

Open Access : Logic for OA Flag

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The logic for importing from online sources has been updated to outline the logic when importing from SSRN.


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- If the electronic version has the Publication State ‘In preparation’ ‘Submitted, or ‘Unpublished’, it will not be flagged as Open Access.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) |  |
| 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 | Link | Submitted manuscript | | | | NONE | |
| | | | Accepted author manuscript | Open | | | OPEN | |
| | | | | | Embargoed | In force | | EMBARGOED |
| | | | | Passed | | | OPEN | |
| | | | OR | Proof | Unknown | | | INDETERMINATE |
| | | | | | | | Restricted | |
| | | | OR | Final published version | Closed | | | CLOSED |
| | | | | | | | | |
| | | | Other version | | | | | NONE |
| | | | No value | | | | | INDETERMINATE |
| | DOI | DOI | Submitted manuscript | | | | NONE | |
| | | | Accepted author manuscript | Open | | | OPEN | |
| | | | | | Embargoed | In force | | EMBARGOED |
| | | | | Passed | | | OPEN | |
| | | | OR | Proof | Unknown | | | INDETERMINATE |
| | | | | | | | Restricted | |
| | | | OR | Final published version | Closed | | | CLOSED |
| | | | | | | | | |
| 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 | | EMBARGOED |
| | | | OR Proof | Passed | | | | OPEN |
| | | | | | OR Final published version | | Unknown | |
| | | | | Restricted | | | | CLOSED |
| | | | | Closed | | | CLOSED | |
| | | | Other version | | | | | NONE |
| | | | No value | | | | | INDETERMINATE |
| | DOI | | Submitted manuscript | | | | NONE | |
| | | | Accepted author manuscript | Open | | | OPEN | |
| | | | | | Embargoed | In force | | EMBARGOED |
| | | | OR Proof | Passed | | | | OPEN |
| | | | | | OR Final published version | | Unknown | |
| | | | | Restricted | | | | CLOSED |
| | | | | Closed | | | CLOSED | |
| | | | 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 | 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 | | | EMBARGOED |
| | | | Passed | | | | | OPEN |
| | | OR | Proof | Unknown | | | | INDETERMINATE |
| | | | | | | Restricted | | |
| | | OR | Final published version | Closed | | | | CLOSED |
| | | | | | | | | |
| | Other version | | | | | NONE | | |
| | No value | | | | | INDETERMINATE | | |
| | DOI | Submitted manuscript | | | | | NONE | |
| | | Accepted author manuscript | Open | | | | OPEN | |
| | | | | Embargoed | In force | | | EMBARGOED |
| | | | Passed | | | | | OPEN |
| | | OR | Proof | Unknown | | | | INDETERMINATE |
| | | | | | | Restricted | | |
| OR | | Final published version | 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

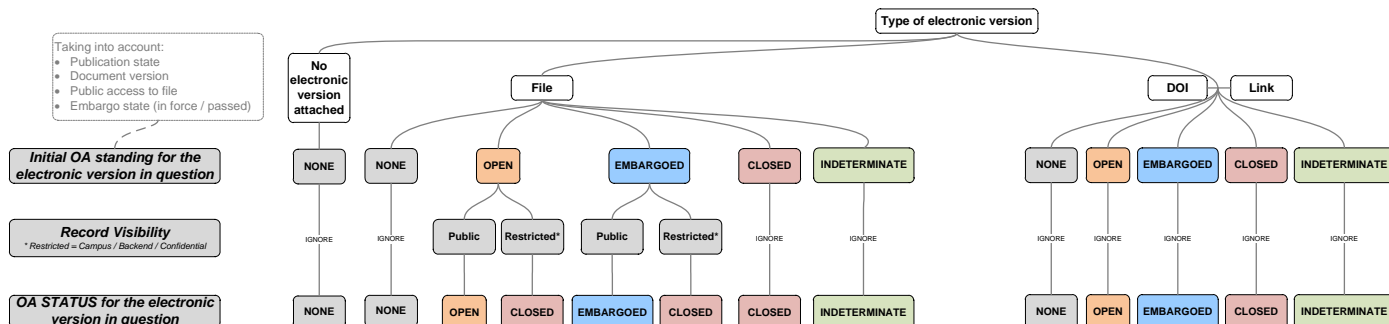
| Field | Logic |
|------------|---|
| Visibility | <ul style="list-style-type: none"> Ignore Visibility where: <ul style="list-style-type: none"> The electronic version is a Link OR DOI Initial Open Access Standing = NONE or CLOSED or INDETERMINATE Otherwise, if Visibility = Restricted, Open Access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

When importing from SSRN, both DOIs and URLs can be provided. Default values are populated as follows:

| SSRN data supplied | | | Default value upon content import to Pure | | | |
|--------------------|----------|-----------|---|------------------|-----------------------|---------------------|
| Link type | Fee flag | Full text | Import content as | Document version | Public access to file | License to document |
| DOI | N | Y | Electronic version : DOI | Not set | Open | Not set |
| | Y | Y | Electronic version : DOI | Not set | Closed | Not set |
| URL | N | Y | Electronic version : Link | Not set | Open | Not set |
| | Y | Y | Electronic version : Link | Not set | Closed | Not set |
| | N | N | Other link | - | - | - |

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.