The COUNTER Code of Practice

Journals and Databases: Release 3 *Draft*

Published March 2008

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 3 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 (which are highlighted in red text in the relevant Section below:

- An expanded list of Definitions in Table 1, to include terms such as ‘federated search’, ‘internet robot’, ‘sectioned HTML’, etc. that are used for the first time in Release 3
- Incorporation of the SUSHI (**S**tandardised **U**sage **S**tatistics **H**arvesting **I**nitiative) protocol into the COUNTER Code of Practice. SUSHI has been developed by NISO (National Information Standards Organization) in co-operation with COUNTER and in 2007 became a NISO standard (Z39.93). Implementation of the SUSHI protocol by vendors will allow the automated retrieval of the COUNTER usage reports into local systems, making this process much less time consuming for the librarian or library consortium administrator.
- Usage Reports must be provided in XML, in addition to the existing prescribed formats (Excel, CSV, etc.). A link to the required XML schema is provided below the Excel example of each usage report.
- Journal Report 1a: Number of Successful Full-text Article Requests from an Archive by Month and Journal, which is an optional additional usage report in Release 2, will be a required report in Release 3 (from those vendors who provide separately purchasable journal archives).
- New library consortium usage reports. The advent of the SUSHI protocol greatly facilitates the handling of large volumes of usage data, which is a particular advantage

for consortial reporting. For this reason COUNTER has developed two new reports for library consortia that are specified only in XML format.

- A new protocol that requires federated searches to be isolated from *bona fide* searches by genuine users. The growing use of federated searches has the potential to inflate enormously the search and session counts in Database Report 1 and Database Report 3 and this protocol is designed to mitigate such inflation.
- New protocols that require activity generated by internet robots and crawlers, as well as by LOCKSS and similar caches, to be excluded from the COUNTER reports
- A new protocol that requires prefetched full-text articles to be excluded from the figures reported in all reports containing full-text requests.

COUNTER Code of Practice

Journals and Databases

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

Copyright: Counter Online Metrics

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. 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 also deeply grateful to its membership, whose continuing financial support enable the ongoing development and improvement of vendor-generated online usage statistics. The full list of COUNTER members is available at: http://www.projectcounter.org/members.html

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 3, 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 also available on the COUNTER website.

2.8 Auditing and COUNTER compliance

An independent annual audit is 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, while providing reassurance to customers of the reliability of the COUNTER usage data. 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 3 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 3 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
Journal Article		An item of original written work published in a journal. A Journal 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 consortium is defined by a range of IP addresses that may be in specific groupings (e.g. institutes)	3.3.3
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	3.1.2.9
Federated search		The simultaneous search of multiple online databases; a federated search programme allows users to search multiple databases simultaneously with a single query from a single user interface.	3.1.2.10.1
Full-content unit		*Journals:* full-text article *Books:* Minimum requestable unit, which may be the entire book or a section thereof. *Reference Works*: content unit appropriate to resource (eg dictionary definitions, encyclopedia articles, biographies, etc) *Non-textual resources*: file type as appropriate to resource (eg image, audio, video, etc) (ICOLC)	3.1.2.2
Full-text Article		The complete text, including all references, figures and tables, of an article, plus links to any supplementary material published with it.	3.1.2.7
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
Internet robot, crawler, spider	See Appendix J	Generic terms applied to any programme which visits websites and retrieves information from them, usually to create entries for a search engine	3.1.2.10.2
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,	IP address of the computer on which the session is conducted	3.1.4.2

	even if the authentication is not via IP address		
Item	Full text article, Abstract, image, video	A uniquely identifiable piece of published work that may be: a full-text article (original or a review of other published work); an abstract or digest of a full-text article; a sectional HTML page; supplementary material associated with a full-text article (eg a supplementary data set), or non-textual resources, such as an image, a video, or audio).	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 a particular discipline	3.1.1.5
Licensee		= Subscriber (see definition below)	3.3.2
Non-textual resources	Image, audio, video	Non-textual material that is published in an online journal, book or other publication that is often associated with a full text article, encyclopedia entry, or other textual material. COUNTER allows four categories of non-textual resource: image, video, audio and other.	3.1.2.15
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
Prefetching		Link prefetching is a browser mechanism that uses browser idle time to download or prefetch documents that the user might	3.1.2.10.3

