

Open Access : Logic for OA Flag

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The logic for the OA Flag has been updated to capture the introduction of the new Document version type 'Proof'.


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- If the electronic version has the Publication State ‘In preparation’ ‘Submitted, or ‘Unpublished’, it will not be flagged as Open Access.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 (COncnecting 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 or EMBARGOED and the embargo end date has passed

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
		OR	Embargoed	Passed		Public	OPEN
						Restricted	CLOSED
			Final published version	Restricted			CLOSED
			Final published version	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	No value			INDETERMINATE
		OR	Final published version	Restricted			CLOSED
			Final published version	Closed			CLOSED
			Other version				NONE
			No value				INDETERMINATE
		DOI	Submitted manuscript				
	Accepted author manuscript		Open				OPEN
				Embargoed	In force		EMBARGOED
			Passed			OPEN	
	OR		Proof	No value			INDETERMINATE
	OR		Final published version	Restricted			CLOSED
			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	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					CLOSED	
						CLOSED		
	Final published version					CLOSED		
	Other version					NONE		
	No value					INDETERMINATE		
	Link	Link	Submitted manuscript				NONE	
			Accepted author manuscript	Open			OPEN	
			OR	Embargoed	In force			EMBARGOED
							Passed	
			Proof					INDETERMINATE
								CLOSED
			OR					CLOSED
						CLOSED		
	Final published version					CLOSED		
	Other version					NONE		
	No value					INDETERMINATE		
	DOI	DOI	Submitted manuscript				NONE	
			Accepted author manuscript	Open			OPEN	
			OR	Embargoed	In force			EMBARGOED
							Passed	
			Proof					INDETERMINATE
							CLOSED	
OR							CLOSED	
					CLOSED			
Final published version					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	Embargoed	In force		Public	EMBARGOED	
						Restricted	CLOSED	
		Proof	Embargoed	Passed		Public	OPEN	
						Restricted	CLOSED	
		OR					CLOSED	
						CLOSED		
	Final published version					CLOSED		
	Other version					NONE		
	No value					INDETERMINATE		
	Link	Link	Submitted manuscript				NONE	
			Accepted author manuscript	Open			OPEN	
					Embargoed	In force		EMBARGOED
				Passed			OPEN	
			OR					INDETERMINATE
								CLOSED
			Proof					CLOSED
								CLOSED
	Final published version					CLOSED		
	Other version					NONE		
	No value					INDETERMINATE		
	DOI	DOI	Submitted manuscript				NONE	
			Accepted author manuscript	Open			OPEN	
					Embargoed	In force		EMBARGOED
				Passed			OPEN	
			OR					INDETERMINATE
							CLOSED	
Proof							CLOSED	
							CLOSED	
Final published version					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 = No value, Initial Open Access Standing = INDETERMINATE

Step 2 : OA Status

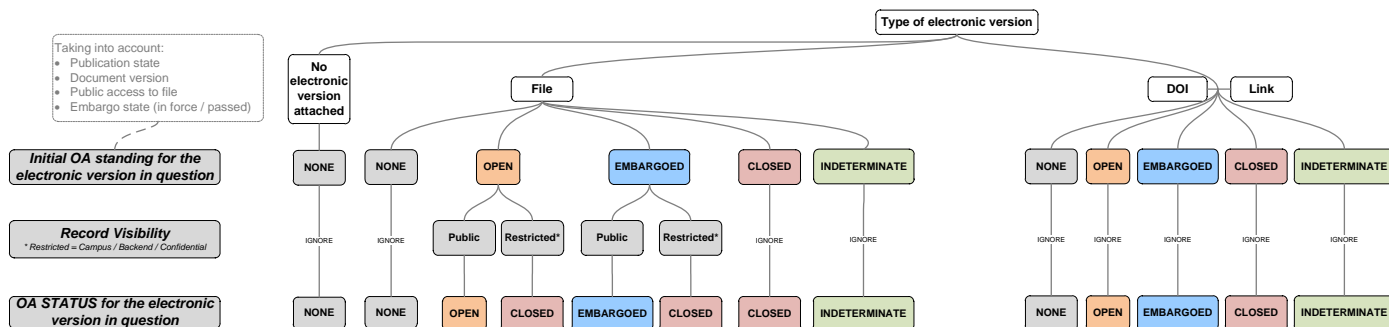
Field	Logic
Visibility	<ul style="list-style-type: none"> Ignore Visibility where: <ul style="list-style-type: none"> The electronic version is a Link OR DOI Initial Open Access Standing = NONE or CLOSED or INDETERMINATE Otherwise, if Visibility = Restricted, Open Access Status = CLOSED

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	No value
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.