



**COUNTER  
METRICS**

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**Archival Information**

**Code of Practice  
Release 4**

**Original publication: April 2012**

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# The COUNTER Code of Practice for e-Resources: Release 4

Published April 2012

## Abstract

COUNTER provides an international, extendible Code of Practice for e-Resources that allows the usage of online information products and services to be measured in a credible, consistent and compatible way using vendor-generated data. Release 4 is an integrated Code of Practice covering journals, databases, books, reference works and multimedia content. It replaces both Release 3 of the Code of Practice for Journals and Databases and Release 1 of the Code of Practice for Books and Reference Works. The deadline date for implementation of Release 4 is 31 December 2013. After this date only those vendors compliant with Release 4 will be considered to be COUNTER compliant; vendors are encouraged to implement Release 4 before that date. Before 31 December 2013, only vendors compliant with the new Release 4, or vendors compliant with Release 3 for Journals and Databases or Release 1 for Books and Reference Works will be considered to be COUNTER-compliant.

Release 4 contains the following new features:

- A single, integrated Code of Practice covering journals, databases, books, reference works and multimedia content
- An expanded list of Definitions, including terms such as 'gold open access', 'multimedia full content unit', 'record view', 'result click', as well as different categories of 'access denied', etc. that are used for the first time in Release 4
- Enhancements of the SUSHI (Standardised Usage Statistics Harvesting Initiative) protocol designed to facilitate its implementation by vendors and its use by librarians
- A requirement that Tab-Separated Values must be provided instead of Comma-Separated Values
- A requirement that Journal DOI and Book DOI be included in the usage reports, to facilitate not only the management of usage data, but also

the linking of usage data to other data relevant to collections of online content.

- A requirement to report usage of Gold Open Access articles separately in a new report: Journal Report 1 GOA: Number of Successful Gold Open Access Full-text Article Requests by Month and Journal.
- An expanded Journal Report 2, which now includes 'access denied: content item not licenced', in addition to the 'Turnaways' (access denied: simultaneous/concurrent user licence limit exceeded) covered in earlier Releases.
- A modified Journal Report 5, which reports usage by year-of-publication and allows customers to calculate usage of archival packages, is now a required report. Vendors are not required to provide this report to every customer every month, but they must have the capability to provide Journal Report 5 to customers on demand.
- Modified Database Reports, in which the previous requirement to report Session counts has been dropped, and new requirements, to report Record Views and Result Clicks, have been added. (Database Report 3 has also been renamed Platform Report 1).
- A requirement , in Book Report 2, that the type of Section covered in the report by a particular vendor be defined
- Removal of Book Report 6: Total Searches and Sessions by Month and Service, which is replaced by Platform Report 1.
- A new report, Multimedia Report 1, which covers the usage of non-textual multimedia resources, such as audio, video and images, by reporting the number of successful requests for multimedia full content units
- New reports covering usage on mobile devices
- A description of the relative advantages of logfiles and page tags as the basis for counting online usage
- Flexibility in the usage reporting period that allows customers to specify a date range for their usage reports

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## Contents

|  |     |
|--|-----|
| General information .....  | 6   |
| Definitions of terms used.....   | 8   |
| SUSHI .....  | 9   |
| Usage Reports.....   | 10  |
| Data Processing.....   | 37  |
| Auditing .....   | 42  |
| Compliance.....  | 44  |
| Maintenance and development of the Code of Practice .....                        | 46  |
| Appendix A: Glossary of Terms.....   | 47  |
| Appendix B: Vendor/Aggregator/Gateway Declaration of COUNTER Compliance<br>..... | 58  |
| Appendix C: SUSHI.....   | 60  |
| Appendix D: Guidelines for Implementation .....                                  | 62  |
| Appendix E: Auditing Requirements and Tests .....                                | 73  |
| Appendix G: XML Overview, with links to schemas.....                             | 101 |
| Appendix H: Optional Additional Usage Reports .....                              | 103 |
| Appendix J: List of Known Federated Search Engines .....                         | 120 |
| Appendix K: Text and data mining usage reports .....                             | 121 |
| Appendix L: New Book Report BR7 .....  | 123 |
| Appendix M: Provider Discovery Reports .....                                     | 126 |

## **General information**

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, intermediaries and others by facilitating the recording and exchange of online usage statistics. The 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.

## **Purpose**

The purpose of the COUNTER Code 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.

## **Scope**

This COUNTER Code of Practice provides a framework for the recording and exchange of online usage statistics for the major categories of e-resources (journals, databases, books, reference works, multimedia 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.

## **Application**

COUNTER is designed for librarians, vendors, intermediaries and others who require reliable online usage statistics. The guidelines provided by this Code 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.

## **Strategy**

COUNTER provides an open Code of Practice that evolves in response to the demands of the international librarian, publishing and intermediary communities. The Code of Practice is kept continually under review; feedback on its scope and application are actively sought from all interested parties. See Section 8 below.

## **Governance**

The COUNTER Code of Practice is 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. An Executive Committee reports to the Board, and the day-to-day management of COUNTER is the responsibility of the Project Director.

## **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 4, 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 these sources are cited. See Appendix A.

## **Versions**

The COUNTER Code of Practice will be extended and upgraded as necessary 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. Release 4 of the Code of Practice replaces both Release 3 of the

Code of Practice for Journals and Databases and Release 1 of the Code of Practice for Books and Reference Works. The deadline date for implementation of this Release is 31 December 2013. After this date only those vendors compliant with Release 4 will be considered to be COUNTER compliant.

## **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.

## **Relationship to other standards, protocols and codes**

The COUNTER Codes of Practice builds on a number of existing industry initiatives and standards that address vendor-based network performance measures. 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.

## **Making comments on the Code of Practice**

The COUNTER Executive Committee welcomes comments on the Code of Practice. See Section 8 below.

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## **Definitions of terms used**

Appendix A lists the terms relevant to Release 4 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 in Appendix A.

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## **SUSHI**

The advent of the SUSHI (Standardized Usage Statistics Harvesting Initiative) protocol (<http://www.niso.org/workrooms/sushi/>) has greatly facilitated the handling of large volumes of usage data, and its implementation by vendors allows 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 Tab-separated Value (TSV) file, or as a file that can be easily imported into Microsoft Excel) COUNTER usage reports must also be provided in XML format in accordance with the COUNTER XML schema that is specified by SUSHI and may be found on the NISO/SUSHI website at:

<http://www.niso.org/schemas/sushi/> The COUNTER schema covers all the usage reports listed in Section 4 below. COUNTER reports in XML must be downloadable using the SUSHI protocol.

COUNTER and NISO partner with other organizations to provide tools that facilitate the implementation of the COUNTER standards. COUNTER also encourages the development of Open Source tools, such as the SUSHI Harvester for Consortia (<http://www.niso.org/workrooms/sushi/tools/#harvester>). Further information on these tools may be found on the NISO/SUSHI website.

### **SUSHI Server Response Times**

A SUSHI Server must respond to the SUSHI Request from a client within 120 seconds. SUSHI Servers that are unable to consistently deliver a completed usage report within this timeframe should adopt an architecture that allows for background processing of usage data – the server can respond to the initial request with a “Server Busy” exception while queuing the request for background processing. Since most SUSHI clients will wait minutes or hours before retrying the request, the report will be ready to be delivered on the subsequent request.

## Further information on SUSHI

Further information on SUSHI is available in Appendix C of this Code of Practice Comprehensive information on SUSHI is also available on the NISO/SUSHI website (<http://www.niso.org/workrooms/sushi/>). As well as full documentation on the standard itself, the SUSHI website provides:

- Information on Getting Started
- SUSHI Tools
- SUSHI Schemas
- SUSHI Reports Registry
- SUSHI Server Registry
- SUSHI Developers List
- SUSHI FAQs

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## Usage Reports

This section lists the COUNTER Usage Reports; it also 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.

Customers may specify the start and end month of data to be reported in the COUNTER Reports. To enable customers to do this, vendors must have a pool of at least 24 months of usage data available, and a COUNTER Report must be capable of displaying at least 12 months of usage data, if this is requested by the customer. If no start or end month is specified by a customer, the default reporting period is the Current Calendar Year-to-Date. (Newly COUNTER-compliant vendors may not have 24 months of COUNTER compliant usage data available, in which case they must make available as many months' usage data as they have until they have 24 months of usage data).

Table 1. List of COUNTER Usage Reports

| Report   | Description   | Status                    |
|--|---|---------------------------|
| Journal Report 1                               | Number of Successful Full-Text Article Requests by Month and Journal                            | Standard                  |
| Journal Report 1 GOA                           | Number of Successful Gold Open Access Full-Text Article Requests by Month and Journal           | Standard                  |
| Journal Report 1a                              | Number of Successful Full-Text Article Requests from an Archive by Month and Journal            | Optional (See Appendix H) |
| Journal Report 2                               | Access Denied to Full-Text Articles by Month, Journal and Category                              | Standard                  |
| Journal Report 3                               | Number of Successful Item Requests by Month, Journal and Page-type                              | Optional (See Appendix H) |
| Journal Report 3 Mobile                        | Number of Successful Item Requests by Month, Journal and Page-type for usage on a mobile device | Optional (See Appendix H) |
| Journal Report 4                               | Total Searches Run By Month and Collection  | Optional (See Appendix H) |
| Journal Report 5                               | Number of Successful Full-Text Article Requests by Year-of-Publication (YOP) and Journal        | Standard                  |
| Database Report 1                              | Total Searches, Result Clicks and Record Views by Month and Database                            | Standard                  |
| Database Report 2                              | Access Denied by Month, Database and Category   | Standard                  |
| Platform Report 1 (formerly Database Report 3) | Total Searches, Result Clicks and Record Views by Month and Platform                            | Standard                  |
| Book Report 1                                  | Number of Successful Title Requests by Month and Title  | Standard                  |
| Book Report 2                                  | Number of Successful Section Requests by Month and Title  | Standard                  |
| Book Report 3                                  | Access Denied to Content Items by Month, Title and Category                                     | Standard                  |
| Book Report 4                                  | Access Denied to Content items by Month, Platform and Category                                  | Standard                  |
| Book Report 5                                  | Total Searches by Month and Title   | Standard                  |
| Multimedia Report 1                            | Number of Successful Full Multimedia Content Unit Requests by Month and Collection              | Standard                  |

| Report  | Description  | Status                    |
|---|--|---------------------------|
| Multimedia Report 2                             | Number of Successful Full Multimedia Content Unit Requests by Month, Collection and Item Type  | Optional (See Appendix H) |
| Title Report 1 (formerly Journal/Book Report 1) | Number of Successful Requests for Journal Full-Text Articles and Book Sections by Month and Title  | Optional (See Appendix H) |
| Title Report 1 Mobile                           | Number of Successful Requests for Journal Full-Text Articles and Book Sections by Month and Title (formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices) | Optional (See Appendix H) |
| Title Report 2                                  | Access Denied to Full-Text Items by Month, Title and Category  | Optional (See Appendix H) |
| Title Report 3                                  | Number of Successful Item Requests by Month, Title and Page Type   | Optional (See Appendix H) |
| Title Report 3 Mobile                           | Number of Successful Item Requests by Month, Title and Page Type (formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices)                                  | Optional (See Appendix H) |

Note: The Usage Reports categorised as Standard in Table 1 above are those reports that vendors must provide (depending on the types of content covered) in order to be COUNTER compliant. Optional reports are not required for COUNTER-compliance, but are designed to enable more detailed usage reporting, where vendors have the capability to do this.

## Example usage reports

Examples are provided below of the COUNTER usage reports, in separate sections for Journals, Databases, Books and Reference Works, and for Multimedia content. While these examples are in Excel format, (See Section 4.3 below for other report delivery options), primarily for visualisation purposes, all COUNTER usage reports must be available in XML, irrespective of other formats provided. Reports must comply exactly with the formats specified in order to be COUNTER compliant.

In all the usage reports listed below the Reporting Period Total column has been moved from the column at right-hand side of the report, which it occupied in previous Releases, to a column on the left-hand side of the monthly data columns. This move has been made to ensure that the Reporting Period Total column is at a fixed place in each report, irrespective of the number of months of data being reported. This facilitates the automated harvesting and processing of the usage reports.

The majority of the Excel examples provided below show usage data for the months of January, February and March. This limited range of months has been selected simply to allow the reports to be displayed clearly on the page within this document. In reality the usage reports will show columns for every month during the Reporting Period, to the end month selected. Where the end month selected is in the future, the relevant columns should be shown with no data in the cells

## Journals

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

| Journal                       | Publisher   | Platform          | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Reporting Period Total | Reporting Period HTML | Reporting Period PDF | Jan-2011 | Feb-2011 | Mar-2011 |
|-------------------------------|-------------|-------------------|-------------|------------------------|------------|-------------|------------------------|-----------------------|----------------------|----------|----------|----------|
| <b>Total for all journals</b> |             | <b>Platform Z</b> |             |                        |            |             | 4449                   | 1566                  | 2733                 | 2223     | 1285     | 941      |
| Journal of AA                 | Publisher X | Platform Z        |             |                        | 1212-3131  | 3225-3123   | 1363                   | 601                   | 732                  | 432      | 376      | 555      |
| Journal of BB                 | Publisher X | Platform Z        |             |                        | 9821-3361  | 2312-8751   | 1312                   | 548                   | 651                  | 625      | 687      | 0        |
| Journal of CC                 | Publisher Y | Platform Z        |             |                        | 2464-2121  | 0154-1521   | 1717                   | 403                   | 1310                 | 1109     | 222      | 386      |
| Journal of DD                 | Publisher Y | Platform Z        |             |                        | 5355-5444  | 0165-5542   | 57                     | 14                    | 40                   | 57       | 0        | 0        |

Note:

1. Neither books nor book series may be included in Journal Report 1.
2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'

3. 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.
4. 'Institutional Identifier' is an optional field until the standard for this identifier, being developed by the NISO Institutional Identifiers Working Group, is available for implementation.
5. A Journal DOI is required for each journal listed. This should be provided simply as an identifier value. (If a Journal DOI is not available the cell must be left blank).
6. The Proprietary Identifier column must always be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal.
7. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
8. 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).
9. The Reporting Period Total will not necessarily be the sum of the Reporting Period HTML and Reporting Period PDF columns, as full-text articles may be available in formats other than PDF and HTML.
10. Vendors that provide online journals and books on the same platform may report usage of both categories of product in a single optional additional COUNTER report: Title Report 1: Number of successful full-text item requests by month and title. This report may be found in Appendix H to this Code of Practice.

### Data Display Rules

Vendors must adhere to the Data Display Rules specified below. While these rules apply specifically to Journal Report 1, they also illustrate the rules that should be followed for the other reports listed in this Code of Practice.

### Journal Report 1: Display Rules

#### General Notes:

- Background cell colour is optional for all cells. No cell should contain commas or tab characters.
- These rules apply to both Excel and TSV (Tab-Separated Value) formats of JR1. The notation used refers to cells using standard Excel notation, with cell "B6" meaning the cell in the second column and at the 6th row. In TSV, this would refer to the 2nd field position on the 6th row of the file.
- There must be a column for every month that falls within the Reporting Period covered by the report. Where recorded usage is zero in a given month '0' must be included in the relevant cells. Where usage has not yet been recorded for a given month the relevant cells must be left blank.

#### Display/Formatting Rules:

- Cell A1 contains the text "Journal Report 1(R4)"
- Cell B1 contains the text "Number of Successful Full-text Article Requests by Month and Journal"
- Cell A2 contains the "Customer" as defined in Appendix A (e.g. "NorthEast Research Library Consortium" or "Yale University")
- Cell A3 contains the "Institutional Identifier" as defined in Appendix A, but may be left blank if the vendor does not use Institutional Identifiers
- Cell A4 contains the text "Period covered by Report"
- Cell A5 contains the dates that encompass the Period covered by Report in yyyy-mm-dd format. For example a report covering the Period 1 April 2011-30 September 2011 would show 2011-04-01 to 2011-09-30.
- Cell A6 contains the text "Date run"
- Cell A7 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 February 2011 would show 2011-02-12.
- Cell A8 contains the text "Journal"
- Cell B8 contains the text "Publisher"
- Cell C8 contains the text "Platform"
- Cell D8 contains the text "Journal DOI"

- Cell E8 contains the text "Proprietary Identifier"
- Cell F8 contains the text "Print ISSN"
- Cell G8 contains the text "Online ISSN"
- Cell H8 contains the text "Reporting Period Total"
- Cell I8 contains the text "Reporting Period HTML"
- Cell J8 contains the text "Reporting Period PDF".
- Cell K8 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2011, this cell will contain "Jan-2011"
- Cell A9 contains the text "Total for all journals"
- Cell B9 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.
- Cell C9 contains the name of the platform
- Cells D9, E9, F9 and G9 are blank
- Cell A10 down to Cell A[n] contains the name of each journal
- Cell B10 down to Cell B[n] contains the name of the publisher of each journal
- Cell C10 down to Cell C[n] contains the name of the platform on which each journal is published
- Cell D10 down to Cell D[n] contains the Journal DOI
- Cell E10 down to Cell E[n] contains the Proprietary Identifier, where available
- Cell F10 down to Cell F[n] contains the Print ISSN
- Cell G10 down to Cell G[n] contains the Online ISSN
- Cell H10 down to Cell H[n] contains the number of Full Text Requests Total for the Reporting Period -
- i.e. the sum of Full Text Requests Total for Jan, Feb etc up to and including the last reported month.
- Cell I10 down to Cell I[n] contains the number of Full Text HTML Requests Total for the Reporting Period.
- Cell J10 down to Cell J[n] contains the number of Full Text Requests PDF for the Reporting Period.



- Cell K10 down to Cell K[n] contains the number of Full Text Requests for that journal in the corresponding month
- Similarly, Cell L10 down to Cell L[n], Cell M10 down to Cell M[n] etc contain the Full Text Requests for the corresponding months
- Cell H9 and Cell K9 across to Cell M7 (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 9 must equal the sum of the cells for that column from Row 10 to the bottom of the table.

**Note About HTML and PDF Totals:**

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

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, See Appendix A. The XML Schema for Journal Report 1 is at:

<http://www.niso.org/schemas/sushi/#counter>

*Journal Report 1 GOA: Number of Successful Gold Open Access Full-text Article Requests by Month and Journal*

| Journal                       | Publisher   | Platform          | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Reporting Period Total | Reporting Period HTML | Reporting Period PDF | Jan-2011   | Feb-2011   | Mar-2011  |
|-------------------------------|-------------|-------------------|-------------|------------------------|------------|-------------|------------------------|-----------------------|----------------------|------------|------------|-----------|
| <b>Total for all journals</b> |             | <b>Platform Z</b> |             |                        |            |             | <b>426</b>             | <b>153</b>            | <b>248</b>           | <b>210</b> | <b>125</b> | <b>91</b> |
| Journal of AA                 | Publisher X | Platform Z        |             |                        | 1212-3131  | 3225-3123   | 123                    | 61                    | 72                   | 32         | 36         | 55        |
| Journal of BB                 | Publisher X | Platform Z        |             |                        | 9821-3361  | 2312-8751   | 129                    | 48                    | 61                   | 62         | 67         | 0         |
| Journal of CC                 | Publisher Y | Platform Z        |             |                        | 2464-2121  | 0154-1521   | 167                    | 40                    | 111                  | 109        | 22         | 36        |
| Journal of DD                 | Publisher Y | Platform Z        |             |                        | 5355-5444  | 0165-5542   | 7                      | 4                     | 4                    | 7          | 0          | 0         |

Note:

1. Usage reported in JR1 GOA must also be included in JR1, which reports all usage of full-text articles, including usage of Gold Open Access articles
2. Neither books nor book series may be included in Journal Report 1 GOA.
3. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
4. 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.
5. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
6. A Journal DOI is required for each journal listed. This should be provided simply as an identifier value. (If a Journal DOI is not available the cell must be left blank).
7. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal
8. The hyphen within the ISSNs must be included, as indicated in the example above.
9. 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).
10. The Reporting Period Total will not necessarily be the sum of the Reporting Period HTML and Reporting Period PDF columns, as full-text articles may be available in formats other than PDF and HTML.
11. Vendors that provide online journals and books on the same platform may report usage of both categories of product in a single optional additional COUNTER report: Title Report 1: Number of successful full-text item requests by month and title. This report may be found in Appendix G to this Code of Practice.
12. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Journal Report 1 GOA is at:

<http://www.niso.org/schemas/sushi/#counter>

*Journal Report 2: Access Denied to Full-Text Articles by Month, Journal and Category*

The screenshot shows an Excel spreadsheet with the following data:

| Journal   | Publisher   | Platform   | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Access Denied Category   | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
|---|-------------|------------|-------------|------------------------|------------|-------------|--|------------------------|----------|----------|----------|
| <b>Journal Report 2 (R4) Access Denied to Full-text Articles by Month, Journal and Category</b> |             |            |             |                        |            |             |  |                        |          |          |          |
| <b>&lt;Customer&gt;</b>   |             |            |             |                        |            |             |  |                        |          |          |          |
| <b>&lt;Institutional Identifier&gt;</b>   |             |            |             |                        |            |             |  |                        |          |          |          |
| <b>Period covered by Report: yyyy-mm-dd to yyyy-mm-dd</b>                                       |             |            |             |                        |            |             |  |                        |          |          |          |
| <b>Date run: yyyy-mm-dd</b>   |             |            |             |                        |            |             |  |                        |          |          |          |
| <b>Total for all journals</b>   | Publisher X | Platform Z |             |                        |            |             | Access denied: concurrent/simultaneous user licence limit exceeded | 156                    | 47       | 45       | 64       |
| <b>Total for all journals</b>   | Publisher X | Platform Z |             |                        |            |             | Access denied: content item not licenced                           | 1110                   | 369      | 289      | 452      |
| Journal of AA   | Publisher X | Platform Z |             |                        | 1212-3131  | 3225-3123   | Access denied: concurrent/simultaneous user licence limit exceeded | 105                    | 35       | 27       | 43       |
| Journal of AA   | Publisher X | Platform Z |             |                        | 1212-3131  | 3225-3123   | Access denied: content item not licenced                           | 407                    | 143      | 88       | 176      |
| Journal of BB   | Publisher Y | Platform Z |             |                        | 9821-3361  | 2312-8751   | Access denied: concurrent/simultaneous user licence limit exceeded | 51                     | 12       | 18       | 21       |
| Journal of BB   | Publisher Y | Platform Z |             |                        | 9821-3361  | 2312-8751   | Access denied: content item not licenced                           | 703                    | 226      | 201      | 276      |

**Note:**

1. Neither books nor book series may be included in Journal Report 2.
2. For criteria' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
3. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. The Proprietary Identifier column must always be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal
5. A journal DOI is required for each journal listed. This should be provided simply as an identifier value. (If a Journal DOI is not available the cell must be left blank).