		visit in the near future. A web page provides a set of prefetching hints to the browser and after the browser is finished loading the page it begins silently prefetching specified documents and stores them in its cache.	
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
Sectioned HTML		Journals that offer Full-text HTML include two types of full-text HTML options: the complete HTML file and a Sectioned HTML file. Full-text HTML files can be quite large and require some scrolling. Jump links are provided to help navigate the article. The Sectioned HTML link will display sections of the article, providing navigational links to move from one section to another. Displaying each section as a different file allows the flexibility to print or download only portions of the article and in a shorter amount of time than may be experienced with the article as one file. (Scitation AIP)	3.1.2.7.1.1
Search		A specific intellectual query, either equated to submitting the search form of the online service to the server or by clicking a hyperlinked word or name which executes a search for that word or name.	3.1.2.8
Service	Science Direct, Academic	A branded group of online information	3.1.1.1

	Universe, Wiley Interscience	products from one or more vendors that can be subscribed to/licensed and searched as a complete collection, or at a lower level.	
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	3.1.1.15

		together or serially.	
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

4.1.1 SUSHI

The advent of the SUSHI protocol (http://www.niso.org/committees/SUSHI/SUSHI_comm.html) has greatly facilitated the handling of large volumes of usage data and its implementation by vendors will allow the automated retrieval of the COUNTER usage reports into local systems, making this process much less time consuming for the librarian or library consortium administrator.

For this reason, in addition to providing the usage reports specified below (as a Microsoft Excel file, as a CSV file, or as a file that can be easily imported into Microsoft Excel pivot tables) COUNTER usage reports **must** also be provided in XML format in accordance with the COUNTER XML schema that is specified in the SUSHI protocol. (http://www.niso.org/schemas/sushi/counter_2_5.xsd). This schema covers **all** the usage reports listed below. COUNTER reports in XML must be downloadable using the SUSHI protocol, as well as manually.

4.1.2 Sample Reports

Examples are provided below of Journal Reports 1 and 2, as well as Database Reports 1, 2, and 3 in Excel format, together with Display Rules. (See Section 4.3 below for other report delivery options).Reports must comply exactly with the formats specified in order to be COUNTER compliant. An **approximation** in Excel, of Consortium Reports 1 and 2, which are to be provided **only** in XML, is also provided below, to illustrate these reports for those not familiar with XML.

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

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

Journal Report 1 (R3)	Number of Successful Full-Text Article Requests by Month and Journal									
<Criteria>										
Date run:										
yyyy-mm-dd										
	Publisher	Platform	Print ISSN	Online ISSN	Jan-2009	Feb-2009	Mar-2009	YTD Total	YTD HTML	YTD PDF
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:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'
2. 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.
3. 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 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

The XML Schema for Journal Report 1 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd

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(R3)”
2. **Cell B1** contains the text “Number of Successful Full-text 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 2009, this cell will contain “Jan-2009”
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 E6** 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.

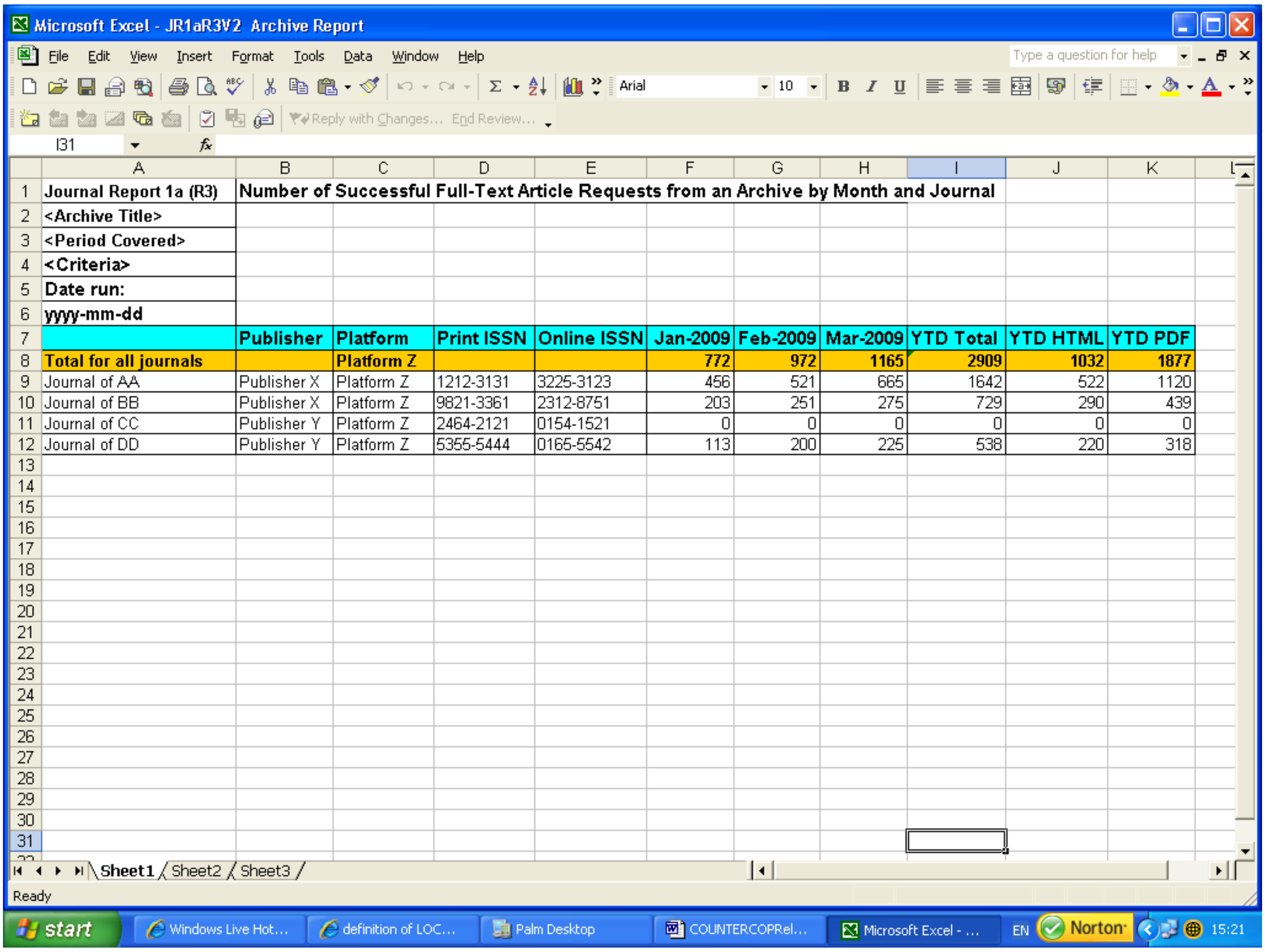
30. **Cells F6** across to **Cell K6** (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

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 1a: Number of Successful Full-Text Article Requests from an Archive by Month and Journal

(Full Journal name, print ISSN and Online ISSN are listed)



	A	B	C	D	E	F	G	H	I	J	K
1	Journal Report 1a (R3)	Number of Successful Full-Text Article Requests from an Archive by Month and Journal									
2	<Archive Title>										
3	<Period Covered>										
4	<Criteria>										
5	Date run:										
6	yyyy-mm-dd										
7		Publisher	Platform	Print ISSN	Online ISSN	Jan-2009	Feb-2009	Mar-2009	YTD Total	YTD HTML	YTD PDF
8	Total for all journals		Platform Z			772	972	1165	2909	1032	1877
9	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	456	521	665	1642	522	1120
10	Journal of BB	Publisher X	Platform Z	9821-3361	2312-8751	203	251	275	729	290	439
11	Journal of CC	Publisher Y	Platform Z	2464-2121	0154-1521	0	0	0	0	0	0
12	Journal of DD	Publisher Y	Platform Z	5355-5444	0165-5542	113	200	225	538	220	318

Note:

1. For ‘criteria’ specify, for example, the organizational level to which the usage reports refer: eg ‘NorthEast Research Libraries Consortium’, ‘Yale University’
2. Vendors providing Journal Report 1a must continue to report **all** usage for journals listed in Journal Report 1, notwithstanding their inclusion in Journal Report 1a.

