

# Case Study - National PID Strategies New Zealand

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| Title      | Case Study: PID Strategies in New Zealand  |
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## Features of National PID Approach and/or Strategy

### Lead organisation(s)

The overarching strategy was derived as a consequence of the 2016 Research, Science and Innovation Domain Plan [5], which was developed in a process led by the Ministry of Business, Innovation and Employment (MBIE); Statistics New Zealand; the Ministry of Education; and the Tertiary Education Commission. In addition, this domain plan was endorsed by the other major organisations responsible for administering government research support, i.e., Callaghan Innovation, the Health Research Council of New Zealand, the Ministry for the Environment, the Ministry for Primary Resources, and Royal Society Te Apārangī. The domain plan represented a commitment from the NZ government and funding agencies to improve coordination of data and information and to lay the framework for developing a system-wide national research data infrastructure.

Another foundational document for ORCID was the Joint Statement of Principle: Adoption and use of ORCID identifiers in New Zealand (MBIE, MPI, MOE, TEC, Science NZ, Universities NZ, Independent Research Association of New Zealand (IRANZ), NZ Association of Scientists, HRC, Royal Society Te Apārangī) [2].

The ORCID strategy is implemented by lead agency Royal Society Te Apārangī, advised by a sector-representative Advisory Committee.

The DOI strategy is implemented by lead agency National Library of New Zealand, which is part of the Department of Internal Affairs.

## Scope

The 'Research, Science and Innovation Domain Plan' [5] is intended to cover all research activity conducted in, or linked to, New Zealand.

The 'Joint Statement of Principle: Adoption and use of ORCID identifiers in New Zealand' [2] encourages the use of ORCID identifiers across the majority of the public research system, and commits signatories to supporting the use of the ORCID ID as the common researcher identifier in New Zealand.

For the NZ ORCID Consortium, membership is open to all NZ-based research organisations that are either: Government, Non-Profit, or IRANZ members, up to a limit of 99 members.

For the NZ DOI Consortium, membership is open to any New Zealand organisation as long as the organisation can:

- Provide and maintain at least the mandatory DataCite metadata elements for each item with a DOI.
- Make metadata openly available without restriction.
- Maintain a publicly accessible landing page for each item with a DOI.
- Ensure the DOI is updated as the landing page moves.

## Drivers

Quality data and information informs strategic direction, sets investment priorities and improves business decision-making.

DOIs improve citation, track research impact, promote best practices in sharing research, develop a community for sharing experience and best practices.

ORCID IDs lower costs for both researchers and research administrators, improve workflows, and enable reuse and sharing of research related data.

## Strategy development

Arguably, both the New Zealand ORCID and DOI consortia can claim to have their strategic origins in CONZUL (Council of NZ University Librarians, a committee of Universities New Zealand–Te Pōkai Tara) discussions and consultations undertaken in 2015-16.

Timeline for the DOI Consortium:

2015 - 2016 - CONZUL Working Group on Research Data Management was tasked to provide a framework on research data management. Some of the recommendations were that CONZUL member institutions “should adopt ORCID as a unique identifier of individuals and support national activity to enable this. CONZUL member institutions should adopt DataCite as a national data citation standard for research data objects and support national activity to enable this.” [4]

September 2017 - Report sponsored by CONZUL explored options for a Datacite service in New Zealand and recommended operating as a consortium of organisations

November 2018 - Series of meetings to discuss forming a Datacite DOI Consortium between representatives from University of Auckland, Canterbury University, data.govt.nz, ESR, Landcare Research, GNS, National Library of New Zealand, Statistics NZ. Various governance models for the Consortium were discussed. Ultimately members preferred a very light-weight structure.

January 2019 - Formation of the NZ DOI Consortium, led by National Library of New Zealand, with five initial member organisations

Timeline for the ORCID Consortium:

May 2015 - CONZUL agrees to form a joint working party with the Information and Communications Technology Committee (ICTC) to invite ORCID representatives to New Zealand.

September through November 2015 - ORCID in New Zealand scoping document presented to CONZUL/ICTC with a recommendation that CONZUL lobby MBIE to pursue an ORCID working group with a goal of national ORCID Consortium membership. MBIE hosts a roundtable discussion “Smart Research Information Systems for New Zealand” with ORCID Inc and sector representatives that leads to the formation of an ORCID Working Group (ORCID WG) to look at taking forward ORCID at a national level.

December 2015 - ORCID WG formed with representation from MBIE, the New Zealand Association of Scientists, Universities, Crown Research Institutes, research funders, and subsequently joined by a representative for IRANZ.

