The COUNTER Code of Practice

Journals and Databases: Release 2

Published April 2005; Valid from 1 January 2006

Abstract

COUNTER has been developed to provide a set of international, extendible Codes of Practice that allow the usage of online information products and services to be measured in a credible, consistent and compatible way using vendor-generated data. The COUNTER Code of Practice for Journals and Databases specifies: the data elements to be measured; definitions of these data elements; usage report content, format, frequency and methods of delivery; protocols for combining usage reports from direct use and from use via intermediaries. It also provides guidelines for data processing by vendors and auditing protocols. Release 2 of the COUNTER Code of Practice for Journals and Databases has been developed with input from vendors, librarians and intermediaries, and contains the following new features:

- A modified Journal Report 1, which, in addition to the data provided in Release 1, now reports total usage statistics for html and PDF full-text requests separately.
- The inclusion of new 'Publisher' and 'Platform' fields in the usage reports
- Examples of the required usage reports in Excel and CSV formats, along with the detailed display rules for each report.
- A modified Table 1: in Release 1 this contained a comprehensive list of terms and definitions: it now contains only those terms and definitions specifically relevant to the Usage Reports contained in Release 2. The more comprehensive list of terms and definitions is now published as Appendix A to Release 2.
- A more detailed description of the protocols to be used when filtering out double clicks
- The protocols to be used for recording and reporting usage when an intermediary aggregator or gateway is involved have been collected together in the new Table 2. The objective of these protocols is to avoid duplication of counting by the publisher that owns the content and the aggregator/gateway that provides access to it.
- A new Appendix E, which provides the specifications for the Auditing process that is required of COUNTER compliant vendors
- A new Appendix G that provides XML DTDs for the usage reports

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COUNTER Code of Practice

Journals and Databases

Release 2

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CONTENTS

Note: Sections 3, 4, and 5 contain the core information required for implementation of Release 2 of the COUNTER Code of Practice.

1. Foreword

COUNTER (Counting Online Usage of NeTworked Electronic Resources) was formally established in March 2002. Release 1 of the COUNTER Code of Practice for Journals and Databases was launched in December 2002, and Release 2 in April 2005. COUNTER serves librarians, vendors and intermediaries by facilitating the recording and exchange of online usage statistics. This COUNTER Code of Practice provides guidance on data elements to be measured, definitions of these data elements, output report content and format, as well as on data processing and auditing. To have their usage statistics and reports designated 'COUNTER-compliant' vendors must provide usage statistics that conform to the Code of Practice.

COUNTER is widely supported by the international community of librarians, publishers and intermediaries, as well as by their professional bodies. This Code of Practice has been developed with the active participation of representatives of all these groups, who are represented on the Board of Directors, the Executive Committee as well as on the International Advisory Board of COUNTER (See Appendix C).

The following organizations support COUNTER:

AAP, Association of American Publishers
ALPSP, The Association of Learned & Professional Society Publishers
ARL, Association of Research Libraries
ASA, Association of Subscription Agents and Intermediaries
BIC/EDItEUR
JISC, Joint Information Systems Committee
NCLIS, National Commission on Libraries and Information Science
NISO, National Information Standards Organization
PA, The Publishers Association
STM, International Association of Scientific, Technical & Medical Publishers
UKSG, United Kingdom Serials Group

COUNTER is deeply grateful to its Founding Sponsors, listed below, whose generous financial contributions have enabled this project to commence its work. We salute their vision, commitment and support.

AAP/PSP, Association of American Publishers, Professional and Society Publishing Division
ACRL, Association of College & Research Libraries
AIP, American Institute of Physics
ALPSP, The Association of Learned & Professional Society Publishers
ARL, Association of Research Libraries
ASA, Association of Subscription Agents and Intermediaries
Atypon Systems Inc.
Blackwell Publishing
BMJ Publishing Group
EBSCO Information Services
Elsevier
HighWire Press
Ingenta
ICSTI, International Council for Scientific & Technical Information
Institute of Physics Publishing
JISC, Joint Information Systems Committee
JSTOR
Lippincott, Williams & Wilkins
Nature Publishing Group
New England Journal of Medicine
OCLC, Online Computer Library Center, Inc.
Oxford University Press
PA, The Publishers Association
ProQuest
STM, International Association of Scientific, Technical & Medical Publishers
Swets
Taylor & Francis Group
Thieme Publishing Group
UKSG, United Kingdom Serials Group

2. General information

2.1 Purpose

The purpose of the COUNTER Codes of Practice is to facilitate the recording, exchange and interpretation of online usage data by establishing open, international standards and protocols for the provision of vendor-generated usage statistics that are consistent, credible and compatible. COUNTER builds on a number of important ongoing initiatives, standards and protocols, See Section 8 below.

2.2 Scope

This COUNTER Code of Practice provides a framework for the recording and exchange of online usage statistics for journals and databases at an international level. In doing so, it covers the following areas: data elements to be measured; definitions of these data elements; content and format of usage reports; requirements for data processing; requirements for auditing; guidelines to avoid duplicate counting when intermediary gateways and aggregators are used.

2.3 Application

COUNTER is designed for librarians, vendors and intermediaries. The guidelines provided in the Codes of Practice enable librarians to compare statistics from different vendors, to make better-informed purchasing decisions, and to plan infrastructure more effectively. COUNTER also provides vendors/intermediaries with the detailed specifications they need to generate data in a format useful to customers, to compare the relative usage of different delivery channels, and to learn more about online usage patterns. COUNTER also provides guidance to others interested in information about online usage statistics.

2.4 Strategy

COUNTER provides open Codes of Practice that evolve in response to the demands of the international librarian, publishing and intermediary communities. A conscious decision was taken to limit this Release to providing a set of relatively simple, reliable usage reports for journals and databases. The Code of Practice is kept continually under review and feedback on its scope and application are actively sought from all interested parties. See Section 10 below.

2.5 Governance

The COUNTER Codes of Practice are owned and developed by Counter Online Metrics, a not-for-profit company registered in England. Counter Online Metrics is governed by a Board of Directors, chaired by Richard Gedye of Oxford University Press. An Executive Committee reports to the Board, and the day-to-day management of COUNTER is the responsibility of the Project Director, Peter Shepherd (pshepherd@projectCounter.org). See Section 9 below.

2.6 Definitions

This Code of Practice provides definitions of data elements and other terms that are relevant, not only to the usage reports specified in Release 2, but also to other reports that vendors may wish to generate. Every effort has been made to use existing ISO, NISO, etc. definitions where appropriate, and the source is cited. See Appendix A.

2.7 Versions

This COUNTER Code of Practice will be extended and upgraded on the basis of input from the communities it serves. Each new version will be made available as a numbered Release on the COUNTER website; users will be alerted to its availability. A separate COUNTER Code of Practice covering e-books and e-reference works is now available in draft form on the COUNTER website.

2.8 Auditing and COUNTER compliance

Auditing will be required of each vendor's reports and processes to certify that they are COUNTER compliant. The auditing process is designed to be simple, straightforward and not to be unduly burdensome or costly to the vendor. See Section 6 below and Appendix E for more details.

2.9 Relationship to other standards, protocols and codes

The COUNTER Codes of Practice build on a number of existing industry initiatives and standards that address vendor-based network performance measures. (See Section 8 below). Where appropriate, definitions of data elements and other terms from these sources have been used in this Code of Practice, and these are identified in Appendix A.

2.10 Making comments on the Code of Practice

The COUNTER Executive Committee welcomes comments on the Code of Practice. See Section 10 below.

3. Definitions of terms used

Table 1 below lists the terms directly relevant to Release 2 of the Code of Practice and provides a definition of each term, along with examples where appropriate. In order to be designated compliant with the COUNTER Code of Practice, vendors must adhere to the definitions provided.

