

Open Access : Logic for OA Flag

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The logic for the OA Flag has been updated as follows:

- When the Public access to file is 'Unknown' (a new option in 5.8.0), the Open Access status is INDETERMINATE
- When content is imported from an online source, and a DOI is included in the imported data, Public access to file is default populated with 'Unknown' (was previously 'Not set')


This document outlines the logic for determining:

- the Open Access status of individual electronic versions uploaded to or linked from Research Outputs
- the Open Access status of the Research Output record as a whole

The following assumptions are made:

- If the electronic version has the Publication State 'In preparation' 'Submitted, or 'Unpublished', it will not be flagged as Open Access.
- 'Submitted manuscript' and 'other' file versions, if made accessible, are not deemed to provide Open Access¹. If no file version type is selected, the electronic version will not be flagged as Open Access.
- The logic does not consider record validation state. Given that each customer has different validation criteria for making content available on the Portal, we cannot simply use validated / not in determining the Open Access status. Users can use reporting to identify those records flagged as 'Open Access' that haven't yet been validated.
- 'Embargo state' is derived from the embargo dates input. If the current date falls within the embargo period, it is deemed to be 'In force'. If the embargo end date has passed, the state is deemed to be 'Passed'.
- If more than one electronic version is uploaded / input, so long as one of the items is Open Access, the record will be flagged as Open Access.

There are 5 Open Access states defined:

Open access status	Description	Logo
Open	Full text accessible openly via Portal / Web service / Backend, or via external site (e.g. via DOI)	 ²
Embargoed	Full text accessible openly via Portal / Web service after end of embargo period, and Backend, or via external site (e.g. via DOI)	
Closed	Full text accessible in Backend and IP restricted, or only accessible to associated Persons and Editors in Backend. For DOIs and links, full text is not openly available	
Indeterminate	The content is in a state where the Open Access status cannot be determined (e.g. document version not set, public access to file not set)	
None	The content is in a state where the Open Access status does not apply (e.g. 'in preparation', only the submitted manuscript attached, no electronic version is attached)	

Record visibility

In addition to fields such as Publication state, Document version of file, and Embargo state, the Open Access status is also determined by the overall visibility of the record, as per the logic described below.

Note that 'Restricted' Visibility includes Campus, Backend, and Confidential.

¹ We employ the definition of Open Access provided by the Budapest Open Access Initiative – "Open access (OA) means unrestricted online access to peer-reviewed scholarly research" (see <http://www.budapestopenaccessinitiative.org/boai-10-recommendations>), and that provided by CORE (COncecting REpositories) – "Usually [OA] refers to the practice of providing unrestricted access via the Internet to peer-reviewed scholarly articles" (see, <https://core.ac.uk/providers>)

² Logo will be displayed when output Open Access status is OPEN

Publication state	Access to an electronic version	Document version of file	Public access to file	Embargo state	Record visibility	Open Access status	
In preparation						NONE	
Submitted						NONE	
Accepted / In press	Document	Submitted manuscript				NONE	
		Accepted author manuscript	Open		Public	OPEN	
					Restricted	CLOSED	
		OR	Embargoed	In force		Public	EMBARGOED
						Restricted	CLOSED
		Proof	Embargoed	Passed		Public	OPEN
						Restricted	CLOSED
		OR	Final published version	Unknown			INDETERMINATE
						Restricted	CLOSED
							CLOSED
	Other version					NONE	
	No value					INDETERMINATE	
	Link	Submitted manuscript					NONE
		Accepted author manuscript	Open				OPEN
				Embargoed	In force		
		OR	Embargoed			Passed	
				Proof	Unknown		
		OR	Final published version			Restricted	
		Other version					NONE
		No value					INDETERMINATE
		DOI	Submitted manuscript				
	Accepted author manuscript		Open				OPEN
				Embargoed	In force		
	OR		Embargoed			Passed	
				Proof	Unknown		
	OR		Final published version			Restricted	
	Other version						NONE
	No value						INDETERMINATE
None						NONE	

Publication state	Access to an electronic version	Document version of file	Public access to file	Embargo state	Record visibility	Open Access status	
Published online ahead of print	Document	Submitted manuscript				NONE	
		Accepted author manuscript	Open		Public	OPEN	
					Restricted	CLOSED	
		OR Proof	Embargoed	In force		Public	EMBARGOED
						Restricted	CLOSED
		OR Final published version		Passed		Public	OPEN
						Restricted	CLOSED
			Unknown			INDETERMINATE	
			Restricted			CLOSED	
		Closed			CLOSED		
	Other version					NONE	
	No value					INDETERMINATE	
	Link		Submitted manuscript				NONE
			Accepted author manuscript	Open			OPEN
					Embargoed	In force	
			OR Proof	Passed			
					OR Final published version		Unknown
				Restricted			
						Closed	
			Other version				
			No value				
	DOI		Submitted manuscript				NONE
			Accepted author manuscript	Open			OPEN
					Embargoed	In force	
			OR Proof	Passed			
					OR Final published version		Unknown
				Restricted			
						Closed	
			Other version				
			No value				
None					NONE		

Publication state	Access to an electronic version	Document version of file	Public access to file	Embargo state	Record visibility	Open Access status	
Published	Document	Submitted manuscript				NONE	
		Accepted author manuscript	Open		Public	OPEN	
					Restricted	CLOSED	
		OR	Embargoed	In force	Public	EMBARGOED	
					Restricted	CLOSED	
		Proof		Passed	Public	OPEN	
					Restricted	CLOSED	
		OR	Final published version		Unknown	INDETERMINATE	
	Restricted				CLOSED		
				Closed	CLOSED		
	Other version				NONE		
	No value				INDETERMINATE		
	Link		Submitted manuscript				NONE
			Accepted author manuscript	Open			OPEN
						Embargoed	In force
			OR		Passed		OPEN
						Unknown	
			Proof			Restricted	CLOSED
						Closed	CLOSED
			Other version				NONE
	No value				INDETERMINATE		
	DOI		Submitted manuscript				NONE
			Accepted author manuscript	Open			OPEN
						Embargoed	In force
			OR		Passed		OPEN
						Unknown	
			Proof			Restricted	CLOSED
Closed						CLOSED	
Other version						NONE	
No value				INDETERMINATE			
None					NONE		
Unpublished						NONE	

Logic description for Developer

Step 1 : Initial OA Standing

Assume Initial Open Access Standing = OPEN, unless the following criteria apply:

Field	Logic
Access to an electronic version	<ul style="list-style-type: none"> If no Document, Link, or DOI is provided, Open Access Status = NONE
Publication state	<ul style="list-style-type: none"> If Publication state = In preparation OR Submitted OR Unpublished, Initial Open Access Standing = NONE
Document version of file	<ul style="list-style-type: none"> If Document version of file = Submitted manuscript OR Other version, Initial Open Access Standing = NONE If Document version of file = No value, Initial Open Access Standing = INDETERMINATE
Public access to file	<ul style="list-style-type: none"> If Public access to file = Restricted OR Closed, Initial Open Access Standing = CLOSED If Public access to file = Embargoed AND the embargo period is still in force, Initial Open Access Standing = EMBARGOED If Public access to file = Unknown, Initial Open Access Standing = INDETERMINATE

Step 2 : OA Status

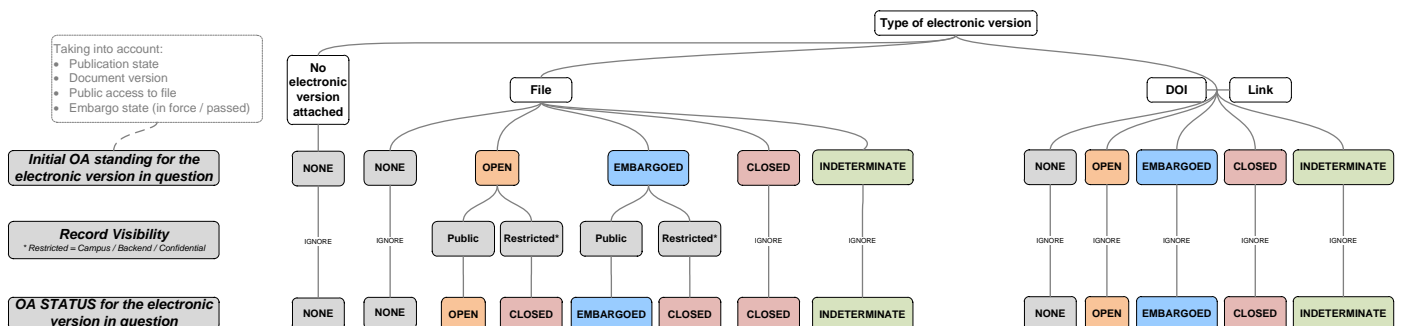
Field	Logic
Visibility	<ul style="list-style-type: none"> Ignore Visibility where: <ul style="list-style-type: none"> The electronic version is a Link OR DOI Initial Open Access Standing = NONE or CLOSED or INDETERMINATE Otherwise, if Visibility = Restricted, Open Access Status = CLOSED

Where more than one electronic version is attached (either Documents, Links, or DOIs), the following logic applies:

- The Open Access Status of the record should reflect the most open electronic version. So, for example, if the Author’s Accepted Manuscript is OPEN and the Publisher’s PDF is EMBARGOED, the Open Access Status of the record should be OPEN.
- Where more than one version is in the same most open state, then the most ‘advanced’ version should be stated in the Open Access status of the record. For example, if the Author’s Accepted Manuscript is OPEN and the Publisher’s PDF is OPEN, the Editor should state that the Open Access Status of the record is determined by the Publisher’s PDF.

Open Access Logic

Incorporating record Visibility



Where more than one electronic version is attached (either documents, links, or dois), the following logic applies:

- The Open Access Status of the record should reflect the most open electronic version. So, for example, if the Author’s Accepted Manuscript is OPEN and the Publisher’s PDF is EMBARGOED, the Open Access Status of the record should be OPEN.
- Where more than one version is in the same most open state, then the most ‘advanced’ version should be stated in the Open Access status of the record. For example, if the Author’s Accepted Manuscript is OPEN and the Publisher’s PDF is OPEN, the Editor should state that the Open Access Status of the record is determined by the Publisher’s PDF.

Warnings

A warning will be generated when the user attempts to save the Research Output record with an 'illogical' publication chronology. The expected chronology is as follows:

- In preparation EARLIER THAN
- Submitted EARLIER THAN
- Accepted / in press EARLIER THAN
- Published online ahead of print EARLIER THAN
- Published

Importing from online sources

When content is imported from an online source, and a DOI is included in the imported data, default values are populated as follows:

Field	Default value upon content import
Document version	Final published version
Public access to file	Unknown
License to document	Not set

Portal visibility

Input DOIs and Links are always be made visible on the portal (subject of course to record visibility selection), regardless of the Public access to file selection. The Public access to file selection should reflect whether / how an individual is able to access the full text. If a DOI is selected as 'Open', this means that the reader is able to access the file via the stated DOI (not that the DOI url is to be made visible on the portal).

Additionally, DOIs and Links are always to be made visible in relevant renders in the backend.

For documents, where the 'Public access to file' is *Unknown*, this is interpreted as *Closed* and is not made available in the Portal.