<table>
<thead>
<tr>
<th>Stage</th>
<th>Capability</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Envisioning &amp; Initiating</td>
<td>We have not yet considered the need for policy, strategy and support.</td>
</tr>
<tr>
<td>2</td>
<td>Discovering</td>
<td>We are aware of the need for policy, strategy and support for OA, but have not yet considered how to implement it.</td>
</tr>
<tr>
<td>3</td>
<td>Designing &amp; Piloting</td>
<td>We are designing a suite of reports and policies to guide decision-making and support OA.</td>
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<tr>
<td>4</td>
<td>Rolling out</td>
<td>We are rolling out systems and processes to support OA, including training and documentation.</td>
</tr>
<tr>
<td>5</td>
<td>Embedding</td>
<td>We are embedding OA into our institution's practices and culture.</td>
</tr>
</tbody>
</table>

### Institutional Policy & Strategy on OA
- We have developed an OA policy statement and have agreed to implement it. |
- Our OA policy, strategy and support have been well communicated to all stakeholders. |
- We have reviewed our publication policies and have agreed to implement them. |
- There is ongoing consultation with researchers and relevant support staff to ensure OA requirements for a future REF are considered.

### Financing OA
- We have a publication fund and policy to support OA. |
- We have considered what staff will be available to support OA and have tested our systems. |
- We have tested our system and know that it is robust and delivers all the information required for us to monitor OA compliance effectively. |
- We have checks in place to intervene if the correct processes are not being adhered to. |

### Services for OA
- We are considering what staff will be available to support OA and have tested our systems. |
- We have tested that embargoes are dealt with publication embargo OA and are considering ways to avoid this in the future. |
- We have processes to consider/review/analyse evidence of the impact of OA on research profile. |
- We have policies to guide staff on how to respond to OA requirements and to consider how to respond to OA requirements. |

### System to support OA compliance
- We are developing systems to support OA compliance effectively. |
- We have developed a range of communication and training materials to support OA. |
- We have designed a suite of reports to monitor and manage OA compliance. |
- We have processes to consider/review/OA outputs to changes/benefits. |

### Documentation of process
- We are designing a suite of reports to ensure compliance with funding bodies. |
- We are considering what systems are needed to monitor OA and have designed tools to support OA. |
- We are designing documentation to support publishing in the OA environment. |
- We have processes to consider/review/OA outputs to changes/benefits. |

### Publications and audit
- We are aware of issues with OA and are considering ways to deal with publication embargo OA. |
- We have considered how OA may affect our research environment. |
- We are considering the need for OA advocacy and are developing training programmes for relevant staff. |
- We are considering the need for OA funding and have agreed to allocate funds for OA support. |

### Outputs eg books, journal articles, data sets
- We have not yet considered how OA may affect our research output. |
- We have not yet considered how OA may affect our research environment. |
- We have not yet considered how OA may affect our research funding. |
- We have not yet considered how OA may affect our research output. |
**WHERE CAN I FIND IT?**

This resource is available from here [http://bit.ly/1ElNlK](http://bit.ly/1ElNlK)Y and is licenced under **CC BY**

This license lets others distribute, remix, tweak, and build upon your work, even commercially, as long as they credit you for the original creation. This is the most accommodating of licenses offered. Recommended for maximum dissemination and use of licensed materials.

**Feedback**

This is a pilot version so we are very keen of getting feedback on how it has been used in different institutions. How useful it is, how can we make it better?

**What Next?**

We are looking at alternative ways of delivering this tool. We are also developing similar tool to be completed by individuals.

**More information**

Visit our Blog: [sensemakingopenaccess.blogspot.co.uk/](http://sensemakingopenaccess.blogspot.co.uk/)

More about other pathfinder projects: [www.netvibes.com/sarahfahmyGeneral](http://www.netvibes.com/sarahfahmyGeneral)

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**COMING SOON**

**MIAO - MY INDIVIDUAL ASSESSMENT OF OPEN ACCESS**

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**November 2014**

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**JISC OA pathfinder project**

‘Making Sense - a researcher centred approach to funding mandates’

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**Pilot version**

**COLLABORATIVE INSTITUTIONAL ASSESSMENT OF OPEN ACCESS**

Based on the CARDIO tool - [www.dcc.ac.uk/projects/cardio](http://www.dcc.ac.uk/projects/cardio) | Oxford Brookes OA Pathfinder Prototype

**CIAO** is a benchmarking tool for assessing institutional readiness for Open Access (OA) compliance. The tool is based on the CARDIO (Collaborative Assessment of Research Data Infrastructure and Objectives- [http://cardio.dcc.ac.uk](http://cardio.dcc.ac.uk)). This tool has been produced as part of the **JISC OA Pathfinder: Making Sense: a researcher-centred approach to funder mandates**. The project runs from June 2014 – June 2016 and will explore researcher behaviours using sensemaking techniques, trying to get researchers to comply with UK research open access mandates because they want to rather than having to. The lead institution is Oxford Brookes University, associates are Nottingham Trent University and University of Portsmouth.

**HOW CAN IT BE USED?**

This version of CIAO is designed to be used in a workshop setting.

The workshop could be held at different levels in the organisation – institutional or at faculty, departmental level. It would require a Coordinator whose responsibility would be to gather together the key stakeholders involved in OA, publishing and research (maximum 20 participants) in their institution or faculty.

**Stage 1**

Participants to work in smaller groups of 1- 4. Each group should be made up of participants with different roles within the organisation eg. Senior academic, computer services, research support, researcher. Distribute a paper copy of the toolkit to each group, let each group make their assessments in discussion with the other members of the group. Each group should circle a box for each section which reflects where the group thinks the organisation is on the OA journey. Your circle can overlay two boxes if that better reflects your current position (allow 15 mins for this).

**Stage 2**

A group discussion about the assessments with the aim being to come to some overall consensus. The final document could be used as an aid to change, acknowledging the institution’s strengths and weaknesses and with an indication of what is required to maximise the institution’s engagement in OA.

**Stage 3**

Use the group discussion document and the original as reference documents to review progress towards the final stage, ‘5-Embedding’ at a later date.

**WHAT MAKES A SUCCESSFUL CIAO WORKSHOP SESSION?**

Consensus may not be possible if this a new way of working within your institution however the act of gathering people together and getting them to talk about OA can be a useful starting point to more meaningful discussions. It could always be used to review progress over a set time period.