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

Journal Report 1a: 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 JR1a. 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:

31. **Cell A1** contains the text “Journal Report 1a(R3)”
32. **Cell B1** contains the text “Number of Successful Full-text Article Requests by Month and Journal”
33. **Cell A2** contains the “Archive Title”
34. **Cell A3** contains the “Period Covered”, provided in the following format: yyyy-mm-dd to yyyy-mm-dd. For example, an archive covering the full calendar years 2001 and 2002 would show: 2001-01-01 to 2002-12-31
35. **Cell A4** contains the “criteria” as defined in the COP (eg “NorthEast Research Library Consortium” or “Yale University”)
36. **Cell A5** contains the text “Date run:”
37. **Cell A6** contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2009 would show “2009-02-12”.
38. **Cell A7** is left blank

39. **Cell B7** contains the text “Publisher”

40. **Cell C7** contains the text “Platform”

41. **Cell D7** contains the text “Print ISSN”

42. **Cell E7** contains the text “Online ISSN”

43. **Cell F7** contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2009, this cell will contain “Jan-2009”

44. **Cell G7**, **H7** etc repeat F7 for each month of data contained in the report, with the same Mmm-yyyy formatting

45. **Cell I7** (in this example, the column after the last month of data) contains the text “"YTD Total".

46. **Cell J7** (in this example, two columns after the last month of data) contains the text “"YTD HTML".

47. **Cell K7** (in this example, three columns after the last month of data) contains the text “"YTD PDF".

48. **Cell A8** contains the text "Total for all journals"

49. **Cell B8** 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.

50. **Cell C8** contains the name of the platform

51. **Cells D8 and E8** are blank

52. **Cell A9** down to **Cell A[n]** contains the name of each journal

53. **Cell B9** down to **Cell B[n]** contains the name the publisher of each journal

54. **Cell C9** down to Cell **C[n]** contains the name of the platform on which each journal is published

55. **Cell D9** down to **Cell D[n]** contains the Print ISSN

56. **Cell E9** down to **Cell E[n]** contains the Online ISSN

57. **Cell F9** down to **Cell F[n]** contains the number of Full Text Requests Total for that journal in the corresponding month

58. Similarly**, Cell G9** down to **Cell G[n], Cell H9** down to **Cell H[n]** etc contain the Full Text Requests Total for the corresponding months

59. **Cell I9** 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.

60. **Cell J9** 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.

61. **Cell K9** 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.

62. **Cells F8** across to **Cell K8** (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 (R3)	**Turnaways by Month and Journal**							
<Criteria>								
Date run:								
yyyy-mm-dd								
	Publisher	**Platform**	**Print ISSN**	**Online ISSN**	**Page type**	**Jan-2009**	**Feb-2009**	**Mar-2009**	**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

The XML Schema for Journal Report 2 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd

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 (R3)”
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

Database Report 1 (R3)	Total Searches and Sessions by Month and Database						
<Criteria>							
Date run:							
yyyy-mm-dd							
	Publisher	Platform		Jan-2009	Feb-2009	Mar-2009	YTD Total
Database AA	Publisher X	Platform Z	Searches run	2322	2520	2742	7584
Database AA	Publisher X	Platform Z	Sessions	1821	1929	2211	5961
Database BB	Publisher Y	Platform Z	Searches run	3466	3210	4459	11135
Database BB	Publisher Y	Platform Z	Sessions	1987	2200	2544	6731
Database AA	Publisher X	Platform Z	Searches-federated	5932	4976	6022	16930
Database AA	Publisher X	Platform Z	Sessions-federated	3421	4523	4409	12353
Database BB	Publisher Y	Platform Z	Searches-federated	7734	6832	8001	22567
Database BB	Publisher Y	Platform Z	Sessions-federated	3986	2899	3887	10772