TABLE 1: Alphabetical list of definitions of terms relevant to the Release 2 Usage Reports

(This list is extracted from the more comprehensive Glossary of Terms contained in Appendix A)

Term	Examples/formats	Definition	Glossary Reference Number
Aggregator	ProQuest, Gale, Lexis Nexis	A type of vendor that hosts content from multiple publishers, delivers content direct to customers and is paid for this service by customers	3.1.1.10
Article		An item of original written work published in a journal or other serial publication. An article is complete in itself, but usually cites other relevant published works in its list of references	3.1.2.2
Collection	Science Direct Backfiles	A subset of the content of a service; a collection is a branded group of online information products from one or more vendors that can be subscribed to/licensed and searched as a group.	3.1.1.18
Consortium	Ohiolink	The consortium through which the institution or user obtained online access. A	3.3.3

		consortium is defined by a range of IP addresses that may be in specific groupings (e.g. institutes)	
Consortium member	Ohio State University	A university, hospital or other institute that has obtained access for its users to online information resources as part of a consortium. A consortium member is defined by a subset of the Consortium's range of IP addresses.	3.3.4
Customer		An individual or organization that pays a vendor for access to a specified range of the vendor's services and/or content and is subject to terms and conditions agreed with the vendor	3.3.1
Database	Social Science Abstracts	A collection of electronically stored data or unit records (facts, bibliographic data, texts) with a common user interface and software for the retrieval and manipulation of data (NISO)	3.1.1.11
Database record		An individual record in a standard format, the collection of which in a form that can be processed by a computer constitutes a database	3.1.2.7
Full-text article		The complete text, including all references, figures and tables, of an article, plus links to any supplementary material published with it.	3.1.2.6
Gateway	SWETSwise, OCLC ECO	An intermediary online service which does not store the items requested by the user, and which either a) refers these requests to a host or vendor site or service from which the items can be downloaded by the user, or b) requests items from the vendor site or service and delivers them to the user within the gateway environment.	3.1.1.8
Host	Ingenta, HighWire	An intermediary online service which stores items that can be downloaded by the user	3.1.1.7
HTML		Article formatted in HTML so as to be readable by a web browser	3.1.2.6.1
IP address	The IP address seen by the primary service-this may be the real end-user's IP or a proxy IP. This is always recorded, even if the authentication is not via IP address	IP address of the computer on which the session is conducted	3.1.4.2
Item	Full text article, TOC, Abstract, Database record	A uniquely identifiable piece of published work that may be original or a digest or a review of other published work. PDF, Postscript and HTML formats of the same full text article (for example), will be counted as separate items.	3.1.2.1
Item Requests		Number of items requested by users as a result of a search. User requests include viewing, downloading, emailing and printing of items, where this activity can be recorded and controlled by the server rather than the browser. Turnaways will also be counted. (See 3.1.5.4)	3.1.2.9
Journal	Tetrahedron Letters	A serial that is a branded and continually growing collection of original articles within	3.1.1.5

		a particular discipline	
Licensee		= Subscriber (see definition below)	3.3.2
Online ISSN	Free text format (up to 13 characters in future)	Unique International Standard Serial Number assigned to the online version of a journal by the national ISSN agency of the country from which the journal is published. (See 'Print ISSN')	3.1.1.13
PDF		Article formatted in portable document format so as to be readable via the Adobe Acrobat reader; tends to replicate online the appearance of an article as it would appear in printed page form	3.1.2.6.2
Platform		An interface from an Aggregator, Host, Publisher or Service that delivers the content to the user and that counts and provides the COUNTER usage reports.	3.1.1.27
Print ISSN	Free text format (up to 13 characters in future)	Unique International Standard Serial Number assigned to the print version of a journal by the national ISSN agency of the country from which the journal is published. Each ISSN is a unique identifier for a specific continuing resource. ISSN are applicable to most continuing resources, whether past, present, or to be produced in the future, whatever the medium of production. Continuing resources are issued over time with no predetermined conclusion. ISSN are assigned to the entire population of serials and most integrating resources. (General Assembly and Board of ISSN Network)	3.1.1.12
Publisher	Wiley, Cambridge University Press	An organization whose function is to commission, create, collect, validate, host, distribute and trade information online and/or in printed form	3.1.1.2
Search		A specific intellectual query, typically equated to submitting the search form of the online service to the server (EBSCO, abridged)	3.1.2.8
Service	Science Direct, Academic Universe, Wiley Interscience	A branded group of online information products from one or more vendors that can be subscribed to/licensed and searched as a complete collection, or at a lower level.	3.1.1.1
Session		A successful request of an online service. It is one cycle of user activities that typically starts when a user connects to the service or database and ends by terminating activity that is either explicit (by leaving the service through exit or logout) or implicit (timeout due to user inactivity) (NISO)	3.1.4.2
Subscriber		An individual or organization that pays a vendor in advance for access to a specified range of the vendor's services and/or content for a pre-determined period of time and subject to terms and conditions agreed with the vendor.	3.3.1
Successful request		For web-server logs successful requests are those with specific return codes, as defined by NCSA	3.1.2.10

Turnaway (Rejected Session)		A turnaway (rejected session) is defined as an unsuccessful log-in to an electronic service due to exceeding the simultaneous user limit allowed by the licence	3.1.4.4
User		An individual with the right to access the online resource, usually provided by their institution, and conduct a session	3.3.6
Username and Password		No definition required	3.1.3.1
Vendor	Wiley, Oxford University Press	A publisher or other online information provider who delivers its own licensed content to the customer and with whom the customer has a contractual relationship	3.1.1.9
Volume	Alpha-numeric, no leading zeros	Numbered collection of a minimum of one journal issue; in printed form, volumes of more than one issue are not normally bound together by the publisher, but are frequently bound together in hardback by the purchasing library to aid preservation of the printed product. Books: Numbered collection of articles, chapters, or entries that is part of a larger, multi-volume work, either published together or serially.	3.1.1.15
Year		Year in which an article, item, issue or volume is first published in any medium	3.1.1.16

