

Contents

<i>Acknowledgments</i>	viii
<i>List of abbreviations</i>	ix
1. Introduction	1
1.1 Development of the academic publishing market and the serials crisis	1
1.2 Copyright protection in academic publishing	3
1.3 The origins of open access in academic publishing	6
2. The academic publishing market	10
2.1 The economics of academic publishing	10
2.1.1 The reward structure in science	10
2.1.2 The organization of academic publishing	12
2.2 The academic journal publishing market	15
2.2.1 The supply side	16
2.2.1.1 Characteristics of journal publishers	16
2.2.1.2 Characteristics of different research fields	21
2.2.2 The demand side: journal prices and the serials crisis	23
2.3 The open access movement	29
2.3.1 Open access publishing: an overview	29
2.3.1.1 The gold road	29
2.3.1.2 The green road	39
2.3.2 Recent developments	44
2.3.2.1 General development	44
2.3.2.2 Policy development	48
2.3.2.2.1 Support by national parliaments and governments and by the European Commission	48
2.3.2.2.2 Support by research funders	52
2.3.2.2.3 Support by universities and research institutes	53
2.4 Preliminary results	55

3. An international survey analysis	57
3.1 Research setting	57
3.1.1 Research questions	57
3.1.2 Conducting the survey	58
3.2 Descriptive statistics	59
3.2.1 A general overview	59
3.2.2 By research field	62
3.2.2.1 The gold road	62
3.2.2.2 The green road	64
3.2.2.3 Conclusions	65
3.2.3 By country	67
3.2.3.1 The gold road	67
3.2.3.2 The green road	70
3.2.3.3 Conclusions	71
3.3 Empirical analysis	72
3.3.1 Method	72
3.3.2 The gold road	73
3.3.3 The green road	88
3.4 General conclusions	96
4. Policy implications and the way forward	97
4.1 Alternative policy instruments	97
4.2 The financial viability of a large-scale transition to gold OA	98
4.3 Limits to OA	102
4.3.1 Limits to gold OA	102
4.3.2 Limits to green OA	107
4.4 Fundamental requirements for an efficient transition to OA	107
4.4.1 Proper incentives for academic publishers	108
4.4.2 Quality assurance	109
4.4.3 Proper assessment of scholars	112
4.4.4 Guarantee of academic freedom	114
4.5 Conclusions	115
5. Summary and outlook	117
Appendix 1 The academic journal market	123
The data	123
Journals in different fields of research	127

Appendix 2 Open access journals	128
The DOAJ data	128
OA journals in different fields of research	130
Appendix 3 An international survey analysis	131
Descriptive statistics	131
Empirical results	133
Appendix 4 The questionnaire	137
Part A: Personal questions	137
Part B1: Gold road of OA (i.e. OA journals)	139
Part B2: Rating of OA journals	140
Part C1: The green road (OA repositories)	141
Part C2: Rating of OA repositories	143
References	144
Index	153