

OA Sustainability index



	<div> <div>Low sustainability</div> <div></div> <div>High sustainability</div> </div>				
	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5
Funding management skills	Fundraising expertise to source seed capital	Operational funding in place. Budget planning and development expertise	Development funding in place. Budget deployment and management skills	Resilient funding plans to cover all business functions for the medium term	Resilient funding plans to cover all business functions for long term (5-10 years)
Business planning skills	Initial business plan in place	Market awareness; horizon scanning	Embedding adaptability to market changes	Formalised strategic planning process	Visionary management alert to internal and external opportunities
Business operational management skills	Basic facilities management	Appropriate human resources management	Crystallising a suitable organisational structure and culture	Settled, effective organisational workflows/systems	Professional management of facilities and human resources
Business development skills	Initial market research	Accurate market segmentation and development of value proposition	Marketing mix planning (including price, distribution, promotion and service development)	Continued development of effective sales approach, systems and workforce	Robust and adaptive sales and marketing strategies with achievable targets
Financial management skills	Basic financial management	Appropriate financial systems, including cost control	Provision of quality management accounting	Professional-level financial management	Appropriate financial strategy and systems with relevant targets
Technical development skills	Minimum skills required to provide the initial service/product	Higher order depth and breadth of skills	Appropriate management skills for managing development and expansion, including skills in outsourcing	Manage capacity for skills-based organisational growth	Settled as a forward-looking, innovative learning organisation capable of managing creativity
Legal skills	Ad hoc purchase of external expertise or rely on skills of host organisation (e.g. university)	Contracts for customers and staff become normalised	Processes are in place to adhere to relevant laws and regulations governing the enterprise	Settled arrangements are in place with a regular source of legal expertise	Periodic reviews are undertaken to ensure legislative compliance and efficacy of legal processes and paperwork
Policy awareness	Basic research to understand government, funder and other policies relevant to the enterprise	Invest in desk and field research to maintain current awareness of relevant policies	Sufficiently well established to be invited to policy development events	A network of contacts to enable early awareness of relevant policy shifts	Effective policy influencing capabilities
Governance system	At this stage governance systems are often ad hoc and informal	The need for appropriate systems of governance become clear	Effective governance systems evolve as the organisation shows it has the potential to grow	A formal governance system is established and effective in monitoring and advising	Periodic reviews of the appropriateness and effectiveness of the governance system are conducted
Organisational structure and interdependencies	Initial structure may not be expedient, not optimal	Early growth may highlight limitations of current structure	Structure is flexible enough to permit growth	Settled and effective organisational structure	Review effectiveness of structure regularly

What is the OA Sustainability Index?

In recent years a number of infrastructure and content services have been developed to support Open Access. In order to improve the sustainability and management of these services, Knowledge Exchange designed a programme of work to provide recommendations to stakeholders across the community.

One of the outputs of this programme of work is the Sustainability Index, a checklist for those charged with running Open Access infrastructure organisations. At a glance, such people can see the kinds of skills that should be deployed at particular stages in an organisation's growth as well as the types of business activities associated with those skills, in order to maintain sustainable Open Access services.

How can the Sustainability Index help?

The Sustainability Index can help to;

» Inform decisions about your institution's readiness for OA!

The Sustainability Index can help directors and managers of an organisation. It provides a helicopter view which allows them to identify essential skills or business-related activities required to run a sustainable Open Access-ready organisation

» Convince funders to relate grant decisions to business-like running of an OA service!

The Sustainability Index helps funders to refer grant applicants to required business skills and provisions that are essential for sustainable post-project phase

» The Sustainability Index helps to discuss or (self-) assess the sustainability of your OA service!

The Sustainability Index considers the state of development of the service, the skills required, and other essential aspects for successful, sustainable Open Access service provision



Visit the Knowledge Exchange website to find out more about our activities around the sustainability of Open Access services:
knowledge-exchange.info