4. Usage Reports

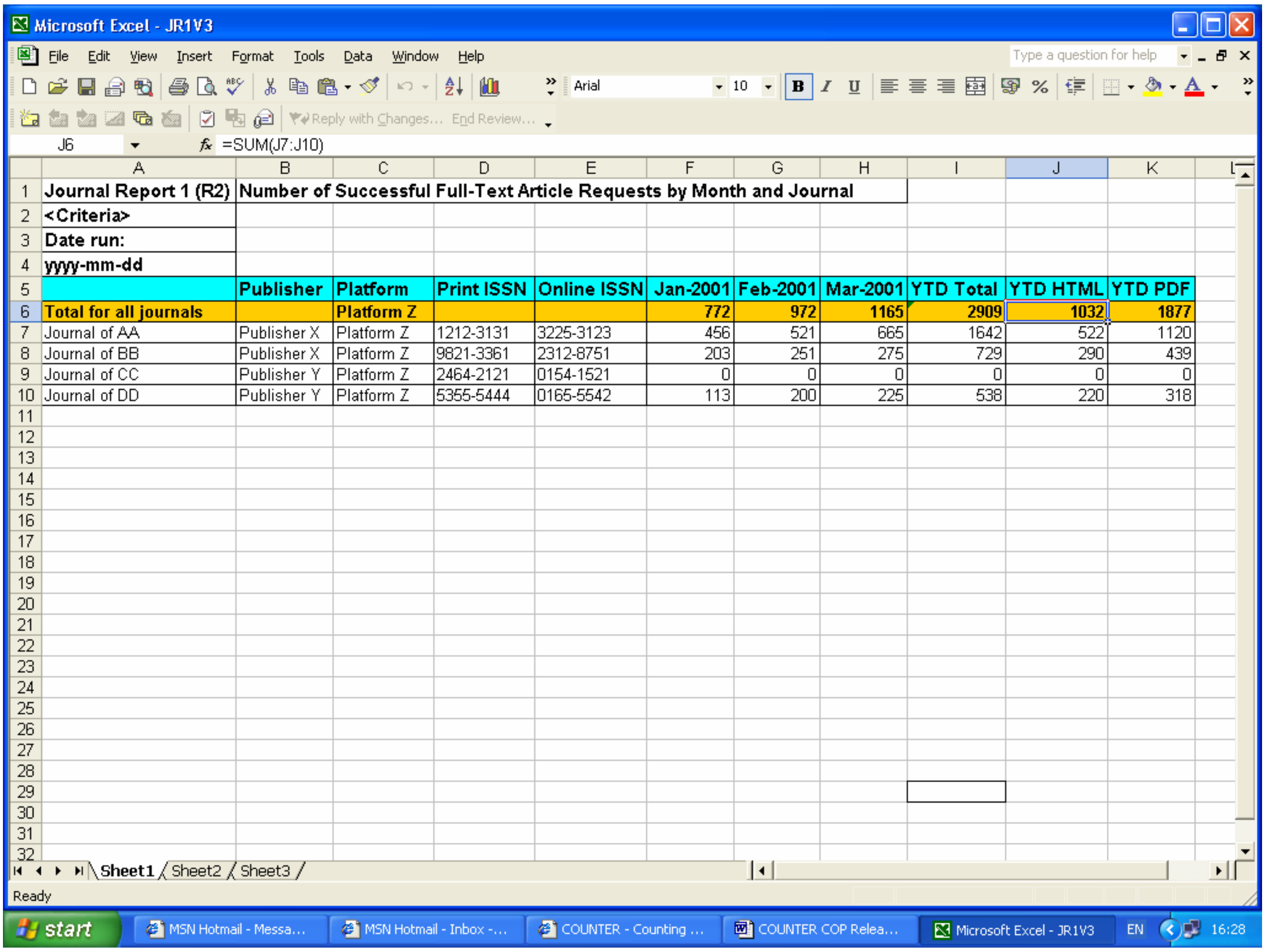
This section lists the COUNTER Usage Reports and specifies the content, format and delivery specifications that these reports must meet to be designated ‘COUNTER-Compliant’. For each compliant product vendors must supply the relevant COUNTER-compliant usage reports at no additional charge to customers in order to be designated COUNTER compliant.

4.1 Usage Reports

Examples are provided below of the Usage Reports. Reports must comply exactly with the formats specified in order to be COUNTER compliant.

Journal Report 1: Number of Successful Full-Text Article Requests by Month and Journal

(Full journal name, print ISSN and online ISSN are listed.)



	Publisher	Platform	Print ISSN	Online ISSN	Jan-2001	Feb-2001	Mar-2001	YTD Total	YTD HTML	YTD PDF
Journal Report 1 (R2)	Number of Successful Full-Text Article Requests by Month and Journal									
<Criteria>										
Date run:										
yyyy-mm-dd										
Total for all journals		Platform Z			772	972	1165	2909	1032	1877
Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	456	521	665	1642	522	1120
Journal of BB	Publisher X	Platform Z	9821-3361	2312-8751	203	251	275	729	290	439
Journal of CC	Publisher Y	Platform Z	2464-2121	0154-1521	0	0	0	0	0	0
Journal of DD	Publisher Y	Platform Z	5355-5444	0165-5542	113	200	225	538	220	318

Note:

4 For ‘criteria’ specify, for example, the organizational level to which the usage reports refer: eg ‘NorthEast Research Libraries Consortium’, ‘Yale University’

5 the ‘Total for all journals’ line is provided at the top of the Table to allow it to be stripped out without disrupting the rest of the Table, as the number of journals included may vary from one month to another.

6 Journals for which the number of full-text article requests is zero in every month should be included in Journal Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Table 2 in Section 7 below).

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, See Section 3.

To view Journal Report 1 in CSV format, see Appendix F

Journal Report 1: Display Rules

General Notes:

Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.

These rules apply to both Excel and CSV formats of JR1. The notation used will refer to cells using standard Excel notation, with cell “B6” meaning the cell in the second column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

1. **Cell A1** contains the text “Journal Report 1(R2)”
2. **Cell B1** contains the text “Number of Successful Article Requests by Month and Journal”
3. **Cell A2** contains the “criteria” as defined in the COP (eg “NorthEast Research Library Consortium” or “Yale University”)
4. **Cell A3** contains the text “Date run:”
5. **Cell A4** contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show “2005-02-12”
6. **Cell A5** is left blank
7. **Cell B5** contains the text “Publisher”
8. **Cell C5** contains the text “Platform”
9. **Cell D5** contains the text “Print ISSN”
10. **Cell E5** contains the text “Online ISSN”
11. **Cell F5** contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain “Jan-2005”
12. **Cell G5**, **H5** etc repeat F5 for each month of data contained in the report, with the same Mmm-yyyy formatting
13. **Cell I5** (in this example, the column after the last month of data) contains the text “"YTD Total".
14. **Cell J5** (in this example, two columns after the last month of data) contains the text “"YTD HTML".
15. **Cell K5** (in this example, three columns after the last month of data) contains the text “"YTD PDF".
16. **Cell A6** contains the text "Total for all journals"
17. **Cell B6** contains the name of the publisher/vendor, provided all the journals listed in column A are from the same publisher/vendor. If not, this cell is left blank.
18. **Cell C6** contains the name of the platform
19. **Cells D6 and D7** are blank
20. **Cell A7** down to **Cell A[n]** contains the name of each journal
21. **Cell B7** down to **Cell B[n]** contains the name the publisher of each journal

22. **Cell C7** down to Cell **C[n]** contains the name of the platform on which each journal is published

23. **Cell D7** down to **Cell D[n]** contains the Print ISSN

24. **Cell E7** down to **Cell E[n]** contains the Online ISSN

25. **Cell F7** down to **Cell F[n]** contains the number of Full Text Requests Total for that journal in the corresponding month

26. Similarly**, Cell G7** down to **Cell G[n], Cell H7** down to **Cell H[n]** etc contain the Full Text Requests Total for the corresponding months

27. **Cell I7** down to **Cell I[n]** (or whatever column corresponds to the column after the last month of data) contains the number of Full Text Requests Total for that Year To Date - i.e. the sum of Full Text Requests Total for Jan, Feb etc up to and including the last reported month.

28. **Cell J7** down to **Cell J[n]** (or whatever column corresponds to the column after the Full Text Requests Total Year To Date) contains the number of Full Text HTML Requests Total for that Year To Date.

29. **Cell K7** down to **Cell K[n]** (or whatever column corresponds to the column after the Full Text Requests HTML Year To Date) contains the number of Full Text Requests PDF for that Year To Date.