6. The hyphen within the ISSNs should be included, as indicated in the example above.
7. 'Access denied: content item not licenced' should be reported when the user has been denied access to a content item because the user or the user's institution does not have access rights under an agreement with the vendor. Examples of the type of event that should trigger the recording of this category of Access Denied are: Redirect user to another URL (e.g. to a credit card payment page); Return Code 403, Forbidden; Customer error page.
8. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Journal Report 2 is at:

<http://www.niso.org/schemas/sushi/#counter>

### Optional reports

Note: Journal Report 1a, Journal Report 3, Journal Report 3 Mobile and Journal Report 4 are optional additional reports that may be found in Appendix H of this Code of Practice.

### Journal Report 5: Number of Successful Full-Text Article Requests by Year-of-Publication (YOP) and Journal

| Journal                       | Publisher   | Platform   | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Articles in Press | YOP 2012 | YOP 2011 | YOP 2010 | YOP 2000 | YOP Pre-2000 | YOP unknown |
|-------------------------------|-------------|------------|-------------|------------------------|------------|-------------|-------------------|----------|----------|----------|----------|--------------|-------------|
| <b>Total for all journals</b> |             |            |             |                        |            |             |                   |          |          |          |          |              |             |
| Journal of AA                 | Publisher X | Platform Z |             |                        | 1212-3131  | 3225-3123   | 32                | 1335     | 2765     | 1801     | 362      | 1091         | 324         |
| Journal of BB                 | Publisher X | Platform Z |             |                        | 9821-3361  | 2312-8751   | 51                | 2981     | 5077     | 3891     | 765      | 2316         | 653         |
| Journal of CC                 | Publisher Y | Platform Z |             |                        | 2464-2121  | 0154-1521   | 16                | 882      | 1398     | 1111     | 216      | 668          | 438         |
| Journal of DD                 | Publisher Y | Platform Z |             |                        | 5355-6444  | 0165-5542   | 8                 | 89       | 173      | 152      | 79       | 102          | 72          |

Note:

1. The purpose of this report is to enable customers to distinguish usage of separately acquired archives within the total usage reported in

- Journal Report 1. The range of years reported in Journal Report 5 must, therefore, enable them to do this. The years and YOP-ranges used in Row 8 of Journal Report 5 may be modified, but vendors must provide each YOP in the current decade and in the immediately previous decade as separate columns. All YOPs prior to these two decades may, as a minimum, be reported in a single column unless there is a boundary between current files and backfiles during this period, in which case two columns, one for current files and one for backfiles, must be provided. Vendors are encouraged, where they have the capability to do so, to report all YOPs in separate columns.
2. Vendors are not required to provide Journal Report 5 every month. Rather, vendors are required to have the capability to provide Journal Report 5 to customers on demand.
  3. Vendors providing Journal Report 5 must also continue to report all usage for journals in Journal Report 1, notwithstanding their inclusion in Journal Report 5.
  4. Neither books nor book series may be included in Journal Report 5
  5. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
  6. Articles in Press are full-text articles that have been accepted for publication in a journal, and which have been made available online by the publisher, and which will be assigned a publication date of the current year or a future year.
  7. YOP = Year of Publication
  8. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
  9. A Journal DOI is required for each journal listed. This should be provided simply as an identifier value. (If a Journal DOI is not available the cell must be left blank).
  10. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal

11. The hyphen within the ISSNs should be included, as indicated in the example above.
12. YOP Unknown covers full-text articles (usually older articles) that have been formally published in a journal, but to which no Year of Publication has been allocated. This category of articles must not include Articles in Press unless they cannot be distinguished from other articles without a YOP.
13. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Journal Report 5 is at:

<http://www.niso.org/schemas/sushi/#counter>

## Databases

*Database Report 1: Total Searches, Result Clicks and Record Views by Month and Database*

| Database Report 1 (R4) Total Searches, Result Clicks and Record Views by Month and Database |             |            |                                  |                        |          |          |          |
|---|-------------|------------|----------------------------------|------------------------|----------|----------|----------|
| <Customer>  |             |            |                                  |                        |          |          |          |
| <Institutional Identifier>  |             |            |                                  |                        |          |          |          |
| Period covered by Report:   |             |            |                                  |                        |          |          |          |
| yyyy-mm-dd to yyyy-mm-dd  |             |            |                                  |                        |          |          |          |
| Date run:   |             |            |                                  |                        |          |          |          |
| yyyy-mm-dd  |             |            |                                  |                        |          |          |          |
| Database  | Publisher   | Platform   | User Activity                    | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
| Database AA   | Publisher X | Platform Z | Regular Searches                 | 7814                   | 2543     | 2267     | 3004     |
| Database AA   | Publisher X | Platform Z | Searches-federated and automated | 4889                   | 1689     | 1589     | 1611     |
| Database AA   | Publisher X | Platform Z | Result Clicks                    | 12745                  | 4022     | 3392     | 5331     |
| Database AA   | Publisher X | Platform Z | Record Views                     | 9585                   | 3032     | 2777     | 3776     |
| Database BB   | Publisher Y | Platform Z | Regular Searches                 | 3478                   | 1098     | 1066     | 1314     |
| Database BB   | Publisher Y | Platform Z | Searches-federated and automated | 2613                   | 887      | 814      | 912      |
| Database BB   | Publisher Y | Platform Z | Result Clicks                    | 5350                   | 1776     | 1759     | 1815     |
| Database BB   | Publisher Y | Platform Z | Record Views                     | 3595                   | 1215     | 1066     | 1314     |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'

2. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
3. Search activity generated by federated search engines and automated search agents should be categorized separately from regular searches. Any searches derived from any federated search engine or automated search agent) should be included in separate "Searches\_federated and automated" counts as indicated in the above report and are not to be included in the "Regular Searches " counts.( See relevant protocol in Section 5 below)
4. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Database Report 1 is at:

<http://www.niso.org/schemas/sushi/#counter>

### Database Report 2: Access Denied by Month, Database and Category

| Database                       | Publisher   | Platform   | Access denied category   | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
|--------------------------------|-------------|------------|--|------------------------|----------|----------|----------|
| <b>Total for all databases</b> |             |            |  | 0                      | 0        | 0        | 0        |
| <b>Total for all databases</b> |             |            |  | 1821                   | 594      | 454      | 773      |
| Database AA                    | Publisher X | Platform Z | Access denied: concurrent/simultaneous user licence limit exceeded | 0                      | 0        | 0        | 0        |
| Database AA                    | Publisher X | Platform Z | Access denied: content item not licenced                           | 1099                   | 381      | 287      | 431      |
| Database BB                    | Publisher Y | Platform Z | Access denied: concurrent/simultaneous user licence limit exceeded | 0                      | 0        | 0        | 0        |
| Database BB                    | Publisher X | Platform Z | Access denied: content item not licenced                           | 722                    | 213      | 167      | 342      |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
2. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
3. 'Access denied: content item not licenced' should be reported when the user has been denied access to a content item because the user or the user's institution does not have access rights under an agreement with the vendor. Examples of the type of event that should trigger the recording of this category of Access Denied are: Return Code 403, Forbidden; Redirect user to another URL; Customer error page.
4. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Database Report 2 is at:

<http://www.niso.org/schemas/sushi/#counter>

*Platform Report 1: Total Searches, Result Clicks and Record Views by Month and Platform (Replaces Database Report 3)*

| Platform   | Publisher   | User Activity                    | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
|------------|-------------|----------------------------------|------------------------|----------|----------|----------|
| Platform Z | Publisher A | Regular Searches                 | 56197                  | 16567    | 18643    | 20987    |
| Platform Z | Publisher A | Searches-federated and automated | 201185                 | 56037    | 68945    | 76203    |
| Platform Z | Publisher A | Result Clicks                    | 98222                  | 32009    | 41226    | 24987    |
| Platform Z | Publisher A | Record Views                     | 106450                 | 21999    | 28443    | 56008    |
| Platform Z | Publisher B | Regular Searches                 | 11827                  | 2099     | 4296     | 5432     |
| Platform Z | Publisher B | Searches-federated and automated | 33261                  | 6197     | 12988    | 14076    |
| Platform Z | Publisher B | Result Clicks                    | 10870                  | 3117     | 4432     | 3321     |
| Platform Z | Publisher B | Record Views                     | 10515                  | 2332     | 3117     | 5066     |

Note:



1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
2. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
3. Search activity generated by federated search engines and other automated search agents should be categorized separately from regular searches. Any searches derived from any federated search engine (or similar automated search agent) should be included in separate "Searches\_federated and automated" counts as indicated in the above report and are not to be included in the "Regular Searches" counts. (See relevant protocol in Section 5 below)
4. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Platform Report 1 is at:

<http://www.niso.org/schemas/sushi/#counter>

## Books and Reference Works

*Book Report 1: Number of Successful Title Requests by Month and Title*

(To be provided only when an entire book is provided as a single file; otherwise Book Report 2 below must be used)

| Book Report 1 (R4)          |             | Number of Successful Title Requests by Month and Title |          |                        |                 |           |                        |          |          |          |  |  |  |  |
|-----------------------------|-------------|--|----------|------------------------|-----------------|-----------|------------------------|----------|----------|----------|--|--|--|--|
| <Customer>                  |             |  |          |                        |                 |           |                        |          |          |          |  |  |  |  |
| <Institutional Identifier>  |             |  |          |                        |                 |           |                        |          |          |          |  |  |  |  |
| Period covered by Report:   |             |  |          |                        |                 |           |                        |          |          |          |  |  |  |  |
| yyyy-mm-dd to yyyy-mm-dd    |             |  |          |                        |                 |           |                        |          |          |          |  |  |  |  |
| Date run:                   |             |  |          |                        |                 |           |                        |          |          |          |  |  |  |  |
| yyyy-mm-dd                  |             |  |          |                        |                 |           |                        |          |          |          |  |  |  |  |
|                             | Publisher   | Platform   | Book DOI | Proprietary Identifier | ISBN            | ISSN      | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |  |  |  |  |
| <b>Total for all titles</b> |             |  |          |                        |                 |           | 772                    | 245      | 233      | 294      |  |  |  |  |
| Title AA                    | Publisher X | Platform Z   |          |                        | 9-780901-690224 |           | 173                    | 45       | 42       | 86       |  |  |  |  |
| Title BB                    | Publisher X | Platform Z   |          |                        | 9-780901-691539 | 2312-8751 | 362                    | 118      | 101      | 143      |  |  |  |  |
| Title CC                    | Publisher Y | Platform Z   |          |                        | 9-785411-692557 |           | 41                     | 15       | 4        | 22       |  |  |  |  |
| Title DD                    | Publisher Y | Platform Z   |          |                        | 9-785411-693446 | 0165-5542 | 196                    | 67       | 86       | 43       |  |  |  |  |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'Harvard University', 'Department of Chemistry'
2. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
3. A Book DOI is required for every title on the list. This should be provided simply as an identifier value. (If a Book DOI is not available the cell must be left blank).
4. The Proprietary Identifier column must be included, but cells may be left blank if the vendor has no Proprietary Identifier for a journal
5. The 'Total for all titles' 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 books included may vary from one month to another.
6. Books for which the number of title requests is zero in every month should not be included in Book Report 1.
7. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Book Report 1 is at:

<http://www.niso.org/schemas/sushi/#counter>

## Book Report 2: Number of Successful Section\*\* Requests by Month and Title

|    | A                           | B               | C   | D        | E                      | F               | G         | H                      | I          | J          | K          | L |
|----|-----------------------------|-----------------|---|----------|------------------------|-----------------|-----------|------------------------|------------|------------|------------|---|
| 1  | <b>Book Report 2 (R4)</b>   |                 | <b>Number of Successful Section Requests by Month and Title</b> |          |                        |                 |           |                        |            |            |            |   |
| 2  | <Customer>                  | Section Type:   |   |          |                        |                 |           |                        |            |            |            |   |
| 3  | <Institutional Identifier>  | <Chapter, etc.> |   |          |                        |                 |           |                        |            |            |            |   |
| 4  | Period covered by Report:   |                 |   |          |                        |                 |           |                        |            |            |            |   |
| 5  | yyyy-mm-dd to yyyy-mm-dd    |                 |   |          |                        |                 |           |                        |            |            |            |   |
| 6  | Date run:                   |                 |   |          |                        |                 |           |                        |            |            |            |   |
| 7  | yyyy-mm-dd                  |                 |   |          |                        |                 |           |                        |            |            |            |   |
| 8  |                             | Publisher       | Platform  | Book DOI | Proprietary Identifier | ISBN            | ISSN      | Reporting Period Total | Jan-2011   | Feb-2011   | Mar-2011   |   |
| 9  | <b>Total for all titles</b> |                 | <b>Platform Z</b>   |          |                        |                 |           | <b>998</b>             | <b>361</b> | <b>348</b> | <b>289</b> |   |
| 10 | Title AA                    | Publisher X     | Platform Z  |          |                        | 9-787543-690548 |           | 134                    | 44         | 33         | 57         |   |
| 11 | Title BB                    | Publisher X     | Platform Z  |          |                        | 9-783924-691539 |           | 124                    | 32         | 25         | 67         |   |
| 12 | Title CC                    | Publisher Y     | Platform Z  |          |                        | 9-786432-692557 | 0154-1521 | 454                    | 188        | 189        | 77         |   |
| 13 | Title DD                    | Publisher Y     | Platform Z  |          |                        | 9-781945-693446 |           | 286                    | 97         | 101        | 88         |   |

\*\*The Section Type (Chapter, encyclopaedia entry, etc.) used in this report must be indicated in the report itself as shown. Where more than one type of Section is used, simply list the predominant type covered in this report.

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'Harvard University', 'Department of Chemistry'
2. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
3. A Book DOI is required for every title on the list. This should be provided simply as an identifier value. (If a Book DOI is not available the cell must be left blank).
4. The Proprietary Identifier column must be included, but cells may be left blank if the vendor has no Proprietary Identifier for a journal
5. The 'Total for all titles' 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 titles included may vary from one month to another.
6. Books for which the number of Section requests is zero in every month should not be included in Book Report 2.
7. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Book Report 2 is at:

<http://www.niso.org/schemas/sushi/#counter>

### Book Report 3: Access Denied to Content Items by Month, Title and Category

|    | Publisher   | Platform   | Book DOI | Proprietary Identifier | ISBN            | ISSN      | Access Denied Category   | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
|----|-------------|------------|----------|------------------------|-----------------|-----------|--|------------------------|----------|----------|----------|
| 9  | Publisher X | Platform Z |          |                        |                 |           | Access denied: concurrent/simultaneous user licence limit exceeded | 0                      | 0        | 0        | 0        |
| 10 | Publisher X | Platform Z |          |                        |                 |           | Access denied: content item not licenced                           | 1547                   | 551      | 322      | 674      |
| 11 | Publisher X | Platform Z |          |                        | 9-787543-690548 | 3225-3123 | Access denied: concurrent/simultaneous user licence limit exceeded | 0                      | 0        | 0        | 0        |
| 12 | Publisher X | Platform Z |          |                        | 9-787543-690548 | 3225-3123 | Access denied: content item not licenced                           | 799                    | 301      | 171      | 327      |
| 13 | Publisher Y | Platform Z |          |                        | 9-781945-693446 | 2312-8751 | Access denied: concurrent/simultaneous user licence limit exceeded | 0                      | 0        | 0        | 0        |
| 14 | Publisher Y | Platform Z |          |                        | 9-781945-693446 | 2312-8751 | Access denied: content item not licenced                           | 748                    | 250      | 151      | 347      |

Note:

1. Book Report 3 is only to be supplied for those titles where turnaways are at the title level. In most cases turnaways are at the level of the platform, in which case Book Report 4 applies.
2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'Harvard University', 'Department of Chemistry.'
3. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. A Book DOI is required for every title on the list. This should be provided simply as an identifier value. (If a Title DOI is not available the cell must be left blank).
5. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a title.

6. the 'Total for all titles' 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 titles included may vary from one month to another.
7. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the above terms, see Appendix A. The XML Schema for Book Report 3 is at:

<http://www.niso.org/schemas/sushi/#counter>

### Book Report 4: Access Denied to Content Items by Month, Platform and Category

|                               | Publisher   | Platform   | Proprietary Identifier | Access Denied Category   | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
|-------------------------------|-------------|------------|------------------------|--|------------------------|----------|----------|----------|
| <b>Total for all services</b> | Publisher X | Platform Z |                        | Access denied: concurrent/simultaneous user licence limit exceeded | 1631                   | 541      | 443      | 647      |
| <b>Total for all services</b> | Publisher X | Platform Z |                        | Access denied: content item not licenced                           | 135303                 | 43221    | 36754    | 55328    |
| Service AA                    | Publisher X | Platform Z |                        | Access denied: concurrent/simultaneous user licence limit exceeded | 805                    | 300      | 201      | 304      |
| Service AA                    | Publisher X | Platform Z |                        | Access denied: content item not licenced                           | 76335                  | 21220    | 18671    | 36444    |
| Service BB                    | Publisher Y | Platform Z |                        | Access denied: concurrent/simultaneous user licence limit exceeded | 826                    | 241      | 242      | 343      |
| Service BB                    | Publisher Y | Platform Z |                        | Access denied: content item not licenced                           | 58968                  | 22001    | 18083    | 18884    |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'Harvard University', 'Department of Chemistry.'
2. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
3. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a title

4. the 'Total for all titles' 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 titles included may vary from one month to another.
5. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Book Report 4 is at:

<http://www.niso.org/schemas/sushi/#counter>

### Book Report 5: Total Searches by Month and Title

|  | Publisher   | Platform   | Book DOI | Proprietary Identifier | ISBN            | ISSN      | User activity                     | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
|--|-------------|------------|----------|------------------------|-----------------|-----------|-----------------------------------|------------------------|----------|----------|----------|
| <b>Total searches</b>                          |             | Platform Z |          |                        |                 |           |                                   | 830                    | 390      | 199      | 241      |
| <b>Total searches: federated and automated</b> |             | Platform Z |          |                        |                 |           |                                   | 2666                   | 1109     | 621      | 936      |
| Title AA                                       | Publisher X | Platform Z |          |                        | 9-780901-121233 | 3131-1212 | Regular Searches                  | 312                    | 157      | 101      | 54       |
| Title AA                                       | Publisher X | Platform Z |          |                        | 9-780901-121233 | 3131-1212 | Searches: federated and automated | 863                    | 433      | 209      | 221      |
| Title BB                                       | Publisher Y | Platform Z |          |                        | 9-780901-535543 | n/a       | Regular Searches                  | 518                    | 233      | 98       | 187      |
| Title BB                                       | Publisher Y | Platform Z |          |                        | 9-780901-535543 | n/a       | Searches: federated and automated | 1803                   | 676      | 412      | 715      |

Note:

1. Book Report 5 is to be supplied only for those titles where searches and sessions can be counted at the title level. In most cases searches and sessions are at the level of the platform, in which case Platform Report 1 applies.
2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'Harvard University', 'Department of Chemistry.'
3. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.

