by Dec 31, 2027

What's on the horizon... G7 Science Ministers

G7 Working Group on Research Security & Integrity

- Working on a tool kit to coordinate efforts across the G7
- We don't know if the use of persistent identifiers is in this tool kit
- All G7 countries are strong ORCID adopters.

What's on the horizon...

Author identity fraud...

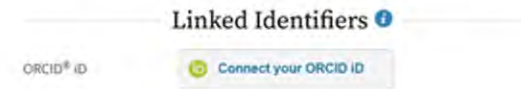
- Issue of research paper mills
- Mis-using researcher's names as authors or peer reviewers
- ORCID may be part of the solution
- Potential topic over the next year or two

What's on the horizon...

One last thing!

Your ORCID ID can now be added to your CITI Program profile.

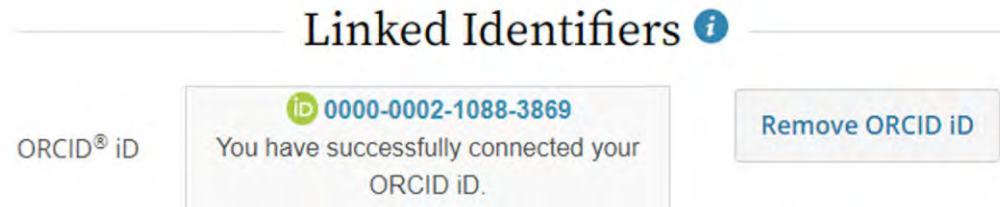
Button to Connect ORCID ID displayed on Profiles page:



Would you like to connect your ORCID® iD to your CITI Program account? ⓘ

 0000-0002-1088-3869

You have successfully connected your ORCID iD. It will be saved upon moving to the next step.



Summary

- Researchers - please register for an ORCID iD so you can be uniquely identified and get credit for your work
- Use your ORCID iD when you publish your research and apply for funding
- Employers of researchers - please write data to your researcher's ORCID records so they can spend more of their time conducting research and less on administration

References

Grove, Jack. 2022. "[Wiley investigates 'fake peer review' at psychology journal.](#)" *Times Higher Education*, September 16. Accessed November 8, 2022.

National Archives. 2021. "[Presidential Memorandum on United States Government-Supported Research and Development National Security Policy.](#)" Accessed November 8, 2022.

National Science and Technology Council. 2022. "[Guidance for Implementing National Security Presidential Memorandum 33 \(NSPM-33\) on National Security Strategy for United States Government-Supported Research and Development.](#)" Accessed November 8, 2022.

National Science Foundation (NSF). n.d. "[Proposal & Award Policies & Procedures Guide \(PAPPG\).](#)" Accessed November 8, 2022.

Nelson, Alondra. 2022. "[Ensuring Free, Immediate, and Equitable Access to Federally Funded Research.](#)" *Memorandum for the Heads of Executive Departments and Agencies*, August 25. Accessed November 8, 2022.

Open Researcher and Contributor iD (ORCID). n.d. "[About ORCID.](#)" Accessed November 8, 2022.

Additional Resources

[Register for an ORCID iD](#)

[ORCID membership for non-profit organizations](#)

[ORCID membership for federal government agencies](#)

Contact



Shawna Sadler - Engagement Manager, Outreach and
Partnerships
s.sadler@orcid.org

Questions?

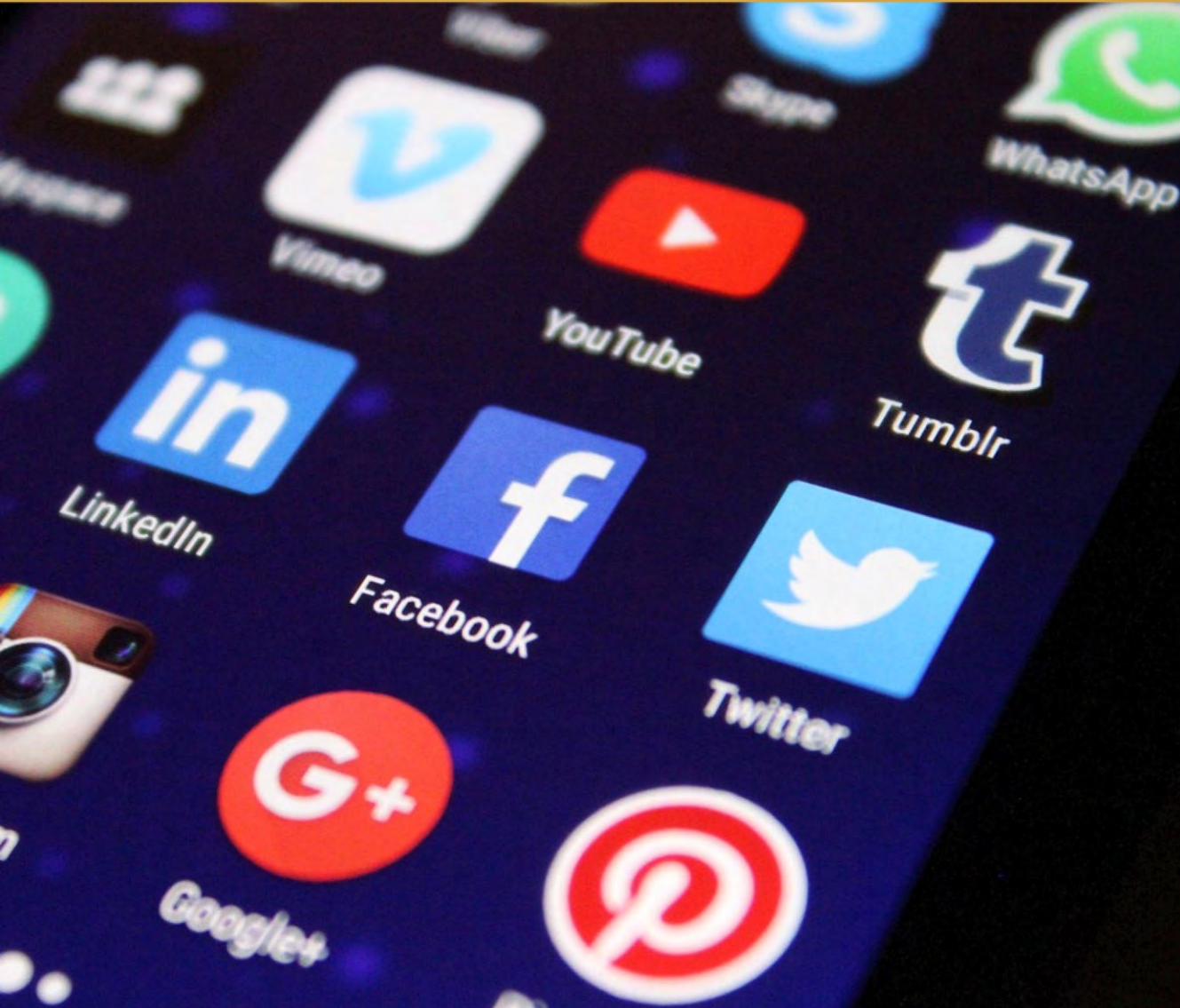


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