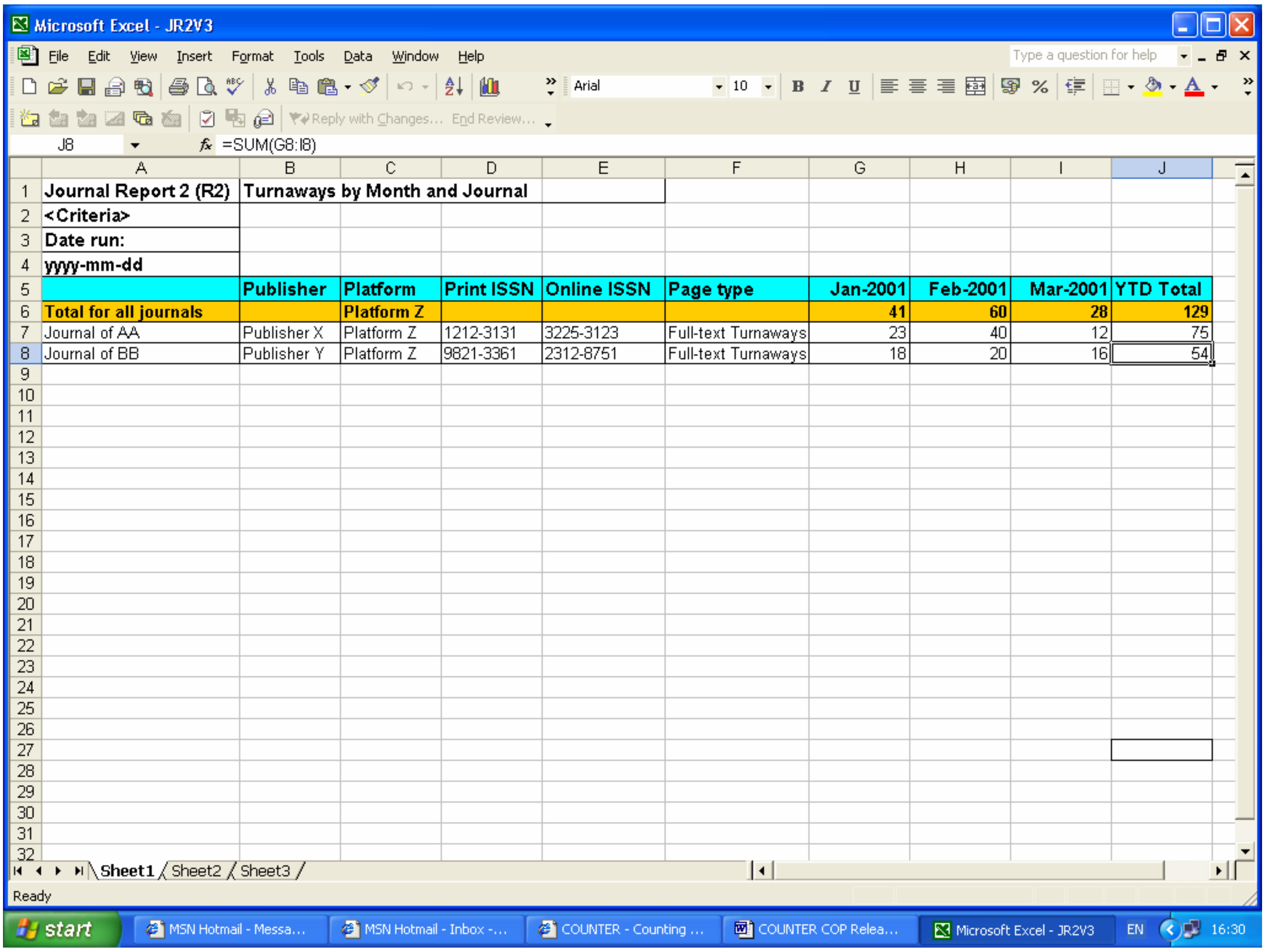
30. **Cells F6** across to **Cell K6** (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

Note About HTML and PDF Totals:

The sum of (YTD Full Text Requests HTML) + (YTD Full Text Requests PDF) may give a different total to the (YTD Full Text Requests TOTAL) depending on the formats available, because other formats such as PostScript may be included in the (YTD Full Text Requests TOTAL) figure, but Publishers/Vendors should NOT include additional columns for these additional formats. Only HTML, PDF and TOTAL are required.

Journal Report 2: Turnaways by Month and Journal

(Full journal name, print ISSN and online ISSN are listed.)



Journal Report 2 (R2)	Turnaways by Month and Journal								
<Criteria>									
Date run:									
yyyy-mm-dd									
	Publisher	Platform	Print ISSN	Online ISSN	Page type	Jan-2001	Feb-2001	Mar-2001	YTD Total
Total for all journals		Platform Z				41	60	28	129
Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text Turnaways	23	40	12	75
Journal of BB	Publisher Y	Platform Z	9821-3361	2312-8751	Full-text Turnaways	18	20	16	54

Note:

1. For ‘criteria’ specify, for example, the organizational level to which the usage reports refer: eg ‘NorthEast Research Libraries Consortium’, ‘Yale University’

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the above terms, see Section 3.

To view Journal Report 2 in CSV format, see Appendix F

Journal Report 2: Display Rules

General Notes:

Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.

These rules apply to both Excel and CSV formats of JR2. The notation used will refer to cells using standard Excel notation, with cell “B6” meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

1. **Cell A1** contains the text “Journal Report 2 (R2)”

2. **Cell B1** contains the text “Turnaways by Month and Journal”

3. **Cell A2** contains the “criteria” as defined in the COP (eg “NorthEast Research Libraries Consortium” or “Yale University”)

4. **Cell A3** contains the text “Date run:”

5. **Cell A4** contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show “2005-02-12”

6. **Cell A5** is left blank

7. **Cell B5** contains the text “Publisher”

8. **Cell C5** contains the text “Platform”

9. **Cell D5** contains the text “Print ISSN”

10. **Cell E5** contains the text “Online ISSN”

11. **Cell F5** contains the text “Page type”

12. **Cell G5** contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain “Jan-2005”

13. **Cell H5**, **I5** etc repeat G5 for each month of data contained in the report, with the same Mmm-yyyy formatting

14. **Cell J5** (in this example the column after the last month of data) contains the text “"YTD Total".

15. **Cell A6** contains the text "Total for all journals"

16. **Cell B6** contains the name of the publisher/vendor if all the journals listed in column A are from the same publisher/vendor. If not, this cell is left blank.

17. **Cell C6** contains the name of the platform

18. **Cells D6, E6 and F6** are left blank

19. **Cell A7** down to **Cell A[n]** contains the name of each journal

20. **Cell B7** down to **Cell B[n]** contains the name of the publisher of each journal

21. **Cell C7** down to **Cell C[n]** contains the name of the platform

22. **Cell D7** down to **Cell D[n]** contains the Print ISSN

23. **Cell E7** down to **Cell E[n]** contains the Online ISSN

24. **Cell F7** down to **Cell F[n]** contains the text “Full-text Turnaways”

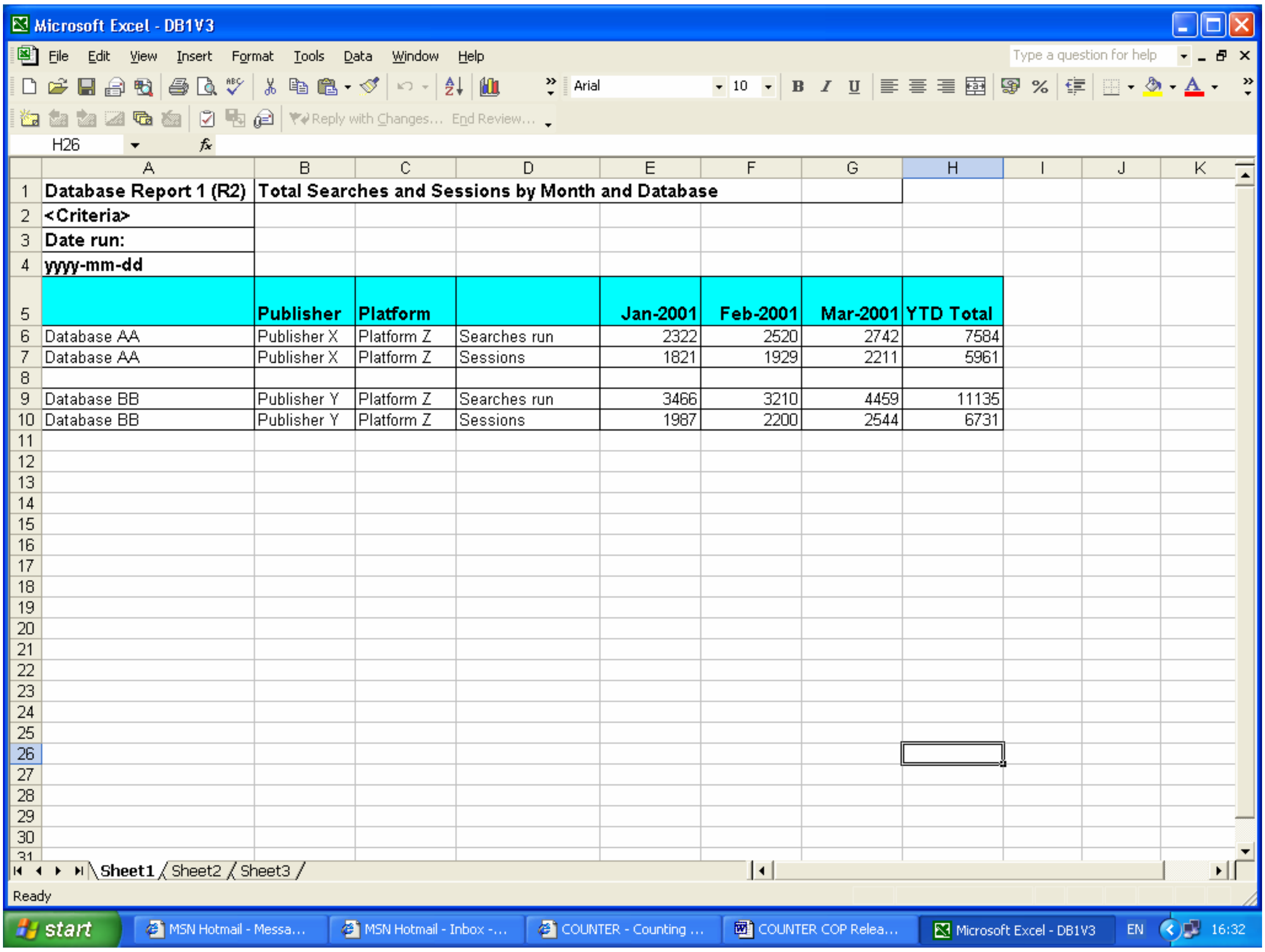
25. **Cell G7** down to **Cell G[n]** contains the Full-text Turnaways Total for that journal in the corresponding months

