

Open Access : Logic for OA Flag

Released : 5.3.0 / 4.22.0

Updated : 5.3.3 / 4.22.3

The logic for the OA Flag has been updated to reflect customer feedback on the initial 5.3.0 / 4.22.0 release. The following elements have been updated:

- When the Public access to file is 'No value' (only available for DOIs and Links), the Open Access status is INDETERMINATE
- Where the embargo state is 'Passed', the Open Access status is OPEN
(this was the functionality offered in 5.3.0, but the previous version of this document did not reflect this)
- When importing from online sources where a DOI is included in the imported data, the default values have been updated (see below)


This document now also clarifies the relationship between Portal visibility of content and the selected Public access to file value.

This document outlines the logic for the Open Access flag on Research Outputs.

The following assumptions are made:

- If the output has the Publication State ‘In preparation’ ‘Submitted, or ‘Unpublished’, it will not be flagged as Open Access.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 output 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

If the Open Access status is NONE, Visibility is ignored and the Open Access status remains as NONE. For all other Open Access states, if Visibility is Campus / Backend / Confidential, the Open Access Status is CLOSED³.

We also plan to update the Open Access status logic where a DOI or link has been input, flagged as open, but the visibility of the record is backend. Just because the portal doesn’t display the record doesn’t mean that the output itself isn’t open access – it is, but just elsewhere. We are investigating how to update the Open Access status logic to possibly ignore Visibility when a DOI or link has been input.

¹ “Open access (OA) means unrestricted online access to peer-reviewed scholarly research.” (see <http://www.budapestopenaccessinitiative.org/boai-10-recommendations> and http://en.wikipedia.org/wiki/Open_access)

² Logo will be displayed when output Open Access status is OPEN or EMBARGOED and the embargo end date has passed

³ Note that there is a bug here (we hope to have this resolved in a 5.4 / 4.23 bug-fix release) such that this logic is not working as expected (where Open Access status is NONE, Visibility is not being ignored and content is being described as CLOSED where Visibility ≠ Public).

Publication state	Access to an electronic version	Document version of file	Public access to file	Embargo state	Open Access status
In preparation					NONE
Submitted					NONE
Accepted / In press	Document	Submitted manuscript			NONE
		Author's accepted manuscript	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			Restricted		CLOSED
		Closed		CLOSED	
		Publisher's PDF	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			Restricted		CLOSED
		Closed		CLOSED	
		Other version			NONE
		No value			INDETERMINATE
		Link	Submitted manuscript		
	Author's accepted manuscript		Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
			Restricted		CLOSED
	Closed			CLOSED	
	Publisher's PDF		Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
			Restricted		CLOSED
	Closed			CLOSED	
	Other version				NONE
	No value			INDETERMINATE	
	DOI	Submitted manuscript			NONE
		Author's accepted manuscript	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
			Restricted		CLOSED
		Closed		CLOSED	
		Publisher's PDF	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
			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	Open Access status
Published	Document	Submitted manuscript			NONE
		Author's accepted manuscript	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			Restricted		CLOSED
			Closed		CLOSED
		Publisher's PDF	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			Restricted		CLOSED
		Closed		CLOSED	
		Other version			NONE
		No value			INDETERMINATE
		Link	Submitted manuscript		
	Author's accepted manuscript		Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
			Restricted		CLOSED
	Closed			CLOSED	
	Publisher's PDF		Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
	Restricted			CLOSED	
	Closed			CLOSED	
	Other version				NONE
	No value			INDETERMINATE	
	DOI	Submitted manuscript			NONE
		Author's accepted manuscript	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
			Restricted		CLOSED
		Closed		CLOSED	
		Publisher's PDF	Open		OPEN
			Embargoed	In force	EMBARGOED
				Passed	OPEN
			No value		INDETERMINATE
		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	Open Access status	
Published online ahead of print	Document	Submitted manuscript			NONE	
		Author's accepted manuscript	Open		OPEN	
			Embargoed	In force	EMBARGOED	
				Passed	OPEN	
			Restricted		CLOSED	
			Closed		CLOSED	
		Publisher's PDF	Open		OPEN	
			Embargoed	In force	EMBARGOED	
				Passed	OPEN	
			Restricted		CLOSED	
	Closed		CLOSED			
	Other version			NONE		
	No value			INDETERMINATE		
	Link	Submitted manuscript				NONE
		Author's accepted manuscript	Open			OPEN
			Embargoed	In force	EMBARGOED	
				Passed	OPEN	
			No value		INDETERMINATE	
			Restricted		CLOSED	
		Closed		CLOSED		
		Publisher's PDF	Open			OPEN
			Embargoed	In force	EMBARGOED	
				Passed	OPEN	
	No value			INDETERMINATE		
	Restricted		CLOSED			
	Closed		CLOSED			
	Other version			NONE		
	No value			INDETERMINATE		
	DOI	Submitted manuscript				NONE
		Author's accepted manuscript	Open			OPEN
			Embargoed	In force	EMBARGOED	
				Passed	OPEN	
			No value		INDETERMINATE	
Restricted				CLOSED		
Closed			CLOSED			
Publisher's PDF		Open			OPEN	
		Embargoed	In force	EMBARGOED		
			Passed	OPEN		
	No value		INDETERMINATE			
Restricted		CLOSED				
Closed		CLOSED				
Other version			NONE			
No value			INDETERMINATE			
None					NONE	
Unpublished					NONE	

Logic description for Developer

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

Field	Logic
Publication state	<ul style="list-style-type: none"> If Publication state = In preparation OR Submitted OR Unpublished, Open Access Status = NONE
Access to an electronic version	<ul style="list-style-type: none"> If no Document, Link, or DOI is provided, Open Access Status = NONE
Document version of file	<ul style="list-style-type: none"> If Document version of file = Submitted manuscript OR Other version, Open Access Status = NONE If Document version of file = No value, Open Access Status = INDETERMINATE
Public access to file	<ul style="list-style-type: none"> If Public access to file = Restricted OR Closed, Open Access Status = CLOSED If Public access to file = Embargoed AND the embargo period is still in force = EMBARGOED If Public access to file = No value, Open Access Status = INDETERMINATE
Visibility	<ul style="list-style-type: none"> If Open Access Status = NONE, ignore Visibility Note that there is a bug here (we hope to have this resolved in a 5.4 / 4.23 bug-fix release) such that this logic is not working as expected (where Open Access status is NONE, Visibility is not being ignored and content is being described as CLOSED where Visibility ≠ Public). For all other Open Access states, if Visibility = Campus OR Backend OR Confidential, Open Access Status = CLOSED

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

- The Open Access Status should reflect the most open version. So, for example, if the Author's Accepted Manuscript is OPEN and the Publisher's PDF is EMBARGOED, the Open Access Status should be OPEN.
- Where more than one version is in the same most open state, then the most 'advanced' version should be stated. 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 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	Publisher's PDF
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.