

Section I

Name of Committee: Research and Creative Activities Committee

Submitted by: Michael Todd

Date Submitted: 17 April 2024

Membership Roster:

Juliet Barnett, Katelyn Bolhofner, Cynthia Bolton Claudine DeCarolis, Gilberto Lopez, Christopher Rojas, and Michael Todd (Chair)

Ex officio membership: Matthew Hulver, Gregory Stone

Overview Narrative:

The following summarizes committee work accomplished throughout this past year:

The RCAC monitored the first full year of the implementation of the pilot Open Access Publishing Fund program, which was developed to address RFC-147.

In brief, the RCAC developed criteria for awarding funds to reimburse eligible ASU scholars and investigators who publish their work under an open access publication model. The primary purpose of this fund is to assist ASU scholars and investigators who do not have access to other institutional funds that might be used to cover article processing charges (APCs). The pilot program, which was approved and funded by the Provost's Office and Knowledge Enterprise and has been administered by the ASU Library, provides up to \$30,000 per fiscal year to reimburse up to \$1,500 in APCs per applicant.

While ASU Library staff have been responsible for day-to-day administration of the program, when questions have arisen regarding the eligibility of specific applications, the committee chair has provided consultation and acted as mediator when applicants have questioned or disputed decisions.

The committee continued its review of changes to RSP 604 pertaining to intellectual property (IP) created by ASU research and academic personnel as part of their professional duties at the University. After extensive discussion within the committee, the chair brought the topic to the Senate Executive Committee for further consultation regarding next steps in terms of information gathering and procedures for bringing the topic before the Senate as a whole. The chair then met with Skysong Innovations and Knowledge Enterprise staff and administrators to address questions that had been posed during discussions among members of the RCA and Executive Committees. All questions were answered to the satisfaction of the chair, and the plan is to move forward with bringing the matter before the members of the Senate.

Section II

Request for Consultations and/or topics reviewed by the committee and outcomes (topics reviewed by the committee decided not to act/review should be listed here with, no action taken):

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No Requests for Consultation were brought to the RCA Committee during the 2023-2024 academic year. The committee continued its review of changes to portions of the RSP Manual (RSP 604) pertaining to intellectual property (IP) created by ASU research and academic personnel as part of their professional duties at the University—see narrative above for details.

Section III

Request for Consultations and/or topics that were not started or remain unfinished and need to be carried over to the next academic year.

No new RFCs were opened this academic year, and none were carried over from the previous year. Presentation of, and Senate action on, the proposed changes to RSP 604 will need to be carried over to the 2024-2025 academic year.

Section IV

Recommendations to the Senate or Final Comments

The committee recommends that the Senate along with the Provost's Office, Knowledge Enterprise, and the ASU Library continue to support and, indeed, expand their efforts to support open access publication and open science initiatives, with financial resources, accessible technology, and skilled staff who have expertise in navigating a dynamic policy environment and evolving norms that increasingly emphasize accessibility, transparency, and accountability to professional peers and other stakeholders.

With respect to the Open Access Publication Fund program specifically, the committee recommends consideration of the following potential changes:

- 1) Increasing the maximum amount per award from \$1500 to \$2000 to better match the typical APCs assessed by journals.
- 2) Have each applicant name an administrative contact from their unit who can verify whether the applicant already has access to institutional funds that could be used to cover APCs (e.g., RID, IIA, Departmental discretionary monies).
- 3) Changing the eligibility criteria so that applicants who have access to small amounts of institutional funds (e.g., \$2000 or less) are eligible for the full award amount.
- 4) Move the administration of program finances from the ASU Library to another unit that has the staffing and processes in place to process reimbursements.

Further, the committee recommends that academic units work partner with the ASU Library to help faculty, trainees, and staff better understand the benefits of and potential barriers to open access publication and to make them aware of available resources, including the Open Access Publication Fund.

Please type a summary in 100 words or less in this space. This paragraph will be cut and pasted directly into the Senate Annual Report.

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PO Box 871703 Tempe, AZ 85287-1703
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The committee continued to provide advisory oversight for the pilot Open Access Publication Fund program to support ASU investigators' efforts to disseminate their work under an open access model. The committee will examine potential adjustments to the program and continues to recommend expanding financial, technology, and staff support for these efforts in response to policies, norms, and career considerations that increasingly emphasize accessibility and transparency in science and scholarship. The committee also looks forward to bringing proposed changes to ASU's intellectual property policy (described in RSP 604) before the Senate for discussion and a vote during the 2024-2025 academic year.

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