26. Similarly, **Cell H7** down to **Cell H[n], Cell I7** down to **Cell I[n]** etc contain the Full-text Turnaways Total for the corresponding months

27. **Cell J7** down to **Cell J[n]** (or whatever column corresponds to the column after the last month of data) contains the number of Full-text Turnaways Total for that Year To Date - i.e. the sum of Full-text Turnaways Total for Jan, Feb etc up to and including the last reported month.

28. **Cells G6** across to **Cell J6** (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

Database Report 1: Total Searches and Sessions by Month and Database



	A	B	C	D	E	F	G	H
1	**Database Report 1 (R2)**	**Total Searches and Sessions by Month and Database**						
2	**<Criteria>**							
3	**Date run:**							
4	**yyyy-mm-dd**							
5		**Publisher**	**Platform**		**Jan-2001**	**Feb-2001**	**Mar-2001**	**YTD Total**
6	Database AA	Publisher X	Platform Z	Searches run	2322	2520	2742	7584
7	Database AA	Publisher X	Platform Z	Sessions	1821	1929	2211	5961
8								
9	Database BB	Publisher Y	Platform Z	Searches run	3466	3210	4459	11135
10	Database BB	Publisher Y	Platform Z	Sessions	1987	2200	2544	6731

Note:
1. For ‘criteria’ specify, for example, the organizational level to which the usage reports refer: eg ‘NorthEast Research Libraries Consortium’, ‘Yale University’

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the above terms used, see Section 3.

To view Database Report 1 in CSV format, see Appendix F

Database Report 1: Display Rules

General Notes:
Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.

These rules apply to both Excel and CSV formats of DB1. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

1. **Cell A1** contains the text "Database Report 1 (R2)"
2. **Cell B1** contains the text "Total Searches and Sessions by Month and Database"
3. **Cell A2** contains the "criteria" as defined in the COP (eg "NorthEast Research Libraries Consortium" or "Yale University")
4. **Cell A3** contains the text "Date run:"
5. **Cell A4** contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12"
6. **Cell A5** is left blank
7. **Cell B5** contains the text "Publisher"
8. **Cell C5** contains the text "Platform"
9. **Cell D5** is left blank
10. **Cell E5** contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"
11. **Cell F5**, **G5** etc repeat E5 for each month of data contained in the report, with the same Mmm-yyyy formatting
12. **Cell H5** (or whatever column corresponds to the column after the last month of data) contains the text ""YTD Total".
13. **Cell A6** contains the name of Database AA
14. **Cell B6** contains the name of the publisher
15. **Cell C6** contains the name of the platform
16. **Cell D6** contains the text "Searches run"

17. **Cell E6** contains the number of Searches run for the corresponding month

18. Similarly, **Cell F6, Cell G6,** etc contain the Searches run for the corresponding months

19. **Cell H6** (or whatever column corresponds to the column after the last month of data) contains the Searches run Total for that Year To Date - i.e. the sum of Searches run for Jan, Feb etc up to and including the last reported month.

20. **Cell A7** contains the name of Database AA

21. **Cell B7** contains the name of the publisher

22. **Cell C7** contains the name of the platform

23. **Cell D7** contains the text "Sessions"

24. **Cell E7** contains the number of Sessions for the corresponding month

25. Similarly, **Cell F7, CellG7,** etc contain the Sessions for the corresponding months

26. **Cell H7** (or whatever column corresponds to the column after the last month of data) contains the Sessions Total for that Year To Date - i.e. the sum of Sessions for Jan, Feb etc up to and including the last reported month.

27. **Cell A9** contains the name of Database BB

28. **Cell B9** contains the name of the publisher

29. **Cell C9** contains the name of the platform

30. **Cell D9** contains the text "Searches run"

31. **Cell E9** contains the number of searches run for the corresponding month

32. Similarly, **Cell F9, Cell G9,** etc contain the Searches run for the corresponding months

33. **Cell H9** (or whatever column corresponds to the column after the last month of data) contains the Searches run Total for that Year To Date - i.e. the sum of Searches run for Jan, Feb etc up to and including the last reported month.

34. **Cell A10** contains the name of Database BB

35. **Cell B10** contains the name of the publisher

36. **Cell C10** contains the name of the platform

37. **Cell D10** contains the text "Sessions"

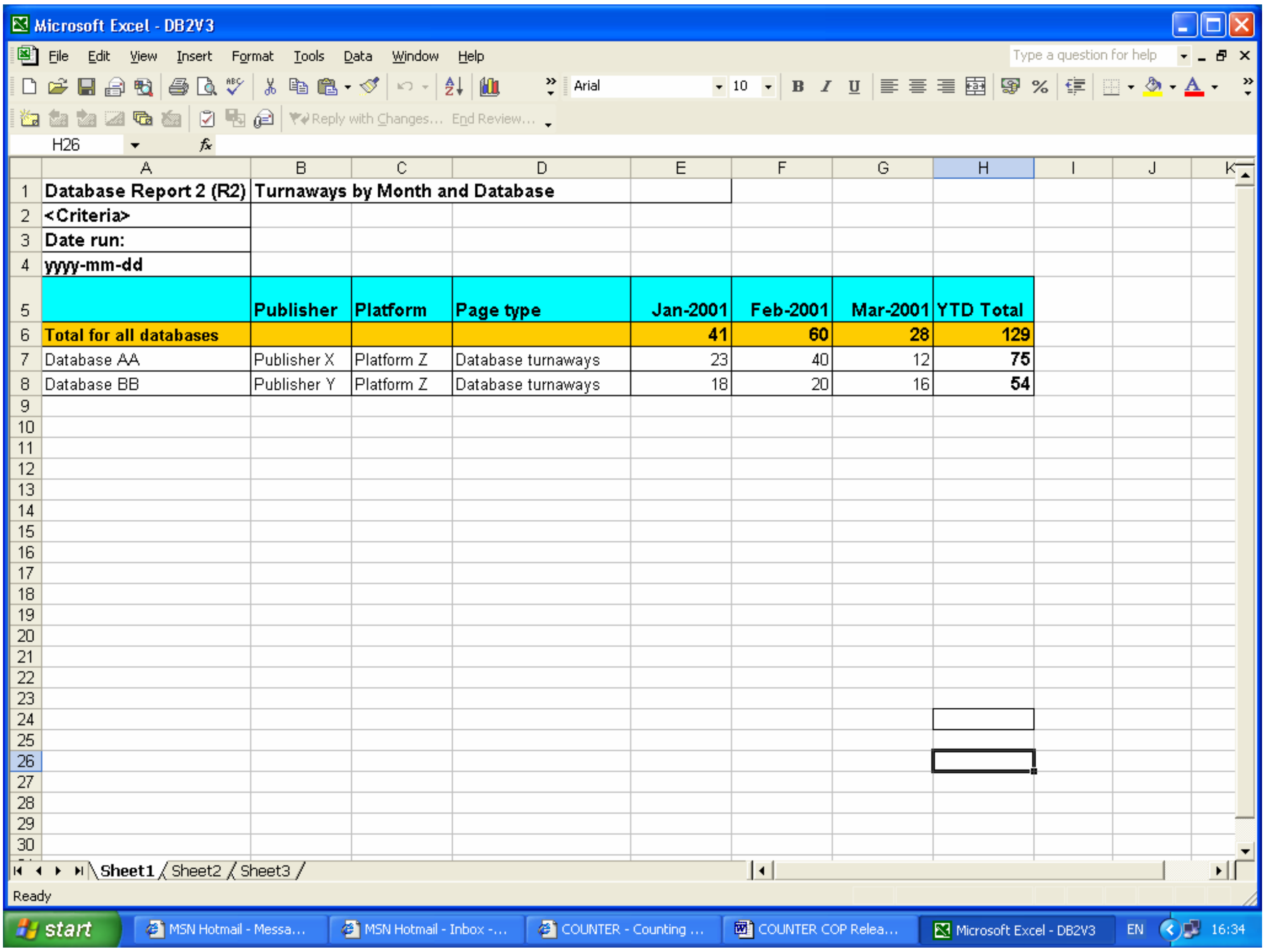
38. **Cell E10** contains the number of Sessions for the corresponding month

39. Similarly, **Cell F10, CellG10,** etc contain the Sessions for the corresponding months

40. **Cell H10** (or whatever column corresponds to the column after the last month of data) contains the Sessions Total for that Year To Date - i.e. the sum of Sessions for Jan, Feb etc up to and including the last reported month.

The above procedure is repeated for Databases CC, DD, EE, etc.

Database Report 2: Turnaways by Month and Database



Database Report 2 (R2)	Turnaways by Month and Database						
<Criteria>							
Date run:							
yyyy-mm-dd							
	Publisher	Platform	Page type	Jan-2001	Feb-2001	Mar-2001	YTD Total
Total for all databases				41	60	28	129
Database AA	Publisher X	Platform Z	Database turnaways	23	40	12	75
Database BB	Publisher Y	Platform Z	Database turnaways	18	20	16	54

Note:
1. For ‘criteria’ specify, for example, the organizational level to which the usage reports refer: eg ‘NorthEast Research Libraries Consortium’, ‘Yale University’

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Section 3.

To view Database Report 2 in CSV format, see Appendix F

Database Report 2: Display Rules

General Notes:
Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.

These rules apply to both Excel and CSV formats of DB2. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

1. **Cell A1** contains the text "Database Report 2 (R2)"

2. **Cell B1** contains the text "Turnaways by Month and Database"

3. **Cell A2** contains the "criteria" as defined in the COP (eg "NorthEast Research Libraries Consortium" or "Yale University")

4. **Cell A3** contains the text "Date run:"

5. **Cell A4** contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12"

6. **Cell A5** is left blank

7. **Cell B5** contains the text "Publisher"

8. **Cell C5** contains the text "Platform"

9. **Cell D5** contains the text "Page type"

10. **Cell E5** contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"

11. **Cell F5**, **G5** etc repeat C5 for each month of data contained in the report, with the same Mmm-yyyy formatting

12. **Cell H5** (in this example, the column after the last month of data) contains the text “"YTD Total".

13. **Cell A6** contains the text "Total for all databases"

14. **Cells B6, C6 and D6** are left blank

15. **Cell A7** down to **Cell A[n]** contains the name of each Database

16. **Cell B7** down to **Cell B[n]** contains the name the publisher

17. **Cell C7** down to **Cell C[n]** contains the name of the platform

18. **Cell D7 down to Cell D[n]** contains the text "Database turnaways"

19. **Cell E7** down to **Cell E[n]** contains the Full-text Turnaways Total for that journal in the corresponding months

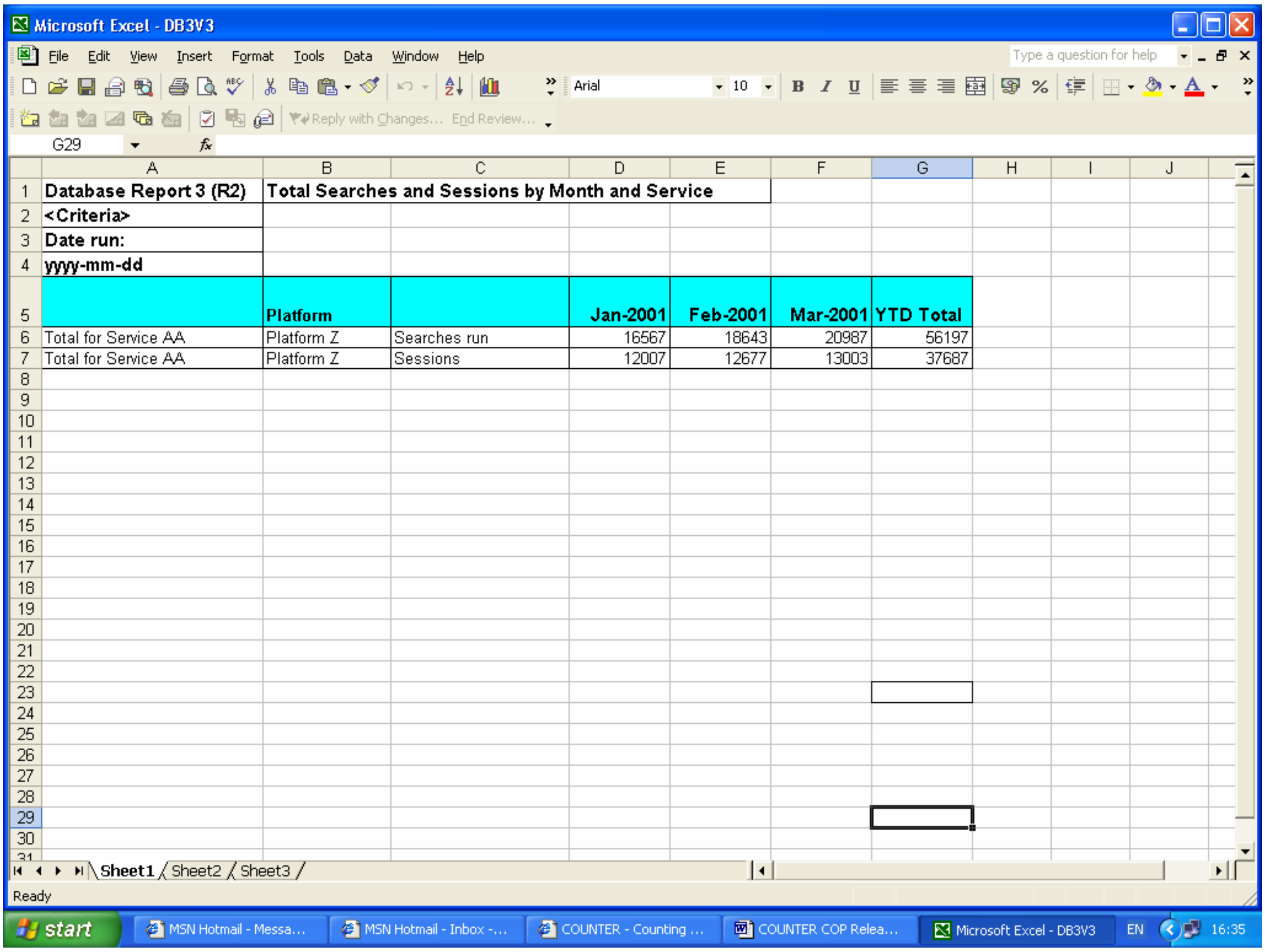
20. Similarly**, Cell F7** down to **Cell F[n], Cell G7** down to **Cell G[n]** etc contain the Full-text Turnaways Total for the corresponding months

21. **Cell H7** down to **Cell H[n]** (or whatever column corresponds to the column after the last month of data) contains the number of Database Turnaways Total for that Year To Date -

i.e. the sum of Database Turnaways Total for Jan, Feb etc up to and including the last reported month.