4. A Book DOI is required for every title on the list. This should be provided simply as an identifier value. (If a Book DOI is not available the cell must be left blank).
5. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a title
6. The 'Total for all titles' 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 titles included may vary from one month to another.
7. Search activity generated by federated search engines and other automated search agents should be categorized separately from regular searches. Any searches derived from any federated search engine (or similar automated search agent) should be included in separate "Searches\_federated and automated" counts as indicated in the above report and are not to be included in the "Regular Searches" counts. (See relevant protocol in Section 5 below)
8. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Book Report 5 is at:

<http://www.niso.org/schemas/sushi/#counter>

### **Multimedia Content**

Usage of multimedia content (audio, image, video, etc.) where this is a content item in itself (i.e. not part of a Journal, Book or Reference Work) should be reported in Multimedia Report 1, below.

Only Successful Requests for Multimedia Full Content Units may be counted. Usage of thumbnails or descriptive text associated with an image, etc must not be counted. See definition of Multimedia Full Content Unit in Appendix A)

## Multimedia Report 1: Number of Successful Multimedia Full Content Unit Requests by Month and Collection

| Collection                       | Content Provider | Platform   | Reporting Period Total | Jan-2011    | Feb-2011    | Mar-2011    |
|----------------------------------|------------------|------------|------------------------|-------------|-------------|-------------|
| <b>Total for all collections</b> |                  |            | <b>15051</b>           | <b>4957</b> | <b>3783</b> | <b>6311</b> |
| Collection AA                    | Provider X       | Platform Z | 2285                   | 655         | 432         | 1198        |
| Collection BB                    | Provider X       | Platform Z | 10515                  | 3329        | 2765        | 4421        |
| Collection CC                    | Provider Y       | Platform Z | 281                    | 87          | 93          | 101         |
| Collection DD                    | Provider Y       | Platform Z | 1925                   | 886         | 448         | 591         |

Note:

1. Multimedia Report 1 is required only for products that consist of collections of multimedia items (audio, video, images). Where multimedia content is published within a journal or book, its usage should be reported in the appropriate COUNTER Journal or Book reports.
2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
3. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. For guidance on Data Display Rules, see Journal Report 1

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. The XML Schema for Multimedia Report 1 is at:

<http://www.niso.org/schemas/sushi/#counter>



## Reports for a Library Consortium

If a product has been acquired by a library consortium, the vendor must (unless the resulting reports are unmanageably large in size, in which case the SUSHI Harvester tool, described in Section 4.1.6 below, is an alternative approach) provide a readily accessible single usage report for the consortium that includes details for each member of the consortium. This report must contain only the consortium members (and no extraneous institutions outside the consortium). The vendor must also provide to the consortium individual reports for each consortium member or institute (unless forbidden to do so by contract with a consortium member or institute). In consortia where more than one member institution may share an IP address, or range of IP addresses, the total usage statistics reported in the consolidated Consortium Reports 1,2 and 3 below, must be de-duplicated. This means that, in such cases, the total usage reported may be less than the sum of the usage reported for each member institution.

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

XML Schema: <http://www.niso.org/schemas/sushi/#counter>

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 and in Book Reports 1 and 2, 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>

This report is a single XML file, broken down by consortium member, which contains the search, record view and result click 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.

*Consortium Report 3: Number of Successful Multimedia Full Content Unit Requests by Month and Collection (xml only)*

To be used only by vendors that provide Multimedia Report 1

XML Schema: <http://www.niso.org/schemas/sushi/#counter>

This report is a single XML file, broken down by consortium member, which contains the usage data for multimedia full content units in collections taken by individual consortium members, calculated on the same basis as in Multimedia Report 1, using the data processing rules specified in Section 5 below.

Note:

1. The XML schema covering the above usage reports is available on the NISO/SUSHI website (<http://www.niso.org/schemas/sushi/#counter> ). 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 (<http://www.niso.org/workrooms/sushi/reports/> ). Values for other elements can be found on the COUNTER Schema Data Element Values webpage (<http://www.niso.org/workrooms/sushi/values/> ) .
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.

### **The SUSHI Harvester for Library Consortia**

When publishers with very large numbers of journals are reporting to consortia with very large numbers of members, there are instances where the Consortium Report files can become inconveniently large for the publisher or the customer. In these instances there is an acceptable, COUNTER-compliant alternative to the Consortium Reports. This involves using the SUSHI Harvester for Consortia, a free Microsoft Access application from EBSCO that leverages the open source SUSHI MISO client (developed by Serials Solutions) to batch download Journal Report 1, Database Report 1, Book Reports 1 and 2, or Multimedia Report 1 for

the member institutions of a consortium. ( Note: The SUSHI Harvester for Consortia may also be used to batch download the other COUNTER usage reports). COUNTER leaves it to vendors and their customers to decide between them which approach ( the Consortium Reports or SUSHI Harvester) is appropriate for a particular customer.

The SUSHI Harvester for Consortia, together with a detailed User Guide containing instructions on how to implement it, may be found on the NISO website at: [http://www.niso.org/apps/group\\_public/download.php/4774/SUSHI-Harvester.zip](http://www.niso.org/apps/group_public/download.php/4774/SUSHI-Harvester.zip)

## **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 different levels, in line with the level at which the vendor holds the account on its system. For example, if a vendor treats a university business school as an entity with a separate customer ID, which can be identified by, for example, unique IP addresses distinguishable from the full range of university IP addresses, then reports must be delivered at the business school level.

## **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 Tab Separated Value (TSV) file or other structured text file that can be easily imported into Microsoft Excel and other spreadsheet programmes without loss or corruption of data. Microsoft Excel files may be offered in addition to text files.

- As XML formatted in accordance with the COUNTER schema (<http://www.niso.org/schemas/sushi/#counter>). 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 optional email alert when data is updated).
- For consortium usage reports the consortium administrator must be able to access both the consolidated consortium level usage statistics and the usage statistics for individual consortium member institutions, from a single login, using the same user id and password (i.e. without having to log out and back in for each individual 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
- A minimum of the most recent 24 months of usage data must be available, unless the vendor is newly-COUNTER compliant
- The reports must allow the customer the flexibility to specify a date range, in terms of months, within the most recent 24 month period. Where no date range is specified, the default shall be calendar year and calendar-year-to-date reports for the current year.
- XML versions of the reports must be available for harvesting via the SUSHI protocol within 4 weeks of the end of the reporting period.

## **Web browsers**

Usage statistics reported in the COUNTER reports must be consistent and not dependent on the browsers used by customers. As a minimum vendors must support current versions, compliant with World Wide Web Consortium (WC3) standards, of the following web browsers: Google Chrome, Internet Explorer and Mozilla Firefox.

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## 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 usage reports.

Usage data can be generated in a number of ways and COUNTER does not prescribe which approach should be taken. The two most common approaches are: logfile analysis, which reads the logfiles containing the web server records all of its transactions; and page tagging, which uses JavaScript on each page to notify a third party server when a page is rendered by a web browser. Each of these two approaches has advantages and disadvantages, summarised below:

### *Advantages of logfile analysis*

The main advantages of logfile analysis over page tagging are:

- The web server normally already produces logfiles, so the raw data are already available. No changes to the website are required.
- The data is on the organization's own servers and is in a standard, rather than a proprietary, format. This makes it easy for an organization to switch programmes later, use several different programmes, and analyse historical data with a new programme
- Logfiles contain information on visits from search engine spiders. Although these should not be reported as part of user activity, it is useful information for search engine optimization.
- Logfiles require no additional DNS Lookups. Thus there are no external server calls which can slow page load speeds, or result in uncounted page views.
- The web server reliably records every transaction it makes, including, e.g., serving PDF documents and content generated by scripts, and does not rely on the visitor's browser co-operating

## *Advantages of page tagging*

The main advantages of page tagging over logfile analysis are:

- Counting is activated by opening the page, not requesting it from the server. If a page is cached it will not be counted by the server. Cached pages can account for a significant proportion of pageviews
- Data is gathered via a component ( 'tag') in the page, usually written in JavaScript; though Java can be used and increasingly Flash is used. JQuery and AJAX can also be used in conjunction with a server-side scripting language ( such as PHP) to manipulate and store it in a database, allowing complete control over how the data is represented
- The script may have access to additional information on the web client or on the user, not sent in the query
- Page tagging can report on events that do not involve a request to the web server
- Page tagging is available to companies who do not have access to their own web servers
- The page tagging service manages the process of assigning cookies to visitors; with logfile analysis the server has to be configured to do this
- Recently page tagging has become a standard in web analytics
- Logfile analysis is almost always performed in-house. Page tagging can be done in house, but is more often provided as a third-party service. The cost differences between these two models can also be a consideration.

## **Return codes and time filters**

- a. Only successful and valid requests should be counted. For web server logs successful 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, gifs, 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 under reporting from the vendor perspective) while with option 4 the result will be optimal.

The downloading and rendering of a PDF, image, video clip or audio clip may take 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, image, video clip or audio clip 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.

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 and internet robots on usage statistics**

The growing use of federated searches and the spread of internet robots have the potential to inflate enormously the usage statistics reported in the COUNTER reports. Without some control these activities 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 automated search agents**

Search activity generated by federated search engines and automated search agents should be categorized separately from regular searches. Any searches generated from such systems should be included in separate "Searches-federated and automated" counts within Database Report 1 and Platform Report 1, and are not to be included in the "Regular Searches" counts in these reports. (See example Database Report 1 and Platform Report 1 in Section 4.1.2 above).

'Federated Searches' and 'Automated Searches' covered by this protocol are defined in Appendix A.

Federated search engines may utilize a variety of techniques to conduct a search, including Z39.50; standard or proprietary XML gateways or APIs; or, by screen-scraping the standard HTML interface. Federated search activity must be recognized regardless of the method of search. Following are some examples of how search activity can be recognized – the content provider may wish to employ one or more of these techniques.

- The Federated Search engine may be using its own IP address. This IP can be identified and used for segregation of activity.
- If the standard HTML interface is being used, the browser ID within the web logs can be used to identify the activity as coming from a federated search.



- For Z39.50 activity, access is generally achieved through username/password. Create a unique username/password that just the federated search engine will use.
- If an API or XML gateway is available, set up an instance of the gateway that is for the exclusive use of such search tools.
- If an API or XML gateway is available, require the federated search to include an identifying parameter when making requests to the gateway.

A list of federated search engines covered by the above protocol is included in Appendix I. This list, which will be updated from time-to-time, should be regarded as the minimum requirement for COUNTER compliant vendors.

### **Protocol for internet robots and crawlers**

Activity generated by internet robots and crawlers must be excluded from all COUNTER usage reports. A list of internet robots that must be excluded is provided in Appendix J. This list, which will be updated from time-to-time, should be regarded as the minimum requirement for COUNTER compliant vendors.

### **Protocol for tools that enable the bulk downloading of full-text articles and other content items**

Only genuine, user-driven usage should be reported. Usage of full-text articles that is initiated by automatic or semi-automatic bulk download tools, such as Quosa or Pubget) should only be recorded when the user has clicked on the downloaded full-text article in order to open it.

### **Retrospective reporting of errors in usage data**

Where vendors discover (or the independent audit reveals) errors in the usage statistics they have been providing in the COUNTER reports, such errors must be corrected within 3 months of their discovery and customers informed of the corrections.

### **Reporting of usage statistics when journal titles change**

When the title of a journal is modified or changed, usage statistics for that journal prior to the title change should be reported against the new title, provided the Journal DOI/ISSN is unchanged, with the original title being

dropped from the list. Where a new Journal DOI/ISSN is allocated to the new title, the usage statistics should be reported separately, and those for the original title should continue to be reported against the original Journal DOI/ISSN.

## **Identifying abnormal spikes in usage**

What is regarded as an abnormal spike in usage can vary from one institution to another; there are many occasions in which exceptionally high usage in a particular month is genuine. For these reasons COUNTER does not provide a strict protocol for dealing with spikes in usage that must be applied in all situations. Instead COUNTER suggests approaches that have been well-tested and which should prove useful in flagging abnormal spikes in usage that may warrant further investigation. These approaches are described in Appendix D: Guidelines for Implementation. COUNTER does not prescribe a course of action once abnormal spikes in usage have been identified; this is left to the discretion of customer and vendor.

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## **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 this Code of Practice. 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 6 months of vendors first achieving compliance with the COUNTER Code of Practice for e-Resources, and annually thereafter. COUNTER will recognize an audit carried out by any CPA (Certified Public Accountant) (USA), by any CA (Chartered Accountant) (UK), or by their equivalent in other countries. Alternatively, the audit may be done by another, COUNTER-approved auditor, such as ABC, which is not a CA or a CPA.

## The Audit Process

- a) COUNTER compliant vendors will be notified in writing by COUNTER that an audit is required at least 3 months before the audit is due.
- b) 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.
- c) Irrespective of the auditor selected, the audit must adhere to the requirements and use the tests specified in Appendix E of this Code of Practice. The audit is carried out in three stages: Stage 1 covers the format and structure of the usage reports; in Stage 2 the auditor tests the integrity of the reported usage statistics; in Stage 3 the auditor checks that the delivery of the usage reports adheres to the COUNTER requirements
- d) Upon completion of the audit the auditor is required to send a signed copy of the audit report to the COUNTER office (lorraine.estelle@counterusage.org).

## Categories of audit result are as follows:

- A Pass, in which case no further action is required by the publisher as a result of the audit. In some cases the auditor may add Observations to the audit report, which are designed to help the vendor improve its COUNTER usage reports, but which are outside the scope of the audit itself.
- A Qualified Pass, in which the auditor deems the publisher to have passed the audit, but where the auditor raises a Minor Issue requiring further action to maintain COUNTER-compliant status. A Minor Issue does not affect the reported figures, but is one which should be resolved within 3 months of the audit to maintain COUNTER-compliant status. An example of a Minor Issue is where a report format does not conform to the COUNTER specifications.
- A Fail, where the auditor has identified an issue that must be resolved immediately for the vendor to maintain COUNTER-compliant status

## Compliance

### Timetable and procedure

Release 4 of the COUNTER Code of Practice for e-Resources, published in final form in March 2012, will become the only valid version of the Code of Practice from 1 January 2014.

### 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 ([lorraine.estelle@counterusage.org](mailto:lorraine.estelle@counterusage.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 6 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 as email attachments, to: [lorraine.estelle@counterusage.org](mailto:lorraine.estelle@counterusage.org)

### 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 products covered by 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'.

## **Aggregators, gateways and hosts**

Many online searches, are conducted using gateways or aggregators, rather than on the site of the original publisher of the item being sought. This presents special challenges for the collection of meaningful usage statistics for COUNTER Reports. In order to avoid the risk of duplicate counting of full-text 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 COUNTER Reports, such as Journal Report 1. 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.

## **Customer confidentiality**

### **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)

### **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, and to the original publisher and copyright holder of the content. 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. (Based on ICOLC Guidelines, October 2006).

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## **Maintenance and development of the Code of Practice**

The Executive Committee of COUNTER has overall responsibility for the development and maintenance of the Code of Practice. 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 at [lorraine.estelle@counterusage.org](mailto:lorraine.estelle@counterusage.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
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## Appendix A: Glossary of Terms

This Glossary lists alphabetically the terms relevant to the COUNTER Code of Practice and provides a definition of each term, along with examples, where appropriate.

| Term  | Examples/formats   | Definition  |
|---|--|---|
| Abstract  |  | A short summary of the content of an article, always including its conclusions  |
| Access denied: content item not licenced                            | Examples of events that trigger this category of Access Denied include: - - Redirect user to another URL (e.g. to a credit card payment page) Return Code 403, Forbidden - Customer error page | User is denied access to a content item because the user or the user's institution does not have access rights under an agreement with the vendor   |
| Access denied: concurrent/ simultaneous user licence limit exceeded |  | An unsuccessful log-in to an electronic service due to exceeding the simultaneous/concurrent user limit allowed by the licence.   |
| Access granted  | Yes/no   | User is granted access to the online collection or database, or subsets thereof, subject to the access rights specified in the agreement with the vendor  |
| Aggregator  | ProQuest, Gale, LexisNexis   | A type of vendor that hosts content from multiple publishers, delivers content direct to customers and is paid for this service by customers  |
| Archive   | Oxford Journals Archive  | Non-current collections of journals, books, articles, or other publications that are preserved because of their continuing value and which are frequently made available by publishers as separate acquisitions |
| Article   |  | An item of original written work published in a journal, other serial publication, or in a book. An article is complete in itself, but  |

| Term              | Examples/formats | Definition   |
|-------------------|------------------|--|
|                   |                  | usually cites other relevant published works in its list of references, if it has one.   |
| Article header    |                  | That subsection of an article which includes the following information: publisher; journal title, volume, issue and page numbers; copyright information; list of names and affiliations of the authors; author organization addresses; title and abstract (where present) of the article; keywords (where present) |
| Article Version   |                  | Only usage of the following 4 Article Versions ( of the 7 versions defined by the ALPSP/NISO JAV Technical Working Group) may be counted in the COUNTER usage reports: Accepted Manuscript (AM); Proof (P); Version of Record (VoR); Corrected Version of Record (CvOR); Enhanced Version of Record (EVoR)         |
| Articles in Press |                  | Full-text articles that have been accepted for publication in a journal and have been made available online to customers, and which will be assigned a publication date of the current year or a future year.  |
| Automated search  |                  | A search from a discovery layer or similar technology where multiple databases are searched simultaneously with a single query from the user interface. The end user is not responsible for selecting which databases are being searched.  |
| AV Play Event     |                  | A client-side play event representing the start of data processing made by a valid browser, which is not recorded concurrently with an event of the same type (JICWEBS)  |
| AV Request        |                  | A server-side indicator of a media file successfully served to a valid browser (JICWEBS)   |
| Book              |                  | A nonserial publication of any length available in print (in hard or soft covers or in loose-leaf format) or in electronic format.   |
| Book DOI          |                  | A DOI (Digital Object Identifier) registered at the book level and used as a unique  |



| Term                        | Examples/formats                                      | Definition   |
|-----------------------------|---|--|
|                             |   | identifier for that book. The book ISBN may be used for this purpose.  |
| Cache                       | LOCKSS  | Automated system that collects items from remote servers to serve closer and more efficiently to a given population of users. Often populated by robots (qv).  |
| Chapter                     |   | A subdivision of a book or of some categories of reference work; usually numbered and titled.  |
| Collection                  | Science Direct<br>Backfiles, ArtSTOR                  | 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 complete group.   |
| Content Provider            | Any Publisher, The Metropolitan Museum, Magnum, JSTOR | An organization whose function is to commission, create, collect, validate, host, distribute and trade information in electronic form  |
| 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) A group of institutions ("consortium members"), defined by a group of IP address ranges, for which collective and individual usage may be reported |
| 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.  |
| 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   |
| Customer-authenticated user | Referring URL, Athens                                 | User authentication is provided by a referring service that has an agreement with the online resource that allows the referring  |

| Term                            | Examples/formats             | Definition  |
|---------------------------------|------------------------------|---|
|                                 |                              | services own users access to the online resource  |
| Data Type                       |                              | A classification identifying one of various kinds of data found in a specific data field  |
| 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)   |
| 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   |
| Descriptive data/metadata       | Leonardo da Vinci, Mona Lisa | Text tied to a non-textual resource (audio, image, video) that describes the item and enables the item to be searched in a database.  |
| DOI (Digital Object Identifier) |                              | The Digital Object Identifier is a means of persistently identifying a piece of intellectual property (a creation) on a digital network, irrespective of its current location (www.doi.org)   |
| Duration                        |                              | Records the time a user's session lasts, to the nearest second  |
| End time                        | Yyyy-mm-dd-hh-mn-ss          | Records the time a user's session ends or timeouts, to the nearest second, using UTC (Co-ordinated Universal Time, formerly GMT)  |
| Entry                           | A dictionary definition      | A record of information in some categories of reference work.   |
| Federated Search                | MetaLib, MuseGlobal, WebFeat | A federated search programme allows users to search multiple databases owned by the same or different vendors simultaneously with a single query from a single user interface. The end user is not responsible for selecting the database being searched. |
| Full- Content Unit              |                              | Journals: article Books: Minimum requestable unit, which may be the entire book or a section thereof. Reference Works: content unit appropriate to resource (e.g. dictionary definitions, encyclopedia articles,  |