Note:

1. For ‘criteria’ specify, for example, the organizational level to which the usage reports refer: eg ‘NorthEast Research Libraries Consortium’, ‘Yale University’
2. Search and session activity generated by federated search engines and other automated search agents should be categorized separately from regular searches. Any searches or sessions derived from any federated search engine (or similar automated search agent) should be included in separate “Searches_federated” and “Sessions_federated” counts as indicated in the above report and are not to be included in the “Searches run” and “Sessions”counts.

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

The XML Schema for Database Report 1 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd

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 (R3)"
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 A8** contains the name of Database BB

28. **Cell B8** contains the name of the publisher

29. **Cell C8** contains the name of the platform

30. **Cell D8** contains the text “Searches run“

31. **Cell E8** contains the number of searches run for the corresponding month

32. Similarly, **Cell F8, Cell G8,** etc contain the Searches run for the corresponding months

33. **Cell H8** (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 A9** contains the name of Database BB

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

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

37. **Cell D9** contains the text "Sessions"

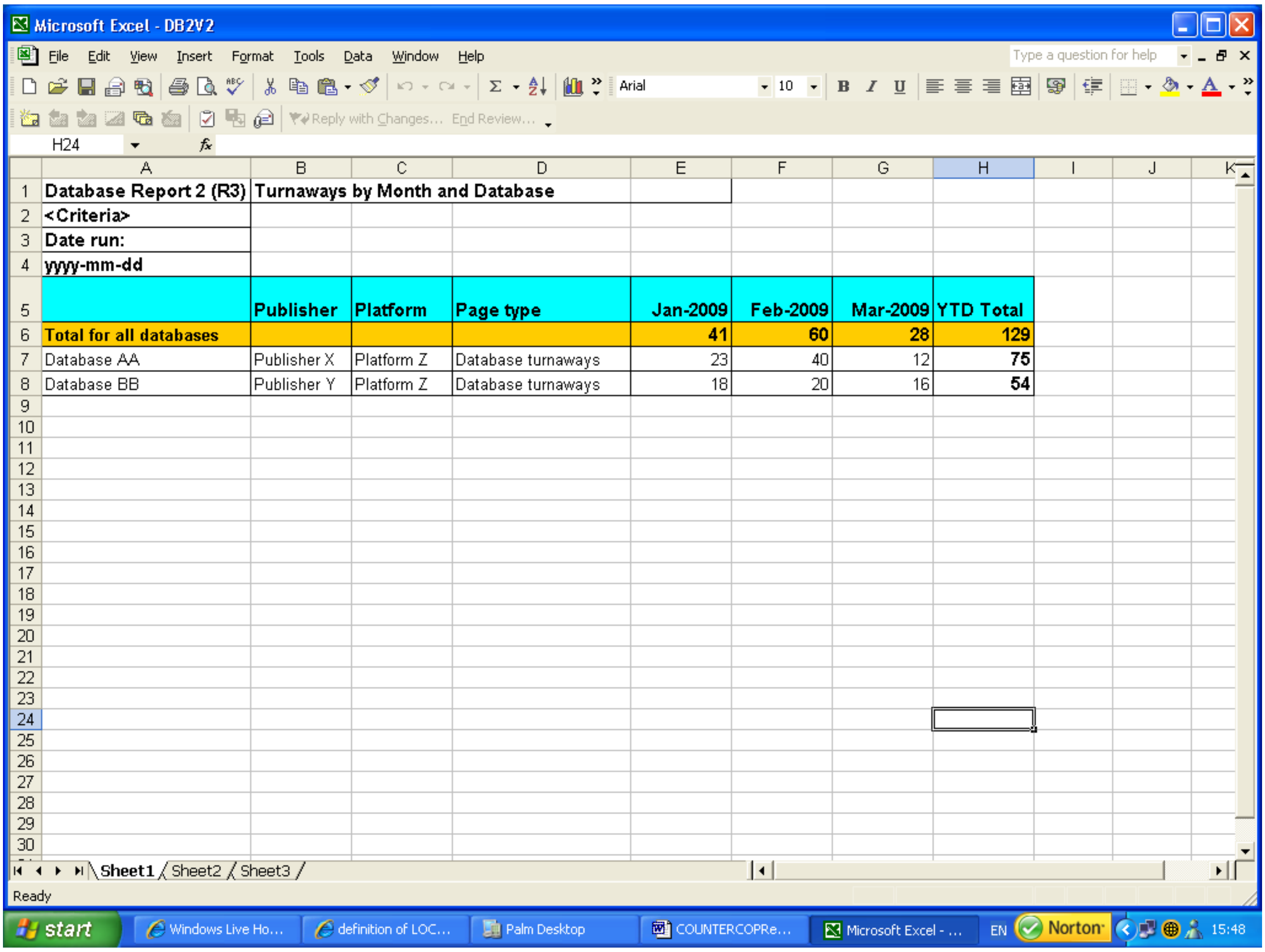
38. **Cell E9** contains the number of Sessions for the corresponding month

39. Similarly, **Cell F9, CellG9,** etc contain the Sessions for the corresponding months

40. **Cell H9** (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 (R3)	Turnaways by Month and Database						
<Criteria>							
Date run:							
yyyy-mm-dd							
	Publisher	Platform	Page type	Jan-2009	Feb-2009	Mar-2009	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

The XML Schema for Database Report 2 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd

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.

<u>Display/Formatting Rules:</u>

1. **Cell A1** contains the text "Database Report 2 (R3)"
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

Database Report 3 (R3)	Total Searches and Sessions by Month and Service					
<Criteria>						
Date run:						
yyyy-mm-dd						
	Platform		Jan-2009	Feb-2009	Mar-2009	YTD Total
Total for Service AA	Platform Z	Searches run	16567	18643	20987	56197
Total for Service AA	Platform Z	Sessions	12007	12677	13003	37687
Total for Service AA	Platform Z	Searches -federated	56037	68945	76203	201185
Total for Service AA	Platform Z	Sessions- federated	32756	41539	43867	118162

Note:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'
2. Search and session activity generated by federated search engines and other automated search agents should be categorized separately from regular searches. Any searches or sessions derived from any federated search engine (or similar automated search agent) should be included in separate "Searches_federated" and "Sessions_federated" counts as indicated in the above report and are not to be included in the "Searches run" and "Sessions"counts.

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

The XML Schema for Database Report 3 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd

Database Report 3: Display Rules

<u>General Notes:</u>
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.

<u>Display/Formatting Rules:</u>

1. Cell A1 contains the text “Database Report 3 (R3)”

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 2009, this cell will contain “Jan-2009”

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.

4.1.3 Usage Reports for a Library Consortium

If a product has been purchased by a library 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.

The advent of the SUSHI protocol (http://www.niso.org/committees/SUSHI/SUSHI_comm.html) is a particular advantage for consortial reporting, given the large amounts of usage data involved. For this reason, COUNTER has developed two new reports for library consortia that are specified **only** in XML format. These reports, Consortium Report 1 and Consortium Report 2 are described below:

Consortium Report 1: Number of successful full-text journal article or book chapter requests by month, (XML only).

XML Schema: http://www.niso.org/schemas/sushi/counter_2_5.xsd

This report is a single XML file, broken down by consortium member, which contains the full-text usage data for every online journal and book taken by individual consortium members, calculated on the same basis as in Journal Report 1 above and in Book Reports 1 and 2 (which may be found in the COUNTER Code of Practice for Books and Reference Works), using the data processing rules specified in Section 5 below.

Consortium Report 2: Total searches by month and database (XML only).

XML Schema: http://www.niso.org/schemas/sushi/counter_2_5.xsd

This report is a single XML file, broken down by consortium member, which contains the search and session counts for each database taken by individual consortium members, calculated on the same basis as for Database Report 1, above, using the data processing rules specified in Section 5 below.

Note:

1. The XML schema covering both of the above usage reports is available on the NISO/SUSHI website (http://www.niso.org/schemas/sushi/counter_2_5.xsd). This schema can be used with the SUSHI and COUNTER_SUSHI schemas to retrieve any of the COUNTER reports (journals, databases, books, reference works, consortium). The flexibility of the schema is achieved through the use of several self-defining elements. Rather than enumerate the allowed values within the schema, these values are defined outside of the schema to allow new reports and metrics to be added without needing to update the schema each time. The values for the "Report" data element are listed in the Report Registry. Values for other elements can be found on the COUNTER Schema Data Element Values webpage.
2. Where journal articles and book chapters are available on the same platform, usage should be included in the same consortium report. Where journal articles and book chapters are available on separate platforms usage should be reported separately.
3. A list of the definitions used in the XML schema may be found in Appendix G of this Code of Practice

4. For those who are not familiar with XML schemas an approximation in Excel of the new COUNTER schema has been provided in Appendix I of this Code of Practice. The purpose of this approximation is only to provide a graphic representation of the structure of the XML, **not** to generate an Excel version of the report, which would be impractical.

4.2 Customer categories for Usage Reports

Customer accounts, access and entitlements to vendor sites are authenticated 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.

4.3 Report delivery

Unless specified otherwise in section 4.1, all COUNTER reports must conform to the following standards:

- Reports must be provided in the following formats:
    - Microsoft Excel file (see Section 4.1 above), or as a CSV file (See Appendix F), or as a file that can be easily imported into Microsoft Excel pivot tables.
    - As XML formatted in accordance with the COUNTER schema (http://www.niso.org/schemas/sushi/counter_2_5.xsd). More information on XML formatting is available in Appendix G.
- 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
- XML versions of the reports must be available for harvesting via the SUSHI protocol.

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.

Return codes and time filters

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)

Correcting for the effects of federated searches, internet robots and search engine prefetching of pages on usage statistics

The growing use of federated searches and the spread of internet robots have the potential to inflate enormously usage statistics reported in the COUNTER reports.. In addition, a number of internet search engines introduce <link> tags for the first few results in the list that cause the browser to fetch the pages behind the results and load them into the browser cache. If the results are links to full-text articles then this will be counted in, for example, Journal Report 1 as a 'successful full-text request.' If the user then clicks on the link another header request is made, which could be counted as another 'successful full-text request.' Without some control this activity could result in significant over-counting.

COUNTER protocols have been developed to mitigate the inflationary effects of federated searches, internet robots and search-engine prefetching on the reported usage statistics. COUNTER-compliant Vendors are required to implement these protocols, itemised below.

Protocol for federated searches and other automated search agents

Search and session activity generated by federated search engines and other automated search agents should be categorized separately from regular searches. Any searches or sessions derived from any federated search engine (or similar automated search agent) should be included in separate "Searches_federated" and "Sessions_federated" counts within Database Reports 1 and 3, and are not to be included in the "Searches run" and "Sessions"counts. See example Database Reports 1 and 3 in Section 4.1.above).

Protocol for internet robots and crawlers

Activity generated by any internet robots and crawlers must be excluded from all COUNTER usage reports. A list of internet robots is provided in Appendix J, for guidance only, and should not be regarded as exhaustive.

Protocol for LOCKSS caches

Activity generated by LOCKSS or a similar cache system during the process of loading, refreshing, or otherwise maintaining the cache must be excluded from all COUNTER reports.

Protocol for search-engine prefetching of pages

Any activity resulting from any prefetch activity of internet search engines must be excluded from COUNTER reports. A list of search engines that prefetch items is provided in Appendix J for guidance only and should not be regarded as exhaustive.

Prefetch requests include an "x-moz:prefetch" http header, which can be used by vendors to recognize the prefetch action. Vendors may allow the prefetch request to be fulfilled, but must exclude the transaction from the COUNTER reports

6. Auditing

An important feature of the COUNTER Code of Practice is that compliant vendors must be independently audited on a regular basis in order to maintain their COUNTER compliant status. To facilitate this, a set of detailed auditing standards and procedures has been published in Appendix E of the Code of Practice for Journals and Databases on the COUNTER website (http://www.projectcounter.org/r2/R2_Appendix_E_Auditing_Requirements_and_Tests.pdf.) In developing these COUNTER has tried to meet the need of customers for credible usage statistics without placing an undue administrative or financial burden on vendors. For this reason audits will be conducted online using the detailed test scripts included in the auditing standards and procedures.

The independent audit is required within 18 months of vendors first achieving compliance with the COUNTER Code of Practice for Journals and Databases, and annually thereafter. Vendors will be reminded by COUNTER at least three months before the deadline for an audit is due. COUNTER will recognize an audit carried out by any Professional Certified Accountant (USA), by any Chartered Accountant (UK), or by their equivalent in other countries. Alternatively, the audit may be done by another, COUNTER-approved auditor. Information on COUNTER-approved auditors is provided on the Code of Practice page of the COUNTER website

The Audit Process

1. COUNTER compliant vendors will be notified in writing by COUNTER that an audit is required at least 3 months before the audit is due.

2. Vendors should respond within 1 month of receiving the reminder by informing COUNTER of their planned timetable for the audit and the name of the organization that will carry out the audit. Any queries about the audit process may be raised at this time.

3. Irrespective of the auditor selected, the audit must adhere to the requirements and use the tests specified in Appendix E of the Code of Practice for Journals and Databases.

4. Upon completion of the audit the auditor is required to send a signed copy of the audit report to the COUNTER office (pshepherd@projectCounter.org

5. If, for any reason, a vendor fails the audit, that vendor will be allowed a grace period of three months to rectify the reasons for the failure before being removed from the Register of COUNTER compliant vendors.

7. Compliance

7.1 Timetable and procedure

Release 3 of the Code of Practice, published in final form in June 2008, will be come the only valid version of the Code of Practice in January 2009.

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 18 months 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

Email

pshepherd@ProjectCounter.org

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 for Journal Report 1 and Journal Report 3. In order to avoid the risk of duplicate counting of usage, publishers and intermediaries must adhere to the following principle: the entity that delivers the full-text article to the customer is the entity responsible for recording usage and reporting that usage to the customer in Journal Report 1 and Journal Report 3. The only exception to this rule is where a contractual arrangement is in place that requires one or the other to report usage to the customer, irrespective of whether they deliver the full text to that customer. Under no circumstances may both publisher and intermediary record and report the same instance of usage.

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, October 2006)

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, October 2006)

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

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

- ***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 for statistical measures of usage of web-based information resources, revised in 2006, 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 http://www.library.yale.edu/consortia/webstats06.htm
- ***MESUR (MEtrics from Scholarly Usage of Resources):*** The objective of this project is to enrich the toolkit used for the assessment of the impact of scholarly communication items, and hence of scholars, with metrics derived from usage data. The project's principal investigator is Johan Bollen of the Los Alamos National Laboratory and its timeline is October 2006 to October 2008. Additional information may be found at: http://www.mesur.org/MESUR.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
- ***NISO/SUSHI:*** The objective of the Standardised Usage Harvesting Initiative (SUSHI) is to provide a freely available protocol that allows machine to machine automation of statistic harvesting. The SUSHI protocol, as well as further information, are available on the NISO/SUSHI website at: http://www.niso.org/committees/SUSHI/SUSHI_comm.html

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. Comments may be sent to the Project Director, Dr Peter T Shepherd at pshepherd@ProjectCounter.org .

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: Definitions for XML Schema 2.5

Appendix H: Optional Additional Usage Reports

Appendix I: Excel approximation of library consortium XML reports

Appendix J: Internet robots, crawlers, spiders, etc.