22. **Cells E6** across to **Cell H6** (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

Database Report 3: Total Searches and Sessions by Month and Service



	A	B	C	D	E	F	G
1	**Database Report 3 (R2)**	**Total Searches and Sessions by Month and Service**					
2	**<Criteria>**						
3	**Date run:**						
4	**yyyy-mm-dd**						
5		**Platform**		**Jan-2001**	**Feb-2001**	**Mar-2001**	**YTD Total**
6	Total for Service AA	Platform Z	Searches run	16567	18643	20987	56197
7	Total for Service AA	Platform Z	Sessions	12007	12677	13003	37687

Note:
1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the above terms used, see Section 3.

To view Database Report 3 in CSV format, see Appendix F

Database Report 3: Display Rules

General Notes:
Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.

These rules apply to both Excel and CSV formats of DB3. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

1.Cell A1 contains the text "Database Report 3 (R2)"

2. Cell B1 contains the text "Total Searches and Sessions by Month and Service."

3. Cell A2 contains the "criteria" as defined in the COP (eg "NorthEast Research Libraries Consortium" or "Yale University")

4. Cell A3 contains the text "Date run"

5. Cell A4 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12"

6.Cell A5 is left blank

7.Cell B5 contains the text "Platform"

8.Cell C5 is left blank

9. Cell D5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"

10. Cell E5, **F5** etc repeat C5 for each month of data contained in the report, with the same Mmm-yyyy formatting

11. Cell G5 (in this example, the column after the last month of data) contains the text ""YTD Total".

12.Cell A6 contains the name of the service

13.Cell B6 contains the name of the platform

14. Cell C6 contains the text "Searches run"

15.Cell D6 contains the Searches run total for that Service in the corresponding month

16. Similarly**, Cells E6 to F6**, etc contain the Searches run Total for the corresponding months

17.Cell G6 (or whatever column corresponds to the column after the last month of data) contains the Searches run Total for that Year To Date - i.e. the sum of the Searches run Total for Jan, Feb etc up to and including the last reported month.

18.Cell A7 contains the name of the service

19.Cell B7 contains the name of the platform

20.Cell C7 contains the text “Sessions”

21.Cell D7 contains the Sessions Total for that Service in the corresponding month

22. Similarly, **Cells E7 to F7**, etc. contain the Sessions Total for the corresponding months

23.Cell G7 (or whatever column corresponds to the column after the last month of data) contains the Sessions Total for that Year To Date - i.e. the sum of the Sessions Total for Jan, Feb etc up to and including the last reported month.

The above procedure is repeated for Service CC, Service EE, etc.

4.2 Customer categories for Usage Reports

Customer accounts, access and entitlements to vendor sites are organized in a number of different ways, but most commonly by IP addresses or by username/password.

The vendor must provide COUNTER usage reports at the Consortium, Consortium Member, Institute or Department level, as specified by the customer. Section 4a below describes the reports that must be provided at the Consortium level.

a. *Usage reports for a consortium*

If a product has been purchased by a consortium, the vendor must provide a readily accessible aggregated usage report for the entire consortium, as well as individual reports for each consortium member or institute (unless forbidden to do so by contract with a consortium member or institute). This report must contain only the consortium members (and no extraneous institutions outside the consortium). The aggregated report will include totals for the consortium as a whole, by month and by year.

It should be possible to retrieve all reports with a single search, but the separate reports (both the aggregated report and the reports of individual members) must reside in separate files or pages to avoid unwieldy files.

Delivery of consortial reports must conform to the specifications of Section 4.3 below.

Content of consortium reports

Only the following two COUNTER reports are required for consortia:

i. **For journals:**

Journal Report 1: Number of Successful Full-Text Article Requests by Month and Journal.

This report must be formatted exactly as in the model in Section 4.1.1. The report file must include the name of the consortium and the standard data elements: journal title, publisher, platform, print ISSN, online ISSN, and monthly and yearly number of successful full-text article requests.

ii. For databases

Database Report 1: Total Searches and Sessions by Month and Database.

This report must be formatted exactly as in the model in Section 4.1.1. It must include the name of the consortium and the standard data elements: database title, publisher, platform and monthly and yearly number of searches run and sessions.

*Vendors are encouraged to provide other standard reports (Journal Report 2, Database Report 2, Database Report 3) on a consortial level, but only Journal Report 1 and Database Report 1 are **required** for COUNTER compliance.*

4.3 Report delivery

Report delivery must conform to the following standards:

- Reports must be provided either as a CSV file, as a Microsoft Excel file, or as a file that can be easily imported into Microsoft Excel pivot tables. In addition reports may also be provided in XML format and an XML DTD for such reports is available on the COUNTER website.
- Each report should reside in a separate file or page to avoid files of unwieldy size
- Reports should be made available on a password-controlled website (accompanied by an e-mail alert when data is updated). Access to consortia level reports must be through the same user id and password for all consortium members. (This user id and password must be different from those used for administrative purposes for each institution.)
- Reports must be readily available
- Reports must be provided monthly
- Data must be updated within four weeks of the end of the reporting period
- All of last calendar year's data and this calendar year's to date must be supplied

5 Data Processing

Usage data collected by vendors/intermediaries for the usage reports to be sent to customers should meet the basic requirement that only intended usage is recorded and that all requests that are not intended by the user are removed.
Because the way usage records are generated can differ across platforms, it is impractical to describe all the possible filters used to clean up the data.
This Code of Practice, therefore, specifies only the requirements to be met by the data to be used for building the reports.
Usage data can be generated by the web server holding the content (logfiles) or by storing the usage information in so-called 'key-events' at content holding databases.

Requirements

a. Only succesful and valid requests should be counted. For web server logs sucessful requests are those with specific NCSA return codes. (200 and 304). The standards for return codes are defined and maintained by NCSA. In case key events are used their definition should match the NCSA standards.(For more information see Appendix D: Guidelines for Implementation.)
b. Records generated by the server together with the requested page (e.g. images, gif's, style sheets (.css)) should be ignored.
c. All users' double-clicks on an http-link should be counted as only 1 request.
   The time window for occurrence of a double-click should be set at **10 seconds** between the first and the second mouse-click.
   There are a number of options to make sure that a double click comes from one and the same user:
   1. where only the IP address of a user is logged that IP should be taken as the field to trace double-clicks
   2. when a session-cookie is implemented and logged, the session-cookie should be used to trace the double-clicks.
   3. when user-cookies are available and logged, the user-cookie should be used to trace double-clicks
   4. when the username of a registered user is logged, this username should be used to trace double-clicks.

   The options 1 to 4 above have an increasing level of reliability for filtering out double-clicks: option 1 has the lowest level of precision (and may lead to underreporting from the vendor perspective) while with option 4 the result will be optimal.

d. The downloading and rendering of a PDF takes longer than the rendering of an HTML page. Therefore requests by one and the same IP/username/session- or user cookie for one and the same pdf should be counted as a single request if these multiple requests occur within a **30 seconds** time window. These multiple requests may also be triggered by pressing a refresh or back button on the desktop by the user.

e. When two requests are made for one and the same article within the above time limits (10 seconds for HTML, 30 seconds for PDF), the first request should be removed and the second retained. Any additional requests for the same article within these time limits should be treated identically: always remove the first and retain the second. (For further information on the implementation of this protocol, see Appendix D: Guidelines for Implementation)

6 Auditing

Auditing by a Chartered Accountant (UK), a Certified Professional Accountant (USA), or its equivalent elsewhere, or by another suitably qualified COUNTER-approved auditor, is required to validate the usage reports and processes described in Sections 4 and 5 above. Details of the auditing standards and process are contained in Appendix E: General Auditing Requirements. Vendors must have their COUNTER compliant usage reports audited by an independent auditor before 30 June 2007, and once per calendar year from 2008 onwards.

7 Compliance

7.1 Timetable and procedure

Release 2 of the Code of Practice, published in final form in April 2005, will be come the definitive version of the Code of Practice in January 2006.

Applications for COUNTER-compliant status

A Register of vendors and their products for which COUNTER compliant usage reports are available is maintained by the COUNTER office and posted on the COUNTER website. Vendors may apply to the Project Director (pshepherd@ProjectCounter.org) for their products to be included on the Register. Upon receipt of the application vendors will be required to allow at least one of the COUNTER library test sites to evaluate their usage reports. When the usage reports are deemed to comply with the COUNTER Code of Practice the vendor will be asked to sign a Declaration of COUNTER-compliance (Appendix B), after which the vendor and its products will be added to the Register, Within one year thereafter a report from an independent auditor, confirming that the usage reports and data are indeed COUNTER-compliant, will be required. See Appendix E for a description of the auditing procedure.
The signed declarations should be sent to the COUNTER office my mail or by Fax:

Postal address

COUNTER
PO Box 23544
Edinburgh EH3 6YY
United Kingdom

Fax Number

+44 (0)131 558 8478

7.2 Licence agreements

To encourage widespread implementation of the COUNTER Code of Practice, customers are urged to include the following clause in their licence agreements with vendors:

‘The licensor confirms to the licensee that usage statistics covering the online usage of the journals and databases included in this licence will be provided. The licensor further confirms that such usage statistics will adhere to the specifications of the COUNTER Code of Practice, including data elements collected and their definitions; data processing guidelines; usage report content, format, frequency and delivery method.

7.3 Aggregators, gateways and hosts

Many, perhaps the majority, of online searches, are conducted using gateways or aggregators, rather than on the site of the original vendor of the item being sought. This presents special challenges for the collection of meaningful usage statistics. The protocols described in Table 2 below specify where responsibility lies for the recording and supplying of usage statistics when an intermediary aggregator or gateway is involved. These protocols cover the following five scenarios for delivery of the requested page to the customer:

- Direct from the vendor's server
- Direct from an aggregator
- Referred from an aggregator or gateway
- Via a gateway
- Referred to an aggregator or gateway

Table 2: Protocols for recording and reporting on usage when an intermediary aggregator or gateway is involved

Source of page	Responsibility for recording usage and reporting to customer	Report zero usage	Comments
Direct from vendor's server	Vendor	Yes	Delivery of content to the user is from the vendor's own service/site, to which the user has direct access.
Direct from an aggregator	Aggregator	No	Delivery of content to the user is from an intermediary (a gateway that is also a host), using its own store of publishers' content. Gateway is responsible for recording and supplying usage statistics for full-text requests direct to the customer and also, where contractually permitted to do so, to the vendor. (In this case the vendor may not add the 'gateway' usage figures to those recording usage of content delivered by the vendor direct to the customer)
Referral from an aggregator or gateway	Vendor	Yes	Delivery involves the gateway sending the end user from the gateway's site to the vendor's site for the requested content. Vendor is responsible for recording and supplying full-text usage statistics to the customer. Gateway may also supply usage statistics to the customer, but must report them separately from those covering its delivery of full-text direct to the customer
Via a gateway	Gateway	No	Delivery of content is via a gateway, which requests the content from the publisher and delivers it to the user in the context of the gateway service. Responsibility for collecting and supplying usage statistics to the customer is the responsibility of the Gateway.
Referral to an aggregator or gateway	One of Vendor, Aggregator or Gateway		In this case an index or abstract service refers the customer to the gateway for full-text. In this case the full-text is delivered according to one of scenarios listed above, and the recording and supplying of usage statistics to the customer is as specified in each of these cases.

7.4 Customer confidentiality

7.4.1 Privacy and user confidentiality

Statistical reports or data that reveal information about individual users will not be released or sold by vendors without the permission of that individual user, the consortium, and its member institutions (ICOLC Guidelines, December 2001)

7.4.2 Institutional or Consortia Confidentiality

Vendors do not have the right to release or sell statistical usage information about specific institutions or the consortium without permission, except to the consortium administrators and other member libraries. Use of institutional or consortium data as part of an aggregate grouping of similar institutions for purposes of comparison does not require prior permission as long as specific institutions or consortia are not identifiable. When required by contractual agreements, vendors may furnish institutional use data to the content providers. (ICOLC Guidelines, December 2001)

8. References to other standards, protocols and codes of practice

COUNTER has built on the work of a number of other existing initiatives and standards relevant to usage statistics. Most relevant among these are:

- ***ARL New Measures Initiative***. This has been set up in response to two needs: increasing demand for libraries to demonstrate outcomes/impacts in areas important to the institution, and increasing pressure to maximise resources. Of particular interest is the work associated with the E-metrics portion of this initiative, which is an effort to explore the feasibility of defining and collecting data on the use and value of electronic resources. This sets a useful context for COUNTER. Further information on the ARL E-metrics project can be found at www.arl.org/stats/newmeas/newmeas.html
- ***e-measures project: University of Central England, Centre for Information Research.*** This project is designed to support the management of electronic information services in UK higher education institutes. Its objectives are to develop a new set of performance measures for electronic information sources and to pilot these with a view to establishing a new set of standard performance measures. Further information on e-measures can be found at www.cie.uce.ac.uk/cirt/emeasures/index.htm
- ***ICOLC Guidelines for Statistical Measures of usage of Web-based Information Resources.*** The International Coalition of Library Consortia (ICOLC) has developed a set of guidelines, revised in 2001, which specify a set of minimum requirements for usage data, and also provide guidance on privacy, confidentiality, access, delivery and report format. The ICOLC Guidelines are particularly relevant to COUNTER. Additional information may be found at www.library.yale.edu/consortia/2001webstats.html
- ***NISO Forum on Performance Measures and Statistics for Libraries and NISO Standard Z39.7.*** Aspects of a number of NISO standards are relevant to COUNTER. For further information, see www.niso.org

9. Governance of COUNTER

COUNTER is incorporated in England as Counter Online Metrics (Company No. 4865179). Legal responsibility lies with its Board of Directors, while an Executive Committee, supported by an International Advisory Board is responsible for the overall management and direction of the project. Specific responsibilities are delegated by the Executive Committee to the Project Director, who is responsible for the day-to-day management of COUNTER. (See Appendix C)

10 . Maintenance and development of the COUNTER Code of Practice

The Executive Committee of COUNTER has overall responsibility for the development and maintenance of the Code of Practice. New releases will be made no more than once per annum. Each new Release will be made openly available in draft form on the COUNTER website for comment before it is finalised.

When providing your comments you are requested to adhere to the following guidelines:

- Please be as specific as possible, making sure to note the relevant section and subsection of the Code of Practice.
- Where you are proposing an addition to the Code of Practice, please indicate the preferred section within the current version

Appendices

Appendix A: Glossary of Terms Relevant to COUNTER

Appendix B: Vendor Declaration of COUNTER-compliance

Appendix C: Organizational Structure of COUNTER

Appendix D: Guidelines for Implementation

Appendix E: Auditing Requirements and Tests

Appendix F: CSV Usage Report Examples

Appendix G: XML DTDs for Usage Reports

Appendix H: Additional Optional Usage Reports