March 2016 - ORCID WG determines that all Universities, CRIs, and many IRANZ members and funders are interested in joining a national Consortium, and agrees that the Royal Society should be the lead agency. ORCID WG subgroup formed to draft a statement of principle for peak bodies and funders to endorse ORCID adoption. ORCID WG Technical subgroup formed to prepare Technical Requirements and recommendations for implementation in New Zealand.

April 2016 - MBIE agrees to provide financial support for the Consortium and lead agency role.

June 2016 - ORCID WG Technical subgroup reports back **[3]** with recommendation that a common web-based service be developed to remove technical and resource barriers to organisation participation.

July 2016 - Joint Statement of Principle: Adoption and use of ORCID identifiers in New Zealand published. **[1]**

June through September 2016 - ORCID WG and Royal Society recruit founding membership.

October 2016 - Formal launch of the New Zealand ORCID Consortium with the announcement of the 34 members (current membership 52).

June 2017 - Initial MVP of the NZ ORCID Hub launched (development completed late 2019).

## **Key features**

A key feature for both Consortia was the emphasis on consortia approaches to lowering the costs for the many smaller organisations in New Zealand.

In addition, and at the time, for ORCID there was a perceived need to lower technical barriers to integrating with ORCID APIs which drove the decision to pursue development of the NZ ORCID Hub.

## Key infrastructure

| Name of infrastructure   | Key purpose  | List of integrated PIDs                                       |
|--|--|---|
| NZ ORCID Hub<br><a href="https://orcidhub.org.nz/">https://orcidhub.org.nz/</a>  | Lower burdens of integration to enable all publicly funded NZ research organisations to participate  | ORCID iD, RINGGOLD, GRID/ROR, DOI                             |
| DataCite tools and infrastructure <ul style="list-style-type: none"> <li>Fabrica Web interface<br/><a href="https://doi.datacite.org/">https://doi.datacite.org/</a></li> <li>REST APIs<br/><a href="https://support.datacite.org/docs/api">https://support.datacite.org/docs/api</a></li> </ul> | Creation and management of DOIs; integration with data repository infrastructure; retrieve, query and browse DataCite DOI metadata records | DOI, ORCID iD, ROR ID   |
| The New Zealand Research Information System (NZRIS)<br><a href="https://www.mbie.govt.nz/science-and-technology/science-and-innovation/research-and-data/nzris/">https://www.mbie.govt.nz/science-and-technology/science-and-innovation/research-and-data/nzris/</a>                             | NZRIS will hold information about research funding and activity in New Zealand.  | ORCID iD, NZBN, GRID/ROR, DOI, award and contract identifiers |

## PIDs

| Function  | PID type     | Recommended or required?    |
|---|--------------|-----------------------------|
| Deduplication of researchers<br>Linkage with awards<br>Authoritative attribution of affiliation and works | ORCID iD     | Recommended                 |
| Identification of datasets, software and other types of research outputs                                  | DataCite DOI | Recommended                 |
| Identification of organisations   | GRID/ROR     | Recommended                 |
| Identification of organisations in NZRIS  | NZBN         | Required for data providers |

## Impact and monitoring

The NZ ORCID Consortium is operated by the Royal Society Te Apārangi as a Work Programme on behalf of MBIE. As a consequence, the activity comes with reporting and monitoring obligations, e.g., requirements for communications and timelines of support, secretariat support for the NZOC Advisory Committee, and other performance indicators such as the goal of 100% of members having an ORCID integration. In addition, the NZOC Advisory Committee set itself a goal of at least 80% of New Zealand's publicly-supported researchers having an ORCID iD; this target was reached June 2021 with ~83% of the NZ public research work force with an identifier, and this number continues to grow.

The NZ DOI Consortia does not currently use performance or other success indicators but will be looking to other DataCite DOI Consortia for potential models.

## Links

[1] [Joint Statement of Principle: Adoption and use of ORCID identifiers in New Zealand](#) (2016)

[2] NZ ORCID Consortium Advisory Committee Terms of Reference  
[https://www.royalsociety.org.nz/assets/ToRJul2020\\_Jun2022-v2.pdf](https://www.royalsociety.org.nz/assets/ToRJul2020_Jun2022-v2.pdf)

[3] [New Zealand ORCID Working Group High-Level Technical Requirements Subgroup Report and Recommendations](#) (June 2016)

[4] [Research Data Management Framework Report](#) (2016)

[5] [Research, Science and Innovation Domain Plan](#) (2016)