| Term                            | Examples/formats                | Definition   |
|---------------------------------|---------------------------------|--|
|                                 |                                 | biographies, etc) Non-textual resources: file type as appropriate to resource (e.g. image, audio, video, etc) (ICOLC)  |
| Full-text article               |                                 | The complete text, including all references, figures and tables, of an article, plus links to any supplementary material published with it.  |
| Full-text item                  | Full-text article, book chapter | A category of 'item' such as a full-text journal article, a book chapter, or an encyclopedia entry   |
| Gateway                         | SWETSwise, OCLC, ECO            | An intermediary online service which does not typically host the items requested by the user. The gateway will either refer the user to another site or service to download the item, or will request the item from another site or service and delivers it to the user within its own gateway environment. Items may be cached. |
| Gold Open Access                |                                 | Access, immediately upon publication and at no charge to the user (but usually supported financially by the author or the author's funding agency), of peer-reviewed, full-text articles that have been accepted for publication in a journal.   |
| Host                            | Ingenta, HighWire               | An intermediary online service which stores items that can be downloaded by the user   |
| HTML                            |                                 | Article formatted in HTML so as to be readable by a web browser Hypertext Markup Language. A form of text markup readable by web browsers.   |
| Imprint                         | Pergamon                        | A publisher brand or division, usually dedicated to publishing material within particular specialties and/or in specific formats (e.g. database, journal, etc.)  |
| Institutional Identifier        |                                 | A unique, centrally registered number in an internationally recognised, standardised format that identifies each individual institution in the supply chain.   |
| Internet robot, crawler, spider |                                 | Generic terms applied to any programme which visits websites and systematically retrieves information from them, usually to  |

| Term   | Examples/formats  | Definition  |
|--|---|---|
|  |   | create entries for a search engine Any automated program or script which visits websites and systematically retrieves information from them, often to provide indexes for search engines.   |
| 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  |
| ISBN<br>(International Standard Book Number)   |   | The International Standard Book Number (ISBN) is a unique 10-digit or 13-digit number used to identify a book.  |
| ISSN<br>(International Standard Serial Number) |   | The International Standard Serial Number (ISSN) is a unique 8-digit number used to identify a print or electronic periodical publication. Periodical published in both print and electronic form may have two ISSNs, a print ISSN and an electronic ISSN.   |
| Issue  |   | A collection of journal articles associated with each other via allocation of a specific issue number and presented as an identifiable unit online and/or as a physically bound and covered set of numbered pages in print.   |
| Issue date                                     | dd-mm-yyyy;dd=1, if monthly or less frequent  | The date of release by the publisher to customers of a journal issue  |
| Item   | Full text article, TOC, Abstract, Database record   | 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 (e.g. a supplementary data set), or non- |

| Term             | Examples/formats                                      | Definition  |
|------------------|---|---|
|                  |   | textual resources, such as an image, a video, or audio).  |
| Item requests    |   | Number of items requested by users as a result of a user request, action, or 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)    |
| IP Address       |   | IP address of the computer on which the session is conducted The identifying network address (typically four 8-bit numbers, aaa.bbb.cc.dd) of the user's computer or proxy.   |
| Journal          | Tetrahedron Letters                                   | A serial that is a branded and continually growing collection of original articles within a particular discipline   |
| Journal DOI      |   | A DOI (Digital Object Identifier) registered at the journal level and used as a unique identifier for that journal.   |
| Licensee         |   | = Subscriber (see 3.3.1 above)  |
| Link-in          |   | Direct access to resources on the site that are a result of the user clicking a link on another site. The domain name of the site where the link originated to be recorded. (EBSCO)   |
| Link-out         |   | Linking from one online resource to another. The act of clicking the link and moving to a page on another site. Generally used to measure activity for library-configurable links as might be found in a link server. The domain name of the target of the link in the transaction to be recorded. (EBSCO). |
| Logfile analysis |   | Logfile analysis is a method of collecting usage data in which the web server records all of its transactions   |
| Mobile device    | Mobile computer, tablet computer, mobile phone, pager | A small, hand-held computing device, typically having a display screen with touch input and/or a miniature keyboard.  |

| Term                         | Examples/formats                                 | Definition   |
|------------------------------|--|--|
| Multimedia Full Content Unit | Audio, image, video                              | An item of non-textual media content such as an image, streaming or downloadable audio or video files. (Does not include thumbnails or descriptive text/metadata)  |
| Non-textual resources        | Image, audio, video                              | Non-textual material that is published either: a) in an online journal, book or other publication that is often associated with a full text article, encyclopedia entry, or other textual material; or b) in a database or digital library composed exclusively of non-textual content and descriptive text about that content. COUNTER allows four categories of non-textual resource: image, video, audio and other. |
| Online ISSN                  | Free text format (up to 13 characters in future) | Unique International Standard Serial Number assigned to the online version of a journal or a book series by the national ISSN agency of the country from which the journal is published.(See 'Print ISSN')   |
| Onsite usage                 |  | Computer being used to access the online resource is within a building or on the campus of an institution (EBSCO)  |
| Open Access (Gold)           |  | See 'Gold Open Access'   |
| Page                         |  | One side of one leaf (of a book, reference work, journal, etc.) or the written or pictorial matter it contains.  |
| Page tag                     |  | Page tagging is a method of collecting usage data which uses, for example, JavaScript on each page to notify a third-party server when a page is rendered by a web-browser.  |
| PDF                          |  | Portable Document Format, file formatted for the Adobe Acrobat reader. Items such as full-text articles or journals published in PDF format tend to replicate the printed page in appearance   |
| 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.  |

| Term                   | Examples/formats  | Definition   |
|------------------------|---|--|
| Postscript             |   | Article formatted in Postscript for faithful output via printer  |
| Print ISSN             | Free text format (up to 13 characters in future)                                | Unique International Standard Serial Number assigned to the print version of a journal or a book series 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. ISSNs 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. ISSNs are assigned to the entire population of serials and most integrating resources. (General Assembly and Board of ISSN Network) |
| Proprietary Identifier |   | A unique identifier given by publishers and other content providers to a product or collection of products.  |
| Publisher              | Wiley Blackwell, Cambridge University Press                                     | An organization whose function is to commission, create, collect, validate, host, distribute and trade information online and/or in printed form   |
| Record View            |   | A Successful Request for a database record that has originated from a set of search results, from browsing the database, or from a click on another database record. (Only full database records may be counted, not Previews of Records).   |
| Reference Work         | Dictionary, encyclopedia, directory, manual, guide, atlas, bibliography, index. | An authoritative source of information about a subject: used to find quick answers to questions.   |
| References             |   | A list of works referred to in an article or chapter, giving sufficient detail to enable the identification and location of each work  |
| Remote usage           |   | Computer being used is off-campus, or away from the Institution's property, e.g. access by a user from home  |

| Term             | Examples/formats                  | Definition   |
|------------------|-----------------------------------|--|
| Reporting Period |                                   | The total time period covered in a usage report  |
| Result Click     |                                   | A click originating from a set of search results; i.e. the same as a Search Click (JICWEBS)  |
| Search (Regular) |                                   | A user-driven intellectual query, typically equated to submitting the search form of the online service to the server  |
| Section          | Chapter, entry                    | The first level of subdivision of a book or reference work.  |
| 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) |
| Serial           |                                   | A publication in any medium issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. This definition includes periodicals, newspapers, and annuals (reports, yearbooks, etc.); the journals, memoirs, proceeding, transactions, etc. of societies; and numbered monographic series (NISO)   |
| Service          | Science Direct, Academic Universe | A branded group of online information products from one or more vendors that can be subscribed to/licensed and searched as a complete service, or at a lower level (e.g. a collection).  |
| 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   |



| Term                    | Examples/formats               | Definition   |
|-------------------------|--------------------------------|--|
|                         |                                | 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)  |
| Start time              | Yyyy-mm-dd-hh-mn-ss            | Records the time a user's session begins (first login or IP authentication), to the nearest second, using UTC (Co-ordinated Universal Time, formerly GMT)  |
| 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.   |
| Successful request      |                                | For web-server logs successful requests are those with specific return codes, as defined by NCSA For streaming media the start of the AV Play will be counted as the successful request. ( The start of the AV Play may be measured either by a (client side) AV Play or by a (Server Side) AV Request |
| Timeout                 |                                | Automatic termination of a session due to a period of user inactivity. The average timeout setting would be 30 minutes. If another timeout period is used this should be reported. (NISO)  |
| Title                   | Journal, Book, Reference Work  | The designation of a separate bibliographic whole, whether issued in one or several volumes, reels, discs, slides, or other parts. (NISO)  |
| TOC (Table of Contents) |                                | Journals: A list of all articles published in a journal issue. Books and reference works: a list of all articles or chapters published in the book or reference work.  |
| User                    |                                | An individual with the right to access the online resource, usually provided by their institution, and conduct a session   |
| Username and Password   |                                | No definition required   |
| Vendor                  | Wiley, Oxford University Press | A publisher or other online information provider who delivers its own licensed   |

| Term   | Examples/formats                | Definition  |
|--------|---------------------------------|---|
|        |                                 | content to the customer and with whom the customer has a contractual relationship   |
| Volume | Alpha-numeric, no leading zeros | Journals: 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. |
| Year   |                                 | Calendar year in which an article, item, issue or volume is first published in any medium   |

## Appendix B: Vendor/Aggregator/Gateway Declaration of COUNTER Compliance

We <name of vendor/aggregator/gateway> ('The Company') hereby confirm the following:

1. That the online usage reports that are supplied by The Company to its customers, and which The Company claims to be 'COUNTER-compliant', conform to Release 4 of the COUNTER Code of Practice for E-resources: < list COUNTER-compliant reports, 'Journal Report 1, etc...>
2. The Company agrees that it will implement the protocols specified in Section 5 of Release 4 of the Code of Practice to correct for the effects of federated searches and internet robots on usage statistics.
3. Where The Company supplies to customers online usage statistics not included in the usage reports covered in 1 above, but which use terms defined in the COUNTER Code of Practice, that the definitions used by The Company are consistent with those provided in the COUNTER Code of Practice.
4. The Company will pay to COUNTER the Vendor Registration Fee (£250/US\$500), unless The Company is a Member of COUNTER in good standing, for whom this fee is waived.

5. That to maintain COUNTER-compliant status, the usage reports provided by The Company to its customers will be independently audited according to a schedule and standards specified by COUNTER.

Signed:

Name:

For and on behalf of<name of vendor/aggregator/gateway> Address:

Email address:

Upon receipt of this signed Declaration by the COUNTER office, and upon payment ( where the Company is not a member of COUNTER) by The Company of the Vendor Registration Fee, The Company will be listed on the Register of Vendors Providing COUNTER-compliant Usage Reports

This Declaration may be scanned and emailed to:lorraine.estelle@counterusage.org. Cheques should be made payable to 'Project COUNTER' and mailed to: COUNTER, 25 Egbert Road, Winchester, SO23 7EB

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## **Appendix C: SUSHI**

SUSHI (the Standardized Usage Statistics Harvesting Initiative) is a NISO standard (ANSI/NISO Z39.93-2007) that defines an automated request and response model for the harvesting of electronic resources usage data utilizing a Web services framework. It replaces the time-consuming user-mediated collection of usage statistics reports.

The SUSHI protocol is designed to be both generalised and extensible, meaning it may be used to retrieve a variety of usage reports. A SUSHI extension is designed specifically to work with COUNTER reports is provided within the standard. The standard is built on SOAP (Simple Object Access Protocol) for transferring request and response messages. The GetReport method is used for transferring ReportRequest as the input message and returning ReportResponse as the output message.

The standard includes a versioned Web Services Description Language (WSDL), to describe the Web service namespace and operations, and a generalized XML schema with the syntax of the SUSHI protocol. Rules for report naming are outlined and complemented by an external reports registry, which provides for the definition of both COUNTER and non-COUNTER reports.

### **SUSHI and the COUNTER audit**

Implementation of the SUSHI protocol is a requirement for compliance with the COUNTER Code of Practice and vendors will be required to demonstrate, as part of the independent COUNTER audit that they have successfully implemented SUSHI, are listed on the SUSHI Server Registry, and that customers can download their COUNTER usage reports using SUSHI.

### **Further information on SUSHI**

Comprehensive information on SUSHI is available on the NISO/SUSHI website (<http://www.niso.org/workrooms/sushi/>). As well as full documentation on the standard itself, the SUSHI website provides:

- Information on Getting Started

- [SUSHI Tools](#)
  - [SUSHI Schemas](#)
  - [SUSHI Reports Registry](#)
  - [SUSHI Server Registry](#)
  - [SUSHI Developers List](#)
  - [SUSHI FAQs](#)
-

# Appendix D: Guidelines for Implementation

## Introduction

For ease of reference, the numbering used in this Appendix corresponds to that of the Code of Practice itself; where appropriate the relevant section of the Code of Practice text is quoted.

## Section 4: Usage Reports

Nomenclature of vendor-specific reports derived from the COUNTER Usage Reports

In addition to providing the official COUNTER usage reports specified in the Code of Practice, vendors may, in addition, provide modified versions of these reports with, for example, additional data that customers may have requested. Vendors must not, however, use the COUNTER Report names in association with these modified reports, or include any part of the COUNTER report names in the titles of such reports. Vendors may, however, mention in a footnote to a modified report the COUNTER report from which the modified report is derived.

### 4.1: Example Usage Reports

#### *Institutional Identifier*

The ISNI (International Standard Name Identifier) should be used as the Institutional Identifier, where this is required in the COUNTER Usage Reports.

The International Standard Name Identifier (ISNI) is an ISO standard (ISO 27729) that identifies public identities of parties. The ISNI is not intended to provide direct access to comprehensive information about a Public Identity - instead, it is designed as a 'bridge identifier' to link between systems where comprehensive information is held.

For further information on ISNI and its application to institutions see:

<http://www.isni.org/how-it-works>

ISNI Syntax

An ISNI consists of 16 numerical digits. Example: ISNI 1234 1234 1234 1234

Examples of ISNI numbers are as follows:

|   |                     |
|---|---------------------|
| New York University:                          | 0000 0001 2169 8901 |
| Eidgenossische Technische Hochschule Zurich:  | 0000 0001 2156 2780 |
| Shanghai University:                          | 0000 0001 2323 5732 |
| University of Tokyo:                          | 0000 0001 2169 1048 |
| University of Oxford:                         | 0000 0001 2172 3089 |
| International Business Machines Corp. (IBM):  | 0000 0001 2184 5342 |
| Ministry of Health and Family Welfare, India: | 0000 0001 0721 7403 |

#### *Filing order of journal titles*

For journal titles beginning with a definite or indefinite article (in any language) this definite or indefinite article should be disregarded in the filing order of the list of titles in the COUNTER usage reports.

#### *Categories of content covered by the COUNTER usage reports*

Release 4 of the COUNTER Code specifically covers journals, databases, books/reference works and multimedia content. Each of these important categories of content has its own group of usage reports, which are listed in Section 4 of the Code of Practice. It is recognized, however, that while these categories cover a large proportion of the online content purchased by librarians and library consortia, they do not cover everything. The COUNTER Usage Reports are, however, sufficiently flexible to allow other categories of content to be covered. Each case is judged on its own merits, but examples include:

- Newspaper articles: where a collection of full text articles includes articles from periodical publications, such as newspapers, that are not journals and which may not have an ISSN number, usage of such articles may be counted in the Journal Reports, as they are serial publications that constitute part of a package of content that has been purchased by a customer.
- Reports: reports that have neither an ISSN nor an ISBN may be part of a collection of online content that includes books and/or journals. Usage of such reports may be counted in the appropriate COUNTER journal or books reports (but not in both)

- Supplementary data sets, video clips, etc.: it is acknowledged that an online journal, for example, is more than a collection of articles and that a growing portion of the value of an online journal lies in the supplementary data and other features to which the user has access. To enable vendors to record the usage of such features, COUNTER has expanded the scope of Journal Report 3.

#### *Changing access models/content structure and the COUNTER usage reports*

COUNTER acknowledges that measures used to assess the value and impact of publications should take into account not only the evolving structure of content, but also changing access models, both of which affect how users interact with content. At the same time, in order to provide robust, comparative data, a metric must be stable over time. COUNTER tries to combine the need for both stability and flexibility by specifying, on the one hand, a set of core usage reports that measure basics, such as successful requests for full-text articles (Journal Report 1) and on the other hand a number of optional additional usage reports that allow more flexible and more granular reporting of usage. Journal Report 3, which provides a framework for the reporting usage of a wider range of page types and activities (such as article sub-sections), supplementary data and usage on mobile devices, is a good example of such a report. Vendors may select the page type/activity that is most appropriate to their own content from the extensive list of options provided in Journal Report 3.

JR1 GOA: Gold Open Access (GOA) is defined as access, immediately upon publication and at no charge to the user (but usually supported financially by the author or the author's funding agency), of peer-reviewed, full-text articles that have been accepted for publication in a journal. . In order to make allowances for administrative and system delays that may occur in recording GOA status, COUNTER allows 'immediately upon publication' to extend to no more than 7 days following online publication of an article.

#### *Access Denied: Content Item Not Licenced (JR2, DB2, BR3)*

Examples of events that can be used as a proxy for counting an Access Denied; Content Not Licenced.include:



- Abstract View, when the user does not have the right to continue to view the corresponding full-text article
- A 'Not Entitled' message

Note: Access denied to a user by a vendor temporarily, due to suspected abuse, should not be counted in JR2, DB2 or BR3.

Vendors should contact COUNTER if they have queries about the categories of event that may be used as proxy for Access Denied; Content Item Not Licenced

### *Journal Report 1b*

The purpose of Journal Report 1b is to enable vendors to consolidate usage of journals from different Platforms in one report. All Platforms included in Journal Report 1b must be COUNTER compliant.

### *Journal Report 5*

To enable Years of Publication (YOPs) that are part of a vendor/publisher archive to be distinguished from those that are not, an attribute is included in the XML to allow the archival YOPs to be flagged. This facilitates the automatic processing of JR5s by ERMs etc

### *Database Reports*

Two new metrics, Result Clicks and Record Views, are included in the Release 4 database reports. Both terms are defined in Appendix A (Glossary of Terms).

The purpose of these two new metrics is to provide customers with additional insights into the usage and value of the databases they have purchased, beyond the 'Search' counts already reported.

Result Clicks simply report the number of times that users click on a set of search results, which is indicative of the value of such search results. The result click is counted irrespective of whether it takes the user to an internal record within the database searched, or to an external resource.

Record Views count the number of times that textual records within the database(s) listed in a COUNTER Database Report are viewed (and not reported in other COUNTER Reports), irrespective of whether these records are reached from a set of search results or via browsing the database. Typical examples of

Records to be counted in the Database Reports are: text abstracts, molecular structures, and chemical reactions. Full-text journal articles, book chapters, or multimedia full-content units are not treated by COUNTER as Records to be covered in the Database Reports and their usage should be reported in the relevant COUNTER Journal, Book or Multimedia reports.

## Section 5: Data processing

'Only successful and valid requests should be counted. For webserver-logs successful requests are those with a specific return code. The standards for return codes are defined and maintained by NCSA.'

### Requirement for Implementation:

Return codes that indicate a successful or valid request are specified in agreed, international web standards and protocols. The relevant governing document for hypertext protocols is RFC2068, which contains definitions for each Return Code number. There are five categories of return code numbers:

- 1xx (Information): this category provides information on a request, and often indicates that the user has come upon an experimental application.
- 2xx (Success): reserved for successful responses. This category of code is not usually seen by the user, but their browser will receive them and will know that whatever request was sent by the browser was received, understood and accepted.
- 3xx (Redirection): indicates the need for further action by the user's browser. User action may not be necessary, as the browser may deal with it automatically.
- 4xx (Client Error): this category of code is the one most frequently seen by the user and indicates an error.
- 5xx (Server Error): indicates where the server knows it has made an error, or is not capable of answering the request.

Categories 2xx and 3xx are relevant to Section 5a of the COUNTER Code of Practice, which deems that only the following specific return codes indicate a successful or valid request:

- 200 (OK) The request was successful and information was returned. This is, by far, the most common return code on the web.

- 304 (Not modified) In order to save bandwidth a browser may make a conditional request for resources. The conditional request contains an 'If-Modified-Since' field and if the resource has not changed since that date the server will simply return the 304 code and the browser will use its cached copy of the resource.

Requests that result in any other return codes within the 2xx and 3xx categories must not be counted. This exclusion covers:

- 206 (Partial content) This indicates that the server has only filled part of a specific type of request.
- 301 (Moved permanently): The addressed resource has moved, and all future requests for that resource should be made to the new URL. Transfer to the new location may be automatic or may require manual intervention by the user. Either way, a successful request to the new location will generate a 200 return code.
- 302 (Moved temporarily) This indicates that the content has moved while the page requested still has the same URL. The page is, therefore, not retrieved and must not be counted.
- 303 (See other) The response to the browser's request can be found elsewhere. Automatic redirection may take place to the new location.

Full information on the five categories of http return codes and their definitions may be found at: <http://www.w3.org/Protocols/rfc2068/rfc2068> goto: Chapter 10 (pp 53- 64): Status Code Definitions. More summarised information may be found at:

<http://www.cknow.com/faqs/What/404andOtherHTTPReturnCode.html>.

### **Guidelines for processing and filtering the raw usage data**

The filtering of the 'raw' usage data needs to go through a number of consecutive steps in order to meet the COUNTER requirements.

Step 1: Sorting the data file.

The file to be used for reporting should be sorted chronologically by user. The following options for a user exist:

1. Where only the IP address of a user is logged, that IP should be taken as the field to sort by.
2. When a session-cookie is implemented and logged, the session-cookie should be used to sort by.
3. When user-cookies are available and logged, the user-cookie should be used to sort by.
4. When the username of a registered user is logged, this username should be used to sort by.

Step 2: Remove all records with a return code other than '200' and '304'

Step 3: Run the 'double-click-removal' script. (The time window for a double click may now be set at 30 seconds for all document types.)

The following example illustrates how this script should work:

A user requests the HTML format of one and the same item four times within the following time intervals:

- Request 1 — 09:51:10
- Request 2 — 09:51:39
- Request 3 — 09:52:12
- Request 4 — 09:52:34

Applying the double-click filter to the above example has the following results: comparing Requests 1 and 2 removes Request 1 and retains Request 2; next, comparing Request 2 with Request 3, retains both Request 2 and Request 3 as more than 30 seconds have elapsed between these two requests; next, comparing Request 3 with Request 4 removes Request 3 and retains Request 4, as less than 30 seconds have elapsed between Requests 3 and 4. Thus, applying the double-click filter to the above example results in two Successful Requests being recorded.

The same procedure applies to all formats of an item, including HTML, PDF, video clips, etc.

## **Guidelines for counting usage of individual sub-sections of an article**

In JR-1, JR-1GOA, JR-1a, and JR5 only usage of full-text articles may be reported. Where a full-text article is downloadable in sub-sections, only the first successful request for a sub-section of a full-text article may be counted in JR-1, JR-1GOA, JR1-a and JR-5. Subsequent requests for other sub-sections of the same article within 30 seconds of each other must be filtered out. Article abstracts may not be reported in any of the above COUNTER Reports.

Usage of individual sub-sections of full-text articles, as well as abstracts, may be reported in the optional reports JR-3, JR-3M, TR-3 and TR3-M.

## **Requirements for recording and reporting usage in Database Report 1 (DB-1) and Platform Report 1 (PR-1) when databases may be searched individually or as a group, as part of a Platform**

Many databases are offered by vendors as part of a platform that typically covers a number of databases.

Database Report 1 (DB-1) should report usage of each database, and Platform Report 1 (PR-1) should report usage of each platform, as illustrated in the following example:

A vendor offers a set of 5 databases (A, B, C, D and E) as part of Platform X. The user may search each database individually, or may specify searches across a group of 2 or more databases. Usage should be reported as follows in DB-1 and PR-1 for the scenarios below:

### Scenario 1:

- User makes 1 search across 'All Databases'.
- Vendor should report:
  - 1 search in PR-1 and also
  - 1 search in DB-1 for each database (A, B, C, D and E)

### Scenario 2:

- User makes 1 search in Database E only.
- Vendor should report:
  - 1 search in PR-1 and also
  - 1 search in DB-1 for Database E

Scenario 3:

- User makes 1 search, selecting two Databases (C and D) to search in.
- Vendor should report:
  - 1 search in PR-1 and also
  - 1 search for Database C in DB-1, and 1 search for Database D in DB-1

Results if usage is reported correctly for all three of the scenarios described above, then the vendor's DB-1 and PR-1 reports should report the following:

- PR-1 reports 3 searches in total for Platform X
- DB-1 reports 8 searches in total –
  - 1 for Database A (from the search in Scenario 1)
  - 1 for Database B (from the search in Scenario 1)
  - 2 for Database C (from the searches in Scenarios 1 and 3)
  - 2 for Database D (from the searches in Scenarios 1 and 3)
  - 2 for Database E (from the searches in Scenarios 1 and 2)

### **Guidelines for identifying abnormal spikes in usage**

The Guidelines below are designed to provide simple, easily implementable, criteria that may be used to flag unusual spikes in usage, for further investigation. They may be applied to usage data in any of the monthly COUNTER usage reports.

**Positive Spike in Usage:** Reported usage may be too high ( a Positive Spike) if, in a specific month, the reported usage at a particular customer for an individual product is at least one hundred units of measurement greater than 300% ( three hundred percent) above the previous twelve month average.

**Negative Spike in Usage:** Reported usage may be too low ( a Negative Spike), if, in a specific month, the reported usage at a particular customer for an individual product is less than 1% (one percent) of the previous twelve month average usage. (Note: the average usage of that product in the previous twelve months should be at least twenty units of measurement).

The above approaches will provide only an indication of possible abnormal usage or another unusual event and should therefore be used as a prompt for

human intervention to take a closer look at the numbers. It should be noted that negative spikes may occur as a result of relatively high usage in a different month which may or may not fulfil the requirements for a positive spike.

## **Protocol for ReadCube, Mendeley, and other tools for downloading and managing PDF files**

ReadCube and Mendeley are examples of tools designed to help researchers download and organize articles that are of interest to them. ReadCube, for example, incorporates a tool that allows users to download PDF versions of articles in a single step. When the user clicks on the PDF download button for that document he is presented with a choice of continuing to the regular PDF, or viewing the enhanced PDF. Irrespective of which choice they make, the view is counted as a successful PDF request in the COUNTER reports. The downloaded article can be saved as a regular PDF for later reading in Acrobat, or as an enhanced PDF to their desktop instance of ReadCube. Any further usage is not recorded in the COUNTER reports. This protocol should also be followed for Mendeley and other similar tools.

## **Protocol for detecting a mobile device**

The following optional additional reports enable usage on mobile devices to be reported separately:

- Journal Report 3 Mobile: Number of Successful Item Requests by Month, Journal and Page Type for usage on a Mobile Device
- Title Report 1 Mobile: Number of Successful Requests for Journal Full-text Articles and Book Sections by Month and Title (formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices)
- Title Report 3 Mobile: Number of Successful Requests by Month, Title and Page Type (formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices)

COUNTER will recognize as usage on a mobile device, which may be reported in the above reports, any usage that meets one of the following criteria:

- useragents that are included in the WURFL list. WURFL is the Wireless Universal Resource File, a database containing the profile of mobile devices; this database may be found at: <http://wurfl.sourceforge.net/>
- usage via a proprietary mobile App provided by the publisher/content provider

Vendors must indicate on their sites, preferably in the usage reporting area, which of the above criteria they are using to identify mobile devices.

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# Appendix E: Auditing Requirements and Tests

## General Auditing Requirements

### Audit Philosophy

The COUNTER audit procedures and tests set out in this Appendix seek to ensure that the usage reports provided by vendors are in line with the COUNTER principles of credibility, consistency and comparability and follow uniform agreed procedures. To this end, the audit seeks to mirror the activity of an institution (a customer) carrying out usage on the vendor's platform.

#### *Third party hosts and vendors*

There are two broad categories of third party vendors that must be taken into account for usage statistics reporting and each has additional audit requirements. These categories are:

- Third party hosts: some publishers have their online content hosted by a third party, which provides standard usage statistics reporting as part of a broader hosting service. In these cases it is the third party host that is audited and the third party vendor must provide the auditor with a list of all publishers hosted by them. The auditor will then select two publishers at random from the list and carry out the audit tests as specified below on both for the relevant categories of publication. .
- Third party vendors providing bespoke usage reporting services: some publishers use vendors that provide bespoke usage statistics reporting services where the models used may differ significantly for each client publisher. In this case a higher number of audits may be required, In this case the third party vendor must provide the auditor with a list of all their client publishers. The auditor will then aim to select 10% of the publishers (up to a maximum of 5 ,with a minimum of 2) from this list and carry out the audit tests specified below for the relevant categories of publication.

No two third party hosts/vendors are exactly alike; prior to the audit each vendor should discuss with COUNTER how they provide usage statistics so that COUNTER can advise which of the two categories above applies to them.

## **Auditing and test-scripts**

There are three stages in the COUNTER audit:

- Stage 1: Format: here the usage reports are tested to confirm that they adhere to the COUNTER specification, not only in terms of overall format, but also that relevant identifiers, such as ISSNs and ISBNs, are presented correctly. Deviations from the specified COUNTER format, such as blank rows or incorrectly formatted ISSNs, can cause problems when the COUNTER usage reports are processed automatically.
- Stage 2: Data Integrity: here the auditor checks that the usage statistics reported by the vendor accurately record the activity carried out by the auditor during the audit. This includes checking that the vendor provides consistent usage statistics when its reports are accessed using different browsers, with Google Chrome, Internet Explorer and Mozilla Firefox as a minimum. (COUNTER will review the three selected browsers annually and the selection may change in the future, depending on which browsers are most widely used).
- Stage 3: Report Delivery. Here the auditor tests that the vendor has implemented SUSHI correctly and that its reports may be accessed using SUSHI according to the instructions supplied by the vendor (which must comply with the NISO / COUNTER SUSHI standard). Implementation of SUSHI is a requirement for Release 4 compliance and is covered by the Declaration of COUNTER Compliance signed by all Release 4 compliant vendors. Delivery of reports via Excel or .tab separated value (tsv) file will still be required as specified in the COUNTER Code of Practice.

COUNTER has defined specific audit test-scripts for each of the COUNTER required usage reports. As vendors may work with different auditors, the test-scripts will ensure that each auditor will follow an identical auditing procedure and result measurement.

This audit is not in a position to express an opinion as to usage reported in respect of any other accounts or institutions, or as to aspects of the Code of Practice not specifically tested below. Release 4 compliant Vendors are

reminded, however, that their signed Declaration of COUNTER compliance also covers these aspects of the Code of Practice.

#### *Frequency of the audit*

To maintain COUNTER-compliant status an independent audit is required within 6 months of a vendor being listed in the Register of COUNTER Compliant Vendors, and annually thereafter (except for vendors that are members of COUNTER in the Smaller Publisher category, which may be audited biennially, with permission from COUNTER). Failure to meet these audit requirements will result in a vendor losing its COUNTER-compliant status.

#### *COUNTER Usage Reports for which an independent audit is required*

Independent audits are required for the COUNTER Reports listed in Table 1 below. (Vendors may also request that the Optional Additional COUNTER Reports be audited, but this is not a requirement for COUNTER compliance).

| Report   | Description  | Status  |
|--|--|---|
| Journal Report 1                               | Number of Successful Full-Text Article Requests by Month and Journal                     | Standard  |
| Journal Report 1 GOA                           | Number of Successful Gold Open Access Full-Text Article Requests by Month and Journal    | Standard  |
| Journal Report 1a                              | Number of Successful Full-Text Requests from an Archive by Month and Journal             | Optional, but requires audit if this report is provided |
| Journal Report 2                               | Access Denied to Full-Text Article Requests by Month, Journal, and Category              | Standard  |
| Journal Report 5                               | Number of Successful Full-Text Article Requests by Year-of-Publication (YOP) and Journal | Standard  |
| Database Report 1                              | Total Searches, Result Clicks and Record Views by Month and Database                     | Standard  |
| Database Report 2                              | Access Denied by Month, Database and Category  | Standard  |
| Platform Report 1 (formerly Database Report 3) | Total Searches, Result Clicks and Record Views by Month and Platform                     | Standard  |

| Report              | Description  | Status   |
|---------------------|--|----------|
| Book Report 1       | Number of Successful Title Requests by Month and Title                             | Standard |
| Book Report 2       | Number of Successful Section Requests by Month and Title                           | Standard |
| Book Report 3       | Access Denied to Content Items by Month, Title and Category                        | Standard |
| Book Report 4       | Access Denied to Content items by Month, Platform and Category                     | Standard |
| Book Report 5       | Total Searches by Month and Title  | Standard |
| Multimedia Report 1 | Number of Successful Full Multimedia Content Unit Requests by Month and Collection | Standard |

Note:

1. Vendors reporting usage of journals must provide, and have audited, all of the Standard Journal Reports listed above, with the exception of Journal Report 1 GOA, which applies only to those vendors that publish Gold Open Access articles in their journals.
2. Vendors reporting usage of databases must provide, and have audited, Database Report 2, as well as either Database Report 1 OR Platform Report 1 (both may be required, depending on the organization of the database and platform).
3. Vendors reporting usage of books and reference works must, as a minimum, provide, and have audited, the following reports:
  1. Either Book Report 1 OR Book Report 2
  2. Book Report 3 OR Book Report 4
  3. Book Report 5 OR Platform Report 1
4. Vendors reporting usage of databases consisting largely or exclusively of multimedia content must provide, and have audited, Multimedia Report 1
5. Vendors providing Consortium Report 1, Consortium Report 2, or Consortium Report 3 must also have these usage reports audited.

### *General conditions for carrying out an audit test*

COUNTER has defined a reporting period as a calendar month. A report pulled for any given month will reflect all activity of a customer for the entire month in question.

As a consequence this applies also to auditing activity; an auditor should always finalize the audit tests within one and the same calendar month. During the audit period, all activity on the audit accounts not instigated by the auditor should be prevented, as this will make the test reports unreliable and may result in further audit tests.

To prevent any collision of reported data, an auditor should be allowed to set-up and maintain separate accounts for each of the audit tests. All accounts should be set up in such a way that only the auditor carrying out a test can access the vendor's site.

Prior to the audit, the vendor must supply to the auditor:

1. Account details for at least 2 separate institutional accounts with access to all areas required to be tested;
2. Account details for a parent (consortium) account able to view aggregated usage and consortium reports for the 2 accounts above;
3. Links to download usage reports in all required formats. COUNTER usage reports must be provided as a Microsoft Excel file, a TSV file, or a file that can be easily imported into Microsoft Excel pivot tables and in XML format in accordance with the COUNTER XML schema that is specified in the SUSHI protocol.
4. Confirmation of whether separately purchasable archives are available.
5. A declaration that federated and automated searches have been disaggregated from any searches reported. ( see Code of Practice p 26 for further information on the protocols that apply to federated and automated searches)
6. Where server-side caching is implemented, information on cache settings used (Server-side caching can cause a discrepancy between the usage recorded in the audit tests and that reported by the vendor. Information on cache settings enables the auditor can take them into account when

evaluating the results of the PDF parts of the JR1-2 and BR2-2 tests. If the vendor does not provide this information the auditor is likely to carry out further audit tests that may incur additional audit costs.)

## The Required Audit Outputs

The auditor will provide COUNTER with a summary report providing, as a minimum, the following information:

1. The name of the vendor;
2. The Audit Period and Date;
3. The usage report(s) tested;
4. For each usage report tested, the test results, indicated as a % of the reported figures over the expected.
5. A summary of any material issues noted with the Format / Structure, Data Integrity, and Delivery of the vendor's reports. If there are no issues, a PASS should be noted;
6. A clear indication if the overall outcome for the audit is a PASS, QUALIFIED PASS, or FAIL.
7. Any other comments relating to the audit worthy of consideration by the COUNTER EC.

Table 2. Example Audit Report

| Vendor       |             | <NAME>             |                        |                              |                              |                |   |
|--------------|-------------|--------------------|------------------------|------------------------------|------------------------------|----------------|---|
| Audit Period |             | <MONTH/YEAR>       | DATE                   | <MONTH/YEAR>                 |                              |                |   |
| Report       | Test Result | Format / Structure | Data Integrity         | Delivery                     | Opinion                      | Comments       |   |
| 1            | JR-1        | 100%               | PASS                   | PASS                         | PASS                         | PASS           | None  |
| 2            | DB-3        | 112%               | Format not as required | Double Counting in X Journal | SUSHI provided wrong reports | FAIL           | Server outage caused reporting issues                         |
| 3            | DB-2        | 100%               | Additional             | PASS                         | PASS                         | QUALIFIED PASS | Client has committed to resolve format issues within 2 weeks. |

|   |      |      |              |      |      |      |   |
|---|------|------|--------------|------|------|------|---|
|   |      |      | Column noted |      |      |      |   |
| 4 | DB3  | 100% | PASS         | PASS | PASS | PASS | This was conducted as a Platform audit, checking sites <A> and <B>. |
| 5 | Etc. | Etc. | Etc.         | Etc. | Etc. | Etc. | Etc.  |

It is of course possible that a vendor may submit multiple reports for audit, some of which may PASS their audit-tests and others which may FAIL. Hence, the results of testing for each report should be submitted on a separate line. For a vendor to maintain COUNTER compliant status each audited report must PASS.

## The Required Audit Tests

### Stage 1. FORMAT: checking the report lay-out and file-format against the Code of Practice

The auditor will check whether each of the reports listed in this Appendix complies with the report examples and descriptions as made available in the COUNTER Code of Practice.

The following items need to be checked:

1. The layout of the report (headers/footers, number of fields, field sequence, totaling field and format of reported numbers);
2. The conformity of identifiers to the required standard (e.g. ISSNs must be provided as nine digits, with a hyphen as the middle digit);
3. The required file formats provided;
4. The receipt and timeliness of an email alert once usage reports are updated
5. Flexibility in the reporting period that allows customers to specify the start and end months of data reported in the COUNTER reports
6. Report file formats: as well as being provided as either a Microsoft Excel file, or as a Tab-separated Value (TSV) file, or as a file that can be easily imported into Microsoft Excel, the COUNTER usage reports must be provided in XML format in accordance with the COUNTER XML schema that is specified by SUSHI and may be found on the NISO/SUSHI website at: <http://www.niso.org/schemas/sushi/> The COUNTER schema covers all the COUNTER usage reports.

7. A vendor will only pass an audit test if the xml formatted report produced via SUSHI matches the total of the relevant usage counted on the equivalent .tsv / excel report offered by the vendor – i.e. a report should produce the same results irrespective of the format it is delivered in.

## **Stage 2. DATA INTEGRITY: checking the usage numbers as reported**

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

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all available journals as published on the platform of the vendor.
- IV. Audit-test JR1-1:
  - a) For the audit report, the auditor should perform a total of 100 requests using three different browsers (i.e. at least 30 using Google Chrome, at least 30 using Internet Explorer and at least 30 using Mozilla Firefox) for Full Text Articles from a selection of journals available on the vendor's site. For vendors that provide Full Text Articles in both HTML and PDF formats these 100 requests should be evenly divided across both formats (i.e. 50 for both); otherwise, all 100 requests should be made for files in the format provided (HTML only or PDF only). N.B. the auditor should allow at least 30 seconds between each article request.
  - b) The auditor must record the journals included in the audit-test and the number of requests for full text articles for each journal.



- c) The audit report should show the Total for all requests, broken down by journal.
  - d) The vendor will pass this audit test when the reported monthly total usage in Journal Report 1 for the auditor's test account (across all journals audited) is within a -8% and +2% reliability window of the total on the auditor's report.
- V. Audit-test JR1-2: The 10 and 30 seconds filters.
- a) To ensure that the report is counting correctly as per the COUNTER Code of Practice, it is important that the browser cache settings of the machines used for testing are disabled. It is also important that the auditee confirms before the audit period if they operate a cache server. If they do, this test will not report as the Code expects and is likely to under-report the usage of successive content items outside the double-click threshold.
  - b) The auditor will audit-test the 10 and 30 seconds filter for this report. The audit-test consists of clicking links to an article full text twice in succession (double-clicks). For HTML articles, if the two clicks occur within a ten second time-span, only one full text request should be recorded, if the two clicks occur with more than 10 seconds between, then two full text requests should be counted. For articles in PDF format, the time-span is 30 seconds. The audit test should include requesting articles where double-clicking occurs within the threshold as well as requesting articles where the time between clicks exceeds the threshold.
  - c) The auditor should request full text for 10 to 20 articles, performing double-clicks within 10 seconds if the format requested is HTML or within 30 seconds if the format requested is PDF. For each article requested the auditor will record just 1 full text request for each set of double-clicks, recording the activity by journal keeping track of the HTML and PDF activity separately.
  - d) The auditor should request full text for 10 to 20 articles, performing double-clicks with 11 or more seconds between clicks for HTML and 31 or more seconds between clicks for PDF. For each article requested, the auditor will record a full text request for each click (2 per article),

recording the activity by journal keeping track of the HTML and PDF activity separately.

- e) Vendors will pass the Audit-test 2 when the total of activity on the vendor's report for the journals audited is within a threshold of -8% and +2% of the auditor's total.

VI. Audit-test JR1-1 and audit-test JR1-2 must be separated by using separate accounts to avoid collisions of numbers.

VII. Journal Report 1 must reflect ALL of the vendor's full-text article requests across both current and archived content. Thus, any usage reported in Journal Report 1a or Journal Report 5 must also be included in Journal Report 1. See the Auditing Requirements for JR-1a and JR-5 below.

*Journal Report GOA: Number of Successful Gold Open Access Full-Text Article Requests by Month and Journal*

The full-text articles in the separately purchasable archive reported in Report JR-1GOA must be tested in the volumes specified for Journal Report 1 (see above).

Furthermore, the auditor must carry out additional JR-1-1 and JR-1-2 testing (items IV and V above) for full-text articles that are NOT Gold Open Access. The volume of such testing should be as follows:

- 15 full-text articles in the additional JR-1-1 test;
- 15 full-text articles in the additional JR-1-2 test (7 within and 8 outside the time-out period).

Hence, if the audit-tests and the vendor's reporting have been implemented correctly, Report JR-1GOA should show approximately 145 full-text articles (100 for JR-1-1, 15+ (15x2) for JR-1-2) while Report JR-1 should show approximately 183 (145 from JR-1 test plus 15+7+ (8x2)).

In addition, the auditor must confirm the Gold Open Access status of articles covered in JR-1GOA with appropriate spot checks. (The definition of Gold Open Access is provided in Appendix A)

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

The full-text articles in the separately purchasable archive reported in JR-1a must be tested in the volumes specified for Journal Report 1 (see above).

Furthermore, the auditor must carry out additional JR-1-1 and JR-1-2 testing (items IV and V above) for full-text articles that are NOT found in the archive. The volume of such testing should be as follows:

- 15 full-text articles in the additional JR-1-1 test
- 15 full-text articles in the additional JR-1-2 test ( 7 within and 8 outside the time-out period)

Hence, if the audit tests and the vendor's reporting have been implemented correctly, Report JR-1a should show approximately 145 full-text articles (100 for JR-1-1, 15+ (15x2) for JR-1-2) while Report JR- 1 should show approximately 183 (145 from JR-1 test plus 15+7+ (8x2)).

*Journal Report 2: Access Denied to Full-Text Articles by Month, Journal and Category*

The tests specified below must be carried out separately

The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from multiple computers, each with a unique account number; the number of computers should exceed the number of registered users having simultaneous access to all available vendor sites by 1. The recommended number of computers is 3 If the vendor system cannot allow specifically 2 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number wherever the number 2 is used below. The auditor should accept user/machine and session cookies when prompted.

- I. The auditor should have access to all journals as made available on the platform of the vendor.
- II. Audit-test JR2-1 (Access denied: concurrent/simultaneous user licence limit exceeded):

- a) The audit-test is to have 2 active (registered) users on the site requesting full text articles for one and the same journal. This means that all available sessions are active. An additional computer will then be used to log-in and attempt to carry out an article request for that same journal. This user should be refused access because of exceeding the concurrent/simultaneous user threshold. Each time access is refused, the auditor will record this as an Access denied: concurrent/simultaneous user licence limit exceeded. .
- b) This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time an Access denied: concurrent/simultaneous user licence limit exceeded occurs and the name of the journal accessed.
- c) The vendor's report will pass this test when the total number of instances of Access denied: concurrent/simultaneous user licence limit exceeded shown is within a -8% and +2% reliability window of the total on the auditor's report

III. Audit test JR2-2 (Access denied: content item not licenced):

- a) The auditor should perform 40-50 requests to access full-text articles available on the vendor's site, allowing at least 20 seconds between each test. The auditor should record each time an Access denied: content item not licenced occurs and the name of the journal accessed.
  - a. The vendor's report will pass this test when the total number of accesses denied shown is within a-8% and +2% reliability window of the total on the auditor's report

IV. Audit-test JR2-1 and audit-test JR2-2 must be separated by using separate accounts to avoid collisions of numbers.

*Journal Report 5: Number of Successful Full-Text Article Requests by Year and Journal*

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

As for Journal Report 1 (see above) with the following additions:

The auditor must ensure that some full-text articles from different years of the same journal are requested during the JR-1-1 and JR-1-2 tests. Hence, the auditor should know the numbers expected to appear in each year column of the JR-5 report.

In addition, the auditor must confirm the Year of Publication (YOP) of articles covered in JR-5 with appropriate and proportionate spot checks, unless the article is 'YOP unknown'.

*Database Report 1: Total Searches, Result Clicks and Record Views by Month and Database*

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all databases as made available on the platform of the vendor.
- IV. Audit-test DB1-1:
  - a) Regular Searches: If a vendor offers more than one database, the auditor should run 100 searches on a subset of the databases made available to them. If there is only 1 database the number of searches should be 50. Individual searches should always be run against only one database at a time. All database searches are considered valid and, for each search, the auditor will record the database and result total number returned by the search (if applicable). If a vendor's COUNTER reports do not include searches yielding zero results or when the number of results exceeds some predefined threshold, then these categories of searches should be recorded separately and not included in the final tally. N.B. the auditor

should allow at least 11 seconds between each search when repeating the same search on the same database.

- b) Each time a search is conducted, the auditor will record the search and the database searched.
- c) As each search is conducted, the auditor will indicate that the database was accessed during the current session
- d) The audit report should show a breakdown of regular searches by database with a Total for each.
- e) A vendor will pass this audit test when the sum of the searches reported by the vendor in Database Report 1 for the auditor's test account is within a -8% and +2% reliability window of the sum of the searches on the auditor's report.

V. Audit-Test DB1-2: Searches on multiple databases ( searches: federated and automated) IMPORTANT NOTE: This test cannot be carried out where the vendor supplies only 1 database or where searches across multiple databases cannot be conducted. Hence, the vendor must declare the database structure to the auditor and the COUNTER EC prior to testing.

- a) It is necessary to separate audit-test DB1-1 and audit-test DB1-2 by using separate accounts to avoid collisions of numbers.
- b) The auditor should run 100 searches in total and make sure that about 50 of searches are run over combinations of 2 databases and the other 50 searches are run over a combination of all databases as made available by the vendor.
- c) The auditor should keep a record of the number of searches executed for both options, indicating which database each search was carried out on. If a vendor's COUNTER reports do not include searches yielding zero results or when the number of results exceeds some predefined threshold, then these categories of searches should be recorded separately and not included in the final tally.
- d) The audit report should show the count of searches by database plus the total database/searches (E.G. if the audit procedure is followed exactly and the auditor has access to 10 databases, the total would be  $600 -- 50 \times 2 + 50 \times 10$ ).

- e) The vendor's report will pass this test if the sum of the searches: federated and automated by database matches the total on the audit report within a -8% and +2% reliability window.

VI Audit test DB1-3: Result Clicks:

- a) If a vendor offers more than one database, the auditor should run 100 clicks on a subset of the search results made available to them. If there is only 1 database the number of result clicks should be 50.
- b) The audit report should show a breakdown of result clicks by database with a Total for each.
- c) A vendor will pass this audit test when the sum of the result clicks reported by the vendor in Database Report 1 for the auditor's test account is within a -8% and +2% reliability window of the sum of the result clicks on the auditor's report.

VII Audit test DB1-4: Record Views:

- a) If a vendor offers more than one database, the auditor should run 100 record views on a subset of the records made available to them. If there is only 1 database the number of record views should be 50.
- b) The audit report should show a breakdown of record views by database with a Total for each.
- c) A vendor will pass this audit test when the sum of the record views reported by the vendor in Database Report 1 for the auditor's test account is within a -8% and +2% reliability window of the sum of the record views on the auditor's report.

VIII Audit-tests DB1-1, DB1-2, DB1-3 and DB1-4 must be separated by using separate accounts to avoid collisions of numbers.

*Database Report 2: Access Denied by Month, Database and Category*

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit- test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the

audit-test from multiple computers with a unique account number; the number of computers should exceed the number of registered users having simultaneous access to all available vendor sites by 1. The recommended number of computers is 3. If the vendor system cannot allow specifically 2 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number wherever the number 2 is used below. N.B. the important number for the vendor to understand is the number of session that can be active before the system will turn-away subsequent sessions.

II. The auditor should accept user/machine and session cookies when prompted.

III. The auditor should have access to all databases as made available on the platform of the vendor.

IV. Audit-tests DB2:

a) The database used for this test should be different from the one used for Database Report 1, if possible.

V. Audit-test DB2-1 (Access denied: concurrent/simultaneous user licence limit exceeded):

a) The audit-test is to have 2 active (registered) users on the site requesting access to the database. This means that all available sessions are active. An additional computer will then be used to log-in and attempt to access the same database. This user should be refused access because of exceeding the concurrent/simultaneous user threshold. Each time access is refused, the auditor will record this as an Access denied: concurrent/simultaneous user licence limit exceeded. .

b) This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time an Access denied: concurrent/simultaneous user licence limit exceeded. occurs and the name of the database accessed.

c) The vendor's report will pass this test when the total number of accesses denied: concurrent/simultaneous user licence limit exceeded shown is



within a -8% and +2% reliability window of the total on the auditor's report

VI. Audit test DB2-2 (Access denied: content item not licenced):

- a) The auditor should perform 40-50 requests to access content items in databases available on the vendor's site. allowing at least 20 seconds between each test. The auditor should record each time an Access denied: content item not licenced occurs and the name of the database accessed.

VII. The vendor's report will pass this test when the total number of accesses denied shown is within a -8% and +2% reliability window of the total on the auditor's report

VIII. Audit-tests DB2-1 and DB2-2 must be separated by using separate accounts to avoid collisions of numbers.

*Platform Report 1: Total Searches, Result Clicks and Record Views by Month and Platform*

An audit of this report requires the following:

I. The audit-test should be conducted in conjunction with the test results for Database Report 1 as conducted in section V. With Database Report 1, the auditor has recorded the number of searches performed as well as the number of result clicks and record views and indicated which databases they apply to.

II. Platform Report 1 only counts the discrete, deduplicated searches and sessions. For example, if a 100 searches run for Database Report 1 were conducted in 10 session of 10 searches each and the auditor had accesses to 10 databases, Platform Report 1 would be expected to show a total of 10 sessions and 100 searches (even though the sum of the searches and sessions on Database Report 1 will equal 600 and 60 respectively).

III. A vendor will pass this audit test if their Platform Report 1 shows totals for searches, result clicks and record views that are within the reliability window of -8% and +2% of the total of unique sessions and searches counted on the auditor's report for Database Report 1.

*Book Report 1: Number of Successful Title Requests by Month and Title*

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all available journals as published on the platform of the vendor.
- IV. Audit-test BR1-1:
  - a) For the audit report, the auditor should perform 100 requests for Titles from a selection of titles available on the vendor's site. N.B. the auditor should allow at least 30 seconds between each article request.
  - b) The auditor must record the titles included in the audit-test and the number of requests for each title.
  - c) The audit report should show the Total for all requests, broken down by title.
  - d) The vendor will pass this audit test when the YTD Totals (across all titles) on the auditor's report is within a -8% and +2% reliability window of the total presented on the vendor's Book Report 1.
- V. Audit-test BR1-2: The 10 and 30 seconds filters.
  - a) To ensure that the report is counting correctly as specified in the COUNTER Code of Practice, it is important that the browser cache settings of the machines used for testing are disabled. It is also important that the auditee confirms before the audit period whether they operate a cache server. If they do, this test will not report as the Code expects and is likely to under-report the usage of successive content items outside the double-click threshold.

- b) The auditor will audit-test the 10 and 30 seconds filter for this report. The audit-test consists of clicking links to a title full text twice in succession (double-clicks). For HTML titles, if the two clicks occur within a ten second time-span, only one successful request should be recorded, if the two clicks occur with more than 10 seconds between, then two successful requests should be counted. For titles in PDF format, the time-span is 30 seconds. The audit test should include requesting titles where double-clicking occurs within the threshold as well as requesting titles where the time between clicks exceeds the threshold.
- c) The auditor should request full text for 10 to 20 titles, performing double-clicks within 10 seconds if the format requested is HTML or within 30 seconds if the format requested is PDF. For each title requested the auditor will record just 1 successful request for each set of double-clicks, recording the activity by title keeping track of the HTML and PDF activity separately.
- d) The auditor should request full text for 10 to 20 titles, performing double-clicks with 11 or more seconds between clicks for HTML and 31 or more seconds between clicks for PDF. For each title requested, the auditor will record a successful request for each click (2 per article), recording the activity by journal keeping track of the HTML and PDF activity separately.
- e) Vendors will pass the Audit-test 2 when the totals of activity on the vendor's report for the titles audited are within a threshold of -8% and +2% of the auditor's total.

VI. Audit-test BR1-1 and audit-test BR1-2 must be separated by using separate accounts to avoid collisions of numbers.

*Book Report 2: Number of Successful Section Requests by Month and Title*

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit- test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.

- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all available titles as published on the platform of the vendor.
- IV. Audit-test BR2-1:
  - a) For the audit report, the auditor should perform 100 requests for sections from a selection of titles available on the vendor's site. N.B. the auditor should allow at least 30 seconds between each article request.
  - b) The auditor must record the titles included in the audit-test and the number of requests for each section.
  - c) The audit report should show the Total for all successful requests, broken down by title.
  - d) The vendor will pass this audit test when the YTD Totals (across all titles) on the auditor's report is within a -8% and +2% reliability window of the total presented on the vendor's Book Report 2.
- V. Audit-test BR2-2: The 10 and 30 seconds filters.
  - a) To ensure that the report is counting correctly as specified in the COUNTER Code of Practice, it is important that the browser cache settings of the machines used for testing are disabled. It is also important that the auditee confirms before the audit period whether they operate a cache server. If they do, this test will not report as the Code expects and is likely to under-report the usage of successive content items outside the double-click threshold.
  - b) The auditor will audit-test the 10 and 30 seconds filter for this report. The audit-test consists of clicking links to a section twice in succession (double-clicks). For HTML sections, if the two clicks occur within a ten second time-span, only one successful request should be recorded, if the two clicks occur with more than 10 seconds between, then two successful requests should be counted. For sections in PDF format, the time-span is 30 seconds. The audit test should include requesting sections where double-

clicking occurs within the threshold as well as requesting sections where the time between clicks exceeds the threshold.

- c) The auditor should request sections from 10 to 20 titles, performing double-clicks within 10 seconds if the format requested is HTML or within 30 seconds if the format requested is PDF. For each title requested the auditor will record just 1 successful request for each set of double-clicks, recording the activity by title keeping track of the HTML and PDF activity separately.
- d) The auditor should request sections from 10 to 20 titles, performing double-clicks with 11 or more seconds between clicks for HTML and 31 or more seconds between clicks for PDF. For each section requested, the auditor will record a successful request for each click (2 per article), recording the activity by title keeping track of the HTML and PDF activity separately.
- e) Vendors will pass the Audit-test 2 when the totals of activity on the vendor's report for the titles audited are within a threshold of -8% and +2% of the auditor's total.

VI. Audit-test BR2-1 and audit-test BR2-2 must be separated by using separate accounts to avoid collisions of numbers.

*Book Report 3: Access Denied to Content Items by Month, Title and Category*

An audit of this report requires the following:

I. The audit-test must be conducted in such a way that the auditor's activities during the audit- test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from 3 computers within a unique account number; the vendor should allow 2 registered users having simultaneous access to all available vendor databases. If the vendor system cannot allow specifically 2 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number where ever the number 2 is used below. N.B. the important number for the vendor to understand is the number of sessions that are allowed to be active before the system will turn-away subsequent sessions.

- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all titles as made available on the platform of the vendor. Audit-test BR3-1 :( Access denied: concurrent/simultaneous user licence limit exceeded):
- a) . The audit-test is to have 2 active (registered) users on the site requesting access to a title. This means that all available sessions are active. An additional computer will then be used to log-in and attempt to access the same title. This user should be refused access because the content item requested is not licenced. Each time access is refused, the auditor will record this as an Access denied: content item not licenced. .
  - b) This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time an 'Access denied: content item not licenced' occurs and the name of the title accessed. .
- IV. The vendor's report will pass this test when the total number of accesses denied: concurrent/simultaneous user licence limit exceeded shown is within a -8% and +2% reliability window of the total on the auditor's report
- V. Audit test BR3-2 (Access denied: content item not licenced):
- a) the auditor should perform 100 requests for content items from a selection of titles available on the vendor's site. allowing at least 20 seconds between each test. The auditor should record each time an Access denied: content item not licenced occurs and the name of the title accessed.
  - b) The vendor's report will pass this test when the total number of accesses denied shown is within a -8% and +2% reliability window of the total on the auditor's report
- VI. Audit-test BR3-1 and audit-test BR3-2 must be separated by using separate accounts to avoid collisions of numbers.

*Book Report 4: Access Denied to Content Items by Month, Platform and Category*

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit- test can be isolated from other activities on the vendor's site. For the test BR4-1, depending on the site being tested, the auditor should conduct the audit-test from 3 computers within a unique account number; the vendor should allow 2 registered users having simultaneous access to all available vendor databases. If the vendor system cannot allow specifically 2 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number where ever the number 2 is used below. N.B. the important number for the vendor to understand is the number of sessions that are allowed to be active before the system will turn- away subsequent sessions.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all titles as made available on the platform of the vendor.
- IV. Audit-test BR4-1:
  - a) The audit-test is to have 2 active (registered) users on the site requesting titles (or sections of titles) from one and the same service. This means that all available sessions are active. An additional computer will then be used to log-in and attempt to carry out a request from that same service. This user should be refused access because of exceeding the simultaneous user threshold. Each time access is refused, the auditor will record this as a turn-away.
  - b) This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time a turn- away occurs and the name of the service accessed.

- c) The vendor's report will pass this test when the total number of turnaways shown is within a - 8% and +2% reliability window of the total on the auditor's report

V. Audit test BR4-2

- a) the auditor should perform 40 - 50 requests for content items from a selection of titles available on the vendor's site. allowing at least 20 seconds between each test. The auditor should record each time an Access denied: content item not licenced. occurs and the name of the service accessed.

The vendor's report will pass this test when the total number of accesses denied shown is within a -8% and +2% reliability window of the total on the auditor's report V, Audit-test BR4-1 and audit-test BR4-2 must be separated by using separate accounts to avoid collisions of numbers.

*Book Report 5: Total Searches by Month and Title*

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all titles as made available on the platform of the vendor.
- IV. Audit-test BR5-1:
  - a) If a vendor offers more than one title, the auditor should run 100 searches on a subset of the titles made available to them. In case there is only 1 title the number of searches should be 50. Individual searches should always be run against only one title at a time. All title searches are



considered valid and, for each search, the auditor will record the title and result total number returned by the search (if applicable). If a vendor's COUNTER reports do not include searches yielding zero results or when the number of results exceeds some predefined threshold, then these categories of searches should be recorded separately and not included in the final tally. N.B. the auditor should allow at least 11 seconds between each search when repeating the same search on the same title.

- b) Each time a search is conducted, the auditor will record the search and the title searched.
- c) As each search is conducted, the auditor will indicate that the title was accessed during the current session.
- d) The audit report should show a breakdown of searches by title with a Total for each.
- e) A vendor will pass this audit test when the Totals for searches on the auditor's report are within a -8% and +2% reliability window of the sum of the sessions and searches for all titles on the vendor's Book Report 5.

*Multimedia Report 1: Number of Successful Full Multimedia Content Unit Requests by Month and Collection*

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit- test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all available collections as published on the platform of the vendor.
- IV. Audit-test MR1-1:
  - a) For the audit report, the auditor should perform 100 requests for full content items from a selection of collections available on the vendor's site.

N.B. the auditor should allow at least 30 seconds between each full content unit request.

- b) The auditor must record the collections included in the audit-test and the number of requests for each full content item.
- c) The audit report should show the Total for all successful requests, broken down by collection.
- d) The vendor will pass this audit test when the Reporting Period Totals (across all collections) on the auditor's report is within a -8% and +2% reliability window of the total presented on the vendor's Book Report 2.

V. Audit-test MR1-2: The 30 seconds filters.

- a) The auditor will audit-test the 30 seconds filter for this report. The audit-test consists of clicking links to a full content unit twice in succession (double-clicks). If the two clicks occur within a thirty second time-span, only one successful request should be recorded, if the two clicks occur with more than 30 seconds between, then two successful requests should be counted. The audit test should include requesting full content units where double-clicking occurs within the threshold as well as requesting sections where the time between clicks exceeds the threshold.
- b) The auditor should request full content units from more than one collection, where possible, performing double-clicks within 30 seconds. For each full content unit requested the auditor will record just 1 successful request for each set of double-clicks,
- c) The auditor should request full content units from more than one collection if possible, performing double-clicks with 31 or more seconds between clicks. For each full content unit requested, the auditor will record a successful request for each click (2 per full content unit), recording the activity by collection.
- d) Vendors will pass the Audit-test 2 when the totals of activity on the vendor's report for the collections audited are within a threshold of -8% and +2% of the auditor's total.

It is needed to separate audit-test BR2-1 and audit-test BR2-2 by using separate accounts to avoid collisions of numbers. Audit-test MR1-1 and audit-test MR2-2 must be separated by using separate accounts to avoid collisions of numbers.

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

This should be tested by accessing the XML report and checking that the reported usage for full-text journal articles is as generated by audit-tests JR-1-1 and JR-1-2 (which have been performed by 2 different accounts, and so 2 different consortium members). Hence, validation of this report requires validation of Report JR-1.

A vendor will pass this audit test if their Consortium Report 1 shows totals for full-text article usage that match the total of full-text article usage counted on the auditor's reports testing Journal Report 1.

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

This should be tested by accessing the XML report and checking that the reported usage for database searches is as generated by audit-tests DB-1-1 and DB-1-2 (which have been performed by 2 different accounts, and so 2 different consortium members). Hence, validation of this report requires validation of Report DB-1 by both audit tests.

A vendor will pass this audit test if their Consortium Report 2 shows totals for searches that match the total of searches counted on the auditor's reports testing Database Report 1.

*Consortium Report 3: Number of Successful Multimedia Full Content Unit Requests by Month and Collection (XML only)*

This should be tested by accessing the XML report and checking that the reported usage for full-text journal articles is as generated by audit-tests MR-1-1 and MR-1-2 (which have been performed by 2 different accounts, and so 2 different consortium members). Hence, validation of this report requires validation of Report MR-1.

A vendor will pass this audit test if their Consortium Report 3 shows totals for full-text article usage that match the total of full-text article usage counted on the auditor's reports testing Multimedia Report 1.

### **Stage 3. Report Delivery: checking delivery of the reports**

In addition to verifying the delivery of reports in Excel / TSV formats, the auditor will check that the COUNTER reports in xml are downloadable using the SUSHI protocol. This may be tested using the SUSHIStarters Client, an opensource tool that provides a series of web-forms and guidance to take users through the steps and parameters needed to connect successfully to SUSHI servers and download vendor reports. (SUSHIStarters may be found at : <http://cclibweb-4.dmz.cranfield.ac.uk/projects/sushistarters/background/>).

A vendor will only pass an audit test if the xml formatted report produced via SUSHI matches the total of the relevant usage counted on the equivalent .tsv / excel report offered by the vendor – i.e. a report should produce the same results irrespective of the format in which it is delivered.

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## Appendix G: XML Overview, with links to schemas

All of the COUNTER Release 4 usage reports must be available in XML, irrespective of other formats in which the reports are provided to customers. An XML schema that covers all the COUNTER usage reports has been developed with NISO and is available on the NISO website.

(<http://www.niso.org/schemas/sushi/#counter>) This schema can be used for any of the COUNTER reports (journals, databases, books, reference works and multimedia content). The flexibility of the schema has been 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 having to update the schema each time.

### Release 4 XML schemas

The XML schemas listed below support Release 4 and are available on the SUSHI/NISO website:

The values for the 'Report' data element are listed in the Report Registry ([http://www.niso.org/workrooms/sushi/reports\\_R4](http://www.niso.org/workrooms/sushi/reports_R4)). Values for other elements can be found on the COUNTER Schema Data Element Values web page (<http://www.niso.org/workrooms/sushi/values/>)

- Counter4.0.xsd <http://www.niso.org/schemas/sushi/#counter> Description COUNTER schema with enumeration
- counterElements4.0.xsd <http://www.niso.org/schemas/sushi/#counter> Enumeration schema, linked to COUNTER schema

The two 'sushi' schemas below are essentially retrieval envelopes for the XML-formatted COUNTER reports. The COUNTER XML schemas above can be used separately from SUSHI by anyone who wants the reports in XML formats.

- counter\_sushi4.0.xsd <http://www.niso.org/schemas/sushi/#counter>
- counter\_sushi4.0wsdl <http://www.niso.org/schemas/sushi/#counter>

## Diagram

COUNTER 4 Schema Diagram available at  
<http://www.niso.org/schemas/sushi/#counter>

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## Appendix H: Optional Additional Usage Reports

Below are listed examples of usage reports that are not mandatory for compliance with COUNTER Release 4, but which vendors are welcome to provide should their customers request more detailed usage information. These reports fall into the three following categories:

- Journals: the optional additional journal usage reports are:
  - Journal Report 1a: Number of Successful Full-Text Requests from an Archive by Month and Journal This usage report was included in Release 3 of the Code of Practice, but is now an optional usage report, as a capability to provide Journal Report 5 is now required for all vendors that sell separately purchasable journal archives.
  - Journal Report 1b: Number of Successful Full-Text Requests by Month, Journal and Platform. This usage report is designed to allow the reporting of journal usage on different platforms.
  - Journal Report 3: Number of Successful Item Requests by Month, Journal and Page Type This report is carried forward from Release 3 and allows more granular reporting of journal usage.
  - Journal Report 3 Mobile: Number of Successful Item Requests by Month, Journal and Page Type for usage on a Mobile Device This usage report has the same format as Journal Report 3 and is designed to allow the separate reporting of usage of journal content on mobile devices
  - Journal Report 4: Total Searches Run by Month and Collection This usage report is carried forward from Release 3
- Titles: this is a new category of usage reports, which enable the reporting of the usage of journals, books and reference works on the same platform
  - Title Report 1: Number of successful requests for Journal Full-text Articles and Book Sections by Month and Title. This report is essentially the same as the Release 3 Journal/Book Report 1, and enables the reporting of usage of full-text items in journals, books and reference works that are published on the same platform in a single COUNTER report.

- Title Report 1 Mobile: Number of Successful Requests for Journal Full-text Articles and Book Sections by Month and Title (formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices) This usage report has the same format as Title Report 1 and is designed to allow the separate reporting of usage of full-text items on mobile devices
- Title Report 2: Access Denied to Full-text Items by Month, Title and Category This report is equivalent to Journal Report 2 and allows the reporting of accesses denied to full-text items in journals, books and reference works that are published on the same platform.
- Title Report 3: Number of Successful Requests by Month, Title and Page Type. This report is equivalent to Journal Report 3, and allows the more granular reporting of usage for journals, books and reference works that are published on the same platform
- Title Report 3 Mobile: Number of Successful Requests by Month, Title and Page Type (formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices) This usage report has the same format as Title Report 3 and is designed to allow the separate reporting of usage of full-text items on mobile devices
- Multimedia content
  - Multimedia Report 2 (R4): Number of Successful Full Multimedia Content Unit Requests by Month, Collection and Item Type This report is equivalent to Journal Report 3, and allows the more granular reporting of usage of multimedia content.

## Journal Usage Reports

### **Usage Report for vendors providing separately purchasable journal archives**

Journal Report 1a below is not an alternative to Journal Report 5: Number of Successful Full-text Article Requests by Year-of Publication (YOP) and Journal, which all vendors selling separately purchasable journal archives must have the capability to provide. It is a report which vendors may provide to specific customers who request it.



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

| Journal                       | Publisher   | Platform          | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Reporting Period Total | Reporting Period HTML | Reporting Period PDF | Jan-2011 | Feb-2011 | Mar-2011 |
|-------------------------------|-------------|-------------------|-------------|------------------------|------------|-------------|------------------------|-----------------------|----------------------|----------|----------|----------|
| <b>Total for all journals</b> |             | <b>Platform Z</b> |             |                        |            |             | 2276                   | 1028                  | 1222                 | 681      | 619      | 976      |
| Journal of AA                 | Publisher X | Platform Z        |             |                        | 1212-3131  | 3225-3123   | 349                    | 154                   | 188                  | 128      | 89       | 132      |
| Journal of BB                 | Publisher X | Platform Z        |             |                        | 9821-3361  | 2312-8751   | 770                    | 364                   | 401                  | 212      | 189      | 369      |
| Journal of CC                 | Publisher Y | Platform Z        |             |                        | 2464-2121  | 0154-1521   | 400                    | 188                   | 203                  | 125      | 98       | 177      |
| Journal of DD                 | Publisher Y | Platform Z        |             |                        | 5355-5444  | 0165-5542   | 757                    | 322                   | 430                  | 216      | 243      | 298      |

### Note:

1. Neither books nor book series may be included in Journal Report 1a.
2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
3. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. A Journal DOI is required for each journal listed. This should be provided simply as an identifier value. ( If a Journal DOI is not available the cell must be left blank).
5. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal.
6. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
7. 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.

8. The Reporting Period Total will not necessarily be the sum of the Reporting Period HTML and Reporting Period PDF columns, as full-text articles may be available in formats other than PDF and HTML.
9. For guidance on Data Display Rules, see Journal Report 1

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

## Usage Report providing information on usage of journals on different platforms

Journal Report 1b: Number of Successful Full-Text Requests by Month, Journal and Platform.

| Journal                       | Publisher   | Platform   | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Reporting Period Total | Reporting Period HTML | Reporting Period PDF | Jan-2014 | Feb-2013 | Mar-2013 |
|-------------------------------|-------------|------------|-------------|------------------------|------------|-------------|------------------------|-----------------------|----------------------|----------|----------|----------|
| <b>Total for all journals</b> |             |            |             |                        |            |             | 4449                   | 1975                  | 2474                 | 2223     | 1285     | 941      |
| <b>Total for all journals</b> |             |            |             |                        |            |             | 1077                   | 571                   | 506                  | 515      | 234      | 328      |
| <b>Total for all journals</b> |             |            |             |                        |            |             | 531                    | 260                   | 271                  | 187      | 165      | 179      |
| Journal of AA                 | Publisher A | Platform X |             |                        | 1212-3131  | 3225-3123   | 1363                   | 566                   | 797                  | 432      | 376      | 555      |
| Journal of AA                 | Publisher A | Platform Y |             |                        | 1212-3131  | 3225-3123   | 11                     | 5                     | 6                    | 0        | 0        | 11       |
| Journal of AA                 | Publisher A | Platform Z |             |                        | 1212-3131  | 3225-3123   | 268                    | 124                   | 144                  | 151      | 84       | 33       |
| Journal of BB                 | Publisher A | Platform X |             |                        | 9821-3361  | 2312-8751   | 1312                   | 605                   | 707                  | 625      | 687      | 0        |
| Journal of BB                 | Publisher A | Platform Y |             |                        | 9821-3361  | 2312-8751   | 238                    | 128                   | 110                  | 120      | 12       | 106      |
| Journal of BB                 | Publisher A | Platform Z |             |                        | 9821-3361  | 2312-8751   | 207                    | 110                   | 97                   | 19       | 63       | 125      |
| Journal of CC                 | Publisher B | Platform X |             |                        | 2464-2121  | 0154-1521   | 1717                   | 777                   | 940                  | 1109     | 222      | 386      |
| Journal of CC                 | Publisher B | Platform Y |             |                        | 2464-2121  | 0154-1521   | 96                     | 42                    | 54                   | 23       | 51       | 22       |
| Journal of CC                 | Publisher B | Platform Z |             |                        | 2464-2121  | 0154-1521   | 37                     | 18                    | 19                   | 8        | 13       | 16       |
| Journal of DD                 | Publisher B | Platform X |             |                        | 5355-5444  | 0185-5542   | 57                     | 27                    | 30                   | 57       | 0        | 0        |
| Journal of DD                 | Publisher B | Platform Y |             |                        | 5355-5444  | 0185-5542   | 732                    | 396                   | 336                  | 372      | 171      | 189      |
| Journal of DD                 | Publisher B | Platform Z |             |                        | 5355-5444  | 0185-5542   | 19                     | 8                     | 11                   | 9        | 5        | 5        |

### Note

1. Only COUNTER-compliant Platforms may be included in Journal Report 1b
2. Neither books nor book series may be included in Journal Report 1b.
3. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'

4. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
5. A Journal DOI is required for each journal listed. This should be provided simply as an identifier value. (If a Journal DOI is not available the cell must be left blank).
6. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal.
7. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
8. Vendors providing Journal Report 1b must continue to report all usage for journals listed in Journal Report 1, notwithstanding their inclusion in Journal Report 1b.
9. The Reporting Period Total will not necessarily be the sum of the Reporting Period HTML and Reporting Period PDF columns, as full-text articles may be available in formats other than PDF and HTML.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

### **Journal Reports providing more granular information on usage, including usage of content on mobile devices**

Below are two optional additional reports that provide more granular information on journal usage. Journal Report 3: Number of Successful Item Requests and Accesses Denied by Month, Journal and Page-type enables vendors to report usage of, for example, non-textual resources, such as video clips, audio clips or images, which are becoming an increasingly important feature of online journals.

Journal Report 3: Number of Successful Item Requests by Month, Journal and Page Type

The screenshot shows an Excel spreadsheet with the following data structure:

|    | Publisher              | Platform | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Page type                          | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
|----|------------------------|----------|-------------|------------------------|------------|-------------|------------------------------------|------------------------|----------|----------|----------|
| 9  | Total for all journals |          |             |                        |            |             | Table of Contents                  | 218988                 | 63222    | 70312    | 81954    |
| 10 | Total for all journals |          |             |                        |            |             | Abstracts                          | 655388                 | 51428    | 46095    | 52555    |
| 11 | Total for all journals |          |             |                        |            |             | References                         | 33852                  | 4552     | 3897     | 4432     |
| 12 | Total for all journals |          |             |                        |            |             | Full-text Postscript               | 34836                  | 1546     | 1947     | 1234     |
| 13 | Total for all journals |          |             |                        |            |             | Full-text Postscript-mobile format | 888                    | 88       | 88       | 120      |
| 14 | Total for all journals |          |             |                        |            |             | Full-text PDF                      | 104887                 | 3216     | 3454     | 3822     |
| 15 | Total for all journals |          |             |                        |            |             | Full-text PDF - mobile format      | 6172                   | 188      | 2771     | 1919     |
| 16 | Total for all journals |          |             |                        |            |             | Full-text HTML                     | 62000                  | 2250     | 3400     | 1950     |
| 17 | Total for all journals |          |             |                        |            |             | Full-text HTML - mobile format     | 5630                   | 187      | 2011     | 1800     |
| 18 | Total for all journals |          |             |                        |            |             | Full-text Other Formats            | 17097                  | 5432     | 5554     | 5723     |
| 19 | Total for all journals |          |             |                        |            |             | Full-text Other Mobile Formats     | 25411                  | 7765     | 8554     | 9032     |
| 20 | Total for all journals |          |             |                        |            |             | Full-text Total                    | 417288                 | 12861    | 14224    | 14818    |
| 21 | Total for all journals |          |             |                        |            |             | Sectioned HTML                     | 2594                   | 879      | 953      | 843      |
| 22 | Total for all journals |          |             |                        |            |             | Sectioned HTML-mobile format       | 277                    | 82       | 101      | 94       |
| 23 | Total for all journals |          |             |                        |            |             | Supplementary data set             | 1522                   | 453      | 226      | 653      |
| 24 | Total for all journals |          |             |                        |            |             | Non-textual resource-audio         | 364                    | 34       | 25       | 47       |
| 25 | Total for all journals |          |             |                        |            |             | Non-textual resource-image         | 42                     | 36       | 21       | 35       |
| 26 | Total for all journals |          |             |                        |            |             | Non-textual resource-video         | 93                     | 41       | 52       | 61       |
| 27 | Total for all journals |          |             |                        |            |             | Non-textual resource-other         | 33                     | 13       | 11       | 9        |
| 28 | Total for all journals |          |             |                        |            |             | Table of Contents                  | 218988                 | 63222    | 70312    | 81954    |
| 29 | Total for all journals |          |             |                        |            |             | Abstracts                          | 655388                 | 51428    | 46095    | 52555    |
| 31 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Table of Contents                  | 2314                   | 732      | 838      | 676      |
| 32 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Abstracts                          | 3342                   | 802      | 1149     | 1020     |
| 33 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | References                         | 1432                   | 543      | 323      | 567      |
| 34 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text Postscript               | 1211                   | 444      | 395      | 432      |
| 35 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text Postscript-mobile format | 23                     | 8        | 9        | 6        |
| 36 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text PDF                      | 1059                   | 621      | 670      | 560      |
| 37 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text PDF - mobile format      | 207                    | 56       | 67       | 34       |
| 38 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text HTML                     | 1095                   | 323      | 420      | 543      |
| 39 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text HTML - mobile format     | 431                    | 144      | 178      | 188      |
| 40 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text Other Formats            | 2321                   | 943      | 1030     | 888      |
| 41 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text Other Mobile Formats     | 360                    | 229      | 391      | 401      |
| 42 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Full-text Total                    | 3697                   | 2767     | 3163     | 3140     |
| 43 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Sectioned HTML                     | 374                    | 109      | 112      | 183      |
| 44 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Sectioned HTML-mobile format       | 209                    | 80       | 54       | 67       |
| 45 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Supplementary data set             | 153                    | 34       | 36       | 54       |
| 46 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Non-textual resource-audio         | 31                     | 9        | 7        | 15       |
| 47 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Non-textual resource-image         | 8                      | 6        | 3        | 12       |
| 48 | Journal of AA          |          |             |                        | 1212-3121  | 1225-3123   | Non-textual resource-video         | 88                     | 13       | 22       | 31       |

Note:

1. Neither books nor book series may be included in Journal Report 3.
2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
3. 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.
4. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
5. A Journal DOI is required for each journal listed. This should be provided simply as an identifier value. (If a Journal DOI is not available the cell must be left blank).
6. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal.

- The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
- The Reporting Period Total will not necessarily be the sum of the Reporting Period HTML and Reporting Period PDF columns, as full-text articles may be available in formats other than PDF and HTML.
- Vendors that provide online journals and books on the same platform may report usage of both categories of product in a single optional additional COUNTER report: Title Report 1: Number of successful full-text item requests by month and title.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

### Journal Report 3 Mobile: Number of Successful Item Requests by Month, Journal and Page Type for usage on a Mobile Device

| Journal Report 3 Mobile (R4) | Number of Successful Item Requests by Month, Journal and Page Type for usage on Mobile Devices |            |             |                        |            |             |                                  |                        |          |          |          |
|------------------------------|--|------------|-------------|------------------------|------------|-------------|----------------------------------|------------------------|----------|----------|----------|
| (Customer)                   |  |            |             |                        |            |             |                                  |                        |          |          |          |
| (Institutional Identifier)   |  |            |             |                        |            |             |                                  |                        |          |          |          |
| Period covered by Report:    |  |            |             |                        |            |             |                                  |                        |          |          |          |
| xxxx-mm-dd to yyyy-mm-dd     |  |            |             |                        |            |             |                                  |                        |          |          |          |
| Date run:                    |  |            |             |                        |            |             |                                  |                        |          |          |          |
| yyyy-mm-dd                   |  |            |             |                        |            |             |                                  |                        |          |          |          |
|                              | Publisher  | Platform   | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Page type                        | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Table of Contents                | 2316                   | 6932     | 7031     | 8152     |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Abstracts                        | 15538                  | 5412     | 4600     | 5526     |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | References                       | 1300                   | 453      | 339      | 547      |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text Postscript             | 3461                   | 1934     | 3084     | 3243     |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text Postscript-mobile form | 320                    | 110      | 88       | 130      |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text PDF                    | 19469                  | 3271     | 3455     | 3822     |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text PDF - mobile format    | 615                    | 988      | 2771     | 150      |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text HTML                   | 6600                   | 2250     | 2400     | 1950     |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text HTML - mobile format   | 547                    | 865      | 209      | 188      |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text Other Formats          | 17077                  | 5461     | 5844     | 5772     |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text Other Mobile Formats   | 2545                   | 776      | 866      | 903      |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Full-text Total                  | 4385                   | 13266    | 14227    | 14800    |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Sectioned HTML                   | 1009                   | 671      | 55       | 843      |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Sectioned HTML - mobile format   | 110                    | 8        | 11       | 94       |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Supplementary data set           | 701                    | 451      | 22       | 653      |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Non-neutral resource: audio      | 84                     | 34       | 3        | 47       |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Non-neutral resource: image      | 54                     | 16       | 3        | 35       |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Non-neutral resource: video      | 111                    | 45       | 5        | 61       |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Non-neutral resource: other      | 24                     | 13       | 2        | 9        |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Table of Contents                | 2316                   | 6943     | 7031     | 8152     |
| Total for all journals       | Publisher X  | Platform 2 |             |                        |            |             | Abstracts                        | 15539                  | 5423     | 4600     | 5526     |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Table of Contents                | 221                    | 73       | 81       | 67       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Abstracts                        | 301                    | 83       | 114      | 103      |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | References                       | 142                    | 54       | 32       | 56       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text Postscript             | 125                    | 44       | 38       | 45       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text Postscript-mobile form | 23                     | 8        | 9        | 6        |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text PDF                    | 871                    | 82       | 87       | 58       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text PDF - mobile format    | 221                    | 6        | 7        | 9        |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text HTML                   | 629                    | 32       | 42       | 55       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text HTML - mobile format   | 49                     | 14       | 18       | 17       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text Other Formats          | 232                    | 94       | 110      | 88       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text Other Mobile Formats   | 100                    | 22       | 36       | 43       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Full-text Total                  | 3277                   | 2827     | 3247     | 3211     |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Sectioned HTML                   | 371                    | 10       | 11       | 16       |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Sectioned HTML - mobile format   | 22                     | 9        | 6        | 7        |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Supplementary data set           | 13                     | 4        | 4        | 5        |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Non-neutral resource: audio      | 15                     | 5        | 3        | 3        |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Non-neutral resource: image      | 15                     | 6        | 5        | 4        |
| Journal of AA                | Publisher X  | Platform 2 |             |                        | 1212-3131  | 3225-3123   | Non-neutral resource: video      | 21                     | 13       | 3        | 5        |

Note:

- Neither books nor book series may be included in Journal Report 3 Mobile.

2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
3. 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.
4. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
5. A Journal DOI is required for each journal listed. This should be provided simply as an identifier value. (If a Journal DOI is not available the cell must be left blank).
  
6. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a journal.
7. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
8. The Reporting Period Total will not necessarily be the sum of the Reporting Period HTML and Reporting Period PDF columns, as full-text articles may be available in formats other than PDF and HTML.
9. Vendors that provide online journals and books on the same platform may report usage of both categories of product in a single optional additional COUNTER report: Title Report 1: Number of successful full-text item requests by month and title.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

Journal Report 4: Total Searches Run by Month and Collection

| Reporting Period Total     | Jan-2011     | Feb-2011     | Mar-2011     |      |
|----------------------------|--------------|--------------|--------------|------|
| <b>59197</b>               | <b>22430</b> | <b>18769</b> | <b>17998</b> |      |
| Collection AA Searches run | 7584         | 2322         | 2520         | 2742 |
| Collection BB Searches run | 4553         | 1588         | 1322         | 1643 |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
2. the 'Total for all Collections' 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. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

## Title Usage Reports: for vendors providing online journals and online books on the same platform

The advent of the SUSHI protocol (<http://www.niso.org/workrooms/sushi/>) has greatly facilitated the handling of large volumes of usage data, which is a particular advantage for reporting the usage of large numbers of titles – both book and journal. For this reason, COUNTER has developed a set of new reports – the Title Reports- to cover usage of online journals and books that are provided on the same platform. These reports, in view of their potentially very

large size, are specified only in XML format, but Excel examples are provided below, for visualisation purposes.

## Title Report 1: Number of Successful Requests for Journal Full-text Articles and Book Sections by Month and Title

| Title Report 1 (R4): Number of Successful Requests for Journal Full-text Articles and Book Sections by Month and Title |             |            |           |                        |      |      |           |                        |                       |                                |                      |                               |                                |   |              |              |              |
|--|-------------|------------|-----------|------------------------|------|------|-----------|------------------------|-----------------------|--------------------------------|----------------------|-------------------------------|--------------------------------|---|--------------|--------------|--------------|
| <Customer>   |             |            |           |                        |      |      |           |                        |                       |                                |                      |                               |                                |   |              |              |              |
| <Institutional Identifier>   |             |            |           |                        |      |      |           |                        |                       |                                |                      |                               |                                |   |              |              |              |
| Period covered by Report:  |             |            |           |                        |      |      |           |                        |                       |                                |                      |                               |                                |   |              |              |              |
| yyyy-mm-dd to yyyy-mm-dd   |             |            |           |                        |      |      |           |                        |                       |                                |                      |                               |                                |   |              |              |              |
| Date run:  |             |            |           |                        |      |      |           |                        |                       |                                |                      |                               |                                |   |              |              |              |
| yyyy-mm-dd   |             |            |           |                        |      |      |           |                        |                       |                                |                      |                               |                                |   |              |              |              |
| Title  | Publisher   | Platform   | Title DOI | Proprietary Identifier | ISBN | ISSN | Data type | Reporting Period Total | Reporting Period HTML | Reporting Period HTML (mobile) | Reporting Period PDF | Reporting Period PDF (mobile) | Reporting Period Other Formats | Reporting Period Other Formats (mobile) | Total Jan-11 | Total Feb-11 | Total Mar-11 |
| Total for all Titles   |             | Platform Z |           |                        |      |      |           | 4449                   | 1586                  |                                | 2733                 |                               |                                |   |              |              |              |
| Title AA   | Publisher X | Platform Z |           |                        |      |      |           | 1363                   | 601                   |                                | 732                  |                               |                                |   |              |              |              |
| Title BB   | Publisher X | Platform Z |           |                        |      |      |           | 1312                   | 548                   |                                | 651                  |                               |                                |   |              |              |              |
| Title CC   | Publisher Y | Platform Z |           |                        |      |      |           | 1717                   | 403                   |                                | 1310                 |                               |                                |   |              |              |              |
| Title DD   | Publisher Y | Platform Z |           |                        |      |      |           | 57                     | 14                    |                                | 46                   |                               |                                |   |              |              |              |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
2. the 'Total for all titles' 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. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. A Title DOI is required for each book or journal listed. This should be provided simply as an identifier value. (If a Title DOI is not available the cell must be left blank).
5. The Proprietary Identifier column must be included, but cells may be left blank if the vendor has no Proprietary Identifier for a title.
6. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
7. Journals for which the number of full-text article requests is zero in every month should be included in Title Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Section 7



below). Books for which the number of successful Section Requests is zero should not be reported.

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

XML Schema: <http://www.niso.org/schemas/sushi/#counter>

### Title Report 1 Mobile: Number of Successful Requests for Journal Full-text Articles and Book Sections by Month and Title

(formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices)

| Title                       | Publisher   | Platform          | Title DOI | Proprietary Identifier | ISBN | ISSN | Data type | Reporting Period Total | Reporting Period HTML | Reporting Period HTML (mobile) | Reporting Period PDF | Reporting Period PDF (mobile) | Reporting Period Other Formats | Reporting Period Other Formats (mobile) | Total Jan-11 | Total Feb-11 | Total Mar-11 |
|-----------------------------|-------------|-------------------|-----------|------------------------|------|------|-----------|------------------------|-----------------------|--------------------------------|----------------------|-------------------------------|--------------------------------|---|--------------|--------------|--------------|
| <b>Total for all Titles</b> |             | <b>Platform Z</b> |           |                        |      |      |           | 4449                   | 1566                  |                                | 2733                 |                               |                                |   |              |              |              |
| Title AA                    | Publisher X | Platform Z        |           |                        |      |      |           | 1363                   | 801                   |                                | 732                  |                               |                                |   |              |              |              |
| Title BB                    | Publisher X | Platform Z        |           |                        |      |      |           | 1212                   | 549                   |                                | 851                  |                               |                                |   |              |              |              |
| Title CC                    | Publisher Y | Platform Z        |           |                        |      |      |           | 1717                   | 403                   |                                | 1310                 |                               |                                |   |              |              |              |
| Title DD                    | Publisher Y | Platform Z        |           |                        |      |      |           | 57                     | 14                    |                                | 49                   |                               |                                |   |              |              |              |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
2. the 'Total for all titles' 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. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. A Title DOI is required for each book or journal listed. This should be provided simply as an identifier value. (If a Title DOI is not available the cell must be left blank).

5. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a title.
6. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
7. Journals for which the number of full-text article requests is zero in every month should be included in Title Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Section 7 below). Books for which the number of successful Section Requests is zero should not be reported.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

## Title Report 2: Access Denied to Full-text Items by Month, Title and Category

| Appendix R4 Excel Reports D13 - Microsoft Excel non-commercial use                |                            |            |           |                        |           |           |  |                        |          |          |          |
|---|----------------------------|------------|-----------|------------------------|-----------|-----------|--|------------------------|----------|----------|----------|
| Title Report 2 (R4) Access Denied to Full-text Items by Month, Title and Category |                            |            |           |                        |           |           |  |                        |          |          |          |
| 1   | <Customer>                 |            |           |                        |           |           |  |                        |          |          |          |
| 2   | <Institutional Identifier> |            |           |                        |           |           |  |                        |          |          |          |
| 3   | Period covered by Report:  |            |           |                        |           |           |  |                        |          |          |          |
| 4   | yyyy-mm-dd to yyyy-mm-dd   |            |           |                        |           |           |  |                        |          |          |          |
| 5   | Date run:                  |            |           |                        |           |           |  |                        |          |          |          |
| 6   | yyyy-mm-dd                 |            |           |                        |           |           |  |                        |          |          |          |
| Title   | Publisher                  | Platform   | Title DOI | Proprietary Identifier | ISBN      | ISSN      | Access Denied Category                   | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
| <b>Total for all titles</b>   | Publisher X                | Platform Z |           |                        |           |           | Access denied: turnaway                  | 156                    | 47       | 45       | 64       |
| <b>Total for all titles</b>   | Publisher X                | Platform Z |           |                        |           |           | Access denied: content item not licenced | 1110                   | 369      | 289      | 452      |
| Title AA  | Publisher X                | Platform Z |           |                        | 1212-3131 | 3225-3123 | Access denied: turnaway                  | 105                    | 35       | 27       | 43       |
| Title AA  | Publisher X                | Platform Z |           |                        | 1212-3131 | 3225-3123 | Access denied: content item not licenced | 407                    | 143      | 88       | 176      |
| Title BB  | Publisher Y                | Platform Z |           |                        | 9821-3361 | 2312-8751 | Access denied: turnaway                  | 51                     | 12       | 18       | 21       |
| Title BB  | Publisher Y                | Platform Z |           |                        | 9821-3361 | 2312-8751 | Access denied: content item not licenced | 703                    | 226      | 201      | 276      |

Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
2. the 'Total for all titles' 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. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. A Title DOI is required for each book or journal listed. This should be provided simply as an identifier value. (If a Title DOI is not available the cell must be left blank).
5. The Proprietary Identifier column must be included, but cells may be left blank where the vendor has no Proprietary Identifier for a title.
6. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
7. Journals for which the number of full-text article requests is zero in every month should be included in Title Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Section 7 below). Books for which the number of successful Section Requests is zero should not be reported.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

## Title Report 3: Number of Successful Item Requests by Month, Title and Page Type

| Title Report 3 (R4): Number of Successful Requests by Month, Title and Page Type |             |            |             |                        |      |      |                                |                        |        |        |        |
|--|-------------|------------|-------------|------------------------|------|------|--------------------------------|------------------------|--------|--------|--------|
| <Customer>   |             |            |             |                        |      |      |                                |                        |        |        |        |
| <Institutional Identifier>   |             |            |             |                        |      |      |                                |                        |        |        |        |
| Period covered by Report:  |             |            |             |                        |      |      |                                |                        |        |        |        |
| yyyy-mm-dd to yyyy-mm-dd   |             |            |             |                        |      |      |                                |                        |        |        |        |
| Date run:  |             |            |             |                        |      |      |                                |                        |        |        |        |
| yyyy-mm-dd   |             |            |             |                        |      |      |                                |                        |        |        |        |
| Title  | Publisher   | Platform   | Journal DOI | Proprietary Identifier | ISBN | ISSN | Page type                      | Reporting Period Total | Jan-11 | Feb-11 | Mar-11 |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Table of Contents              | 218188                 |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Abstracts                      | 155396                 |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | References                     | 13992                  |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text Postscript           | 34826                  |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text Postscript -mobile   | 3287                   |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text PDF                  | 104887                 |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text PDF - mobile         | 6172                   |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text HTML                 | 66000                  |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text HTML - mobile        | 5698                   |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text Other Formats        | 170887                 |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text Other Formats-mobile | 25461                  |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Full-text Total                | 417218                 |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Sectioned HTML                 | 2514                   |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Sectioned HTML-mobile          | 277                    |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Supplementary data set         | 1332                   |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Non-textual resource: audio    | 106                    |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Non-textual resource: image    | 82                     |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Non-textual resource: video    | 158                    |        |        |        |
| Total for all titles   | Publisher X | Platform Z |             |                        |      |      | Non-textual resource: other    | 33                     |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | Table of Contents              | 2214                   |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | Abstracts                      | 3192                   |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | References                     | 1432                   |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | Full-text Postscript           | 1241                   |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | Full-text Postscript -mobile   | 23                     |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | Full-text PDF                  | 1889                   |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | Full-text PDF - mobile         | 207                    |        |        |        |
| Title AA   | Publisher X | Platform Z |             |                        |      |      | Full-text HTML                 | 1285                   |        |        |        |

### Note:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
2. the 'Total for all titles' 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. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. A Title DOI is required for each book or journal listed. This should be provided simply as an identifier value. (If a Title DOI is not available the cell must be left blank).
5. The Proprietary Identifier column must be included, but cells may be left blank if the vendor has no Proprietary Identifier for title.
6. The hyphen within the Print and Online ISSN must be included, as indicated in the example above.

- Journals for which the number of full-text article requests is zero in every month should be included in Title Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Section 7 below). Books for which the number of successful Section Requests is zero should not be reported.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

### Title Report 3 Mobile: Number of Successful Item Requests by Month, Title and Page Type

(formatted for normal browsers/delivered to mobile devices AND formatted for mobile devices/delivered to mobile devices)

| Title                | Publisher   | Platform   | Title DOI | Proprietary Identifier | ISBN | ISSN | Page type                        | Reporting Period Total | Jan-11 | Feb-11 | Mar-11 |
|----------------------|-------------|------------|-----------|------------------------|------|------|----------------------------------|------------------------|--------|--------|--------|
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Table of Contents                | 33195                  |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Abstracts                        | 95396                  |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | References                       | 13963                  |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text Postscript             | 34626                  |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text Postscript - mobile    | 2327                   |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text PDF                    | 104877                 |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text PDF - mobile           | 6172                   |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text HTML                   | 60000                  |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text HTML - mobile          | 9630                   |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text Other Formats          | 170077                 |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text Other Formats - mobile | 26411                  |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Full-text Total                  | 41720                  |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Sectioned HTML                   | 454                    |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Sectioned HTML - mobile          | 277                    |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Supplementary data set           | 1030                   |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: audio       | 46                     |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: image       | 82                     |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: video       | 68                     |        |        |        |
| Total for all titles | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: other       | 33                     |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Table of Contents                | 224                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Abstracts                        | 762                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | References                       | 432                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text Postscript             | 1941                   |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text Postscript - mobile    | 323                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text PDF                    | 9889                   |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text PDF - mobile           | 297                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text HTML                   | 525                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text HTML - mobile          | 60                     |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text Other Formats          | 281                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text Other Formats - mobile | 380                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Full-text Total                  | 906                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Sectioned HTML                   | 274                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Sectioned HTML - mobile          | 208                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Supplementary data set           | 123                    |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: audio       | 31                     |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: image       | 28                     |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: video       | 66                     |        |        |        |
| Title AA             | Publisher X | Platform Z |           |                        |      |      | Non-serial resource: other       | 16                     |        |        |        |
| Title BB             | Publisher X | Platform Z |           |                        |      |      | Table of Contents                | 885                    |        |        |        |
| Title BB             | Publisher X | Platform Z |           |                        |      |      | Abstracts                        | 546                    |        |        |        |

Note:

- For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'

2. the 'Total for all titles' 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. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. A Title DOI is required for each book or journal listed. This should be provided simply as an identifier value. (If a Title DOI is not available the cell must be left blank).
5. The Proprietary Identifier field is column must be included, but cells may be left blank if the vendor has no Proprietary Identifier for a title.
6. The hyphen within the Print and Online ISSNs must be included, as indicated in the example above.
7. Journals for which the number of full-text article requests is zero in every month should be included in Title Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Section 7 below). Books for which the number of successful Section Requests is zero should not be reported.

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

## Multimedia Reports

### Multimedia Report 2: Number of Successful Full Multimedia Content Unit Requests by Month, Collection and Item Type

| Multimedia Report 2 (R4) Number of Successful Full Multimedia Content Unit Requests by Month, Collection and Item Type |                  |            |                             |                        |          |          |          |
|--|------------------|------------|-----------------------------|------------------------|----------|----------|----------|
| <b>&lt;Customer&gt;</b>  |                  |            |                             |                        |          |          |          |
| <b>&lt;Institutional Identifier&gt;</b>  |                  |            |                             |                        |          |          |          |
| <b>Period covered by Report:</b>   |                  |            |                             |                        |          |          |          |
| <b>yyyy-mm-dd to yyyy-mm-dd</b>  |                  |            |                             |                        |          |          |          |
| <b>Date run:</b>   |                  |            |                             |                        |          |          |          |
| <b>yyyy-mm-dd</b>  |                  |            |                             |                        |          |          |          |
|  | Content Provider | Platform   | Item Type                   | Reporting Period Total | Jan-2011 | Feb-2011 | Mar-2011 |
| Total for all Collections  | Provider X       | Platform Z | Non-textual resource: audio | 1385                   | 364      | 538      | 483      |
| Total for all Collections  | Provider X       | Platform Z | Non-textual resource: image | 1666                   | 602      | 688      | 376      |
| Total for all Collections  | Provider X       | Platform Z | Non-textual resource: video | 3010                   | 1092     | 1143     | 775      |
| Total for all Collections  | Provider X       | Platform Z | Non-textual resource: other | 692                    | 222      | 265      | 205      |
| Collection AA  | Provider X       | Platform Z | Non-textual resource: audio | 116                    | 32       | 41       | 43       |
| Collection AA  | Provider X       | Platform Z | Non-textual resource: image | 123                    | 56       | 23       | 44       |
| Collection AA  | Provider X       | Platform Z | Non-textual resource: video | 466                    | 213      | 155      | 98       |
| Collection AA  | Provider X       | Platform Z | Non-textual resource: other | 93                     | 21       | 32       | 40       |
| Collection BB  | Provider X       | Platform Z | Non-textual resource: audio | 1269                   | 332      | 497      | 440      |
| Collection BB  | Provider X       | Platform Z | Non-textual resource: image | 1543                   | 546      | 665      | 332      |
| Collection BB  | Provider X       | Platform z | Non-textual resource: video | 2544                   | 879      | 988      | 677      |
| Collection BB  | Provider X       | Platform Z | Non-textual resource: other | 599                    | 201      | 233      | 165      |

#### Note:

1. Multimedia Report 2 is designed to enable those vendors that wish to report usage of multimedia items at a more granular level to do so. It allows the vendor to break down usage by multimedia item type.
2. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'NorthEast Research Libraries Consortium', 'Yale University'
3. 'Institutional Identifier' is an optional field until the standard for this identifier being developed by the NISO Institutional Identifiers Working Group is available for implementation.
4. For guidance on Data Display Rules, see Journal Report 1

This report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Appendix A. XML Schema: <http://www.niso.org/schemas/sushi/#counter>

## Appendix J: List of Known Federated Search Engines

|                   |                    |
|-------------------|--------------------|
| AGENTPORT-SCOCIT  | NJIT-SCOCIT        |
| AGENTPORT-SDICIT  | NRLNAVY-SCOCIT     |
| AHMKEYS-SCOCIT    | OCLCPICAZ2-SCOCIT  |
| AHMKEYS-SCOFUL    | OCLCPICAZ2-SDICIT  |
| ARCHIMINC-SCOCIT  | OOIPSDWID-SDICIT   |
| ARCHIMINC-SDICIT  | POTIRORDY-SCOCIT   |
| CITAVI-SCOCIT     | POTIRORDY-SDICIT   |
| CITAVI-SDICIT     | QES-SCOCIT         |
| COSMADRALI-SCOCIT | QES-SDICIT         |
| COSMADRALI-SDICIT | QINETIQ-SCOCIT     |
| DEEPEX-SCOCIT     | RIGHTS-SDIABS      |
| DEEPEX-SDIABS     | RITENSE-SCOCIT     |
| DEEPEX-SDICIT     | SERSOL-SCOCIT      |
| EDINGET-SCOCIT    | SERSOL-SDICIT      |
| EDINGET-SDICIT    | SYSONEMCKIN-SCOFUL |
| ENCOMP-SCOCIT     | SYSONEMCKIN-SDIABS |
| ENCOMP-SDIABS     | TDNETDF-SCOCIT     |
| ENCOMP-SDICIT     | TDNETDF-SDICIT     |
| GROGRO-SDICIT     | TDNSRCHR-SCOCIT    |
| HENKINTRA-SCOCIT  | TDNSRCHR-SDICIT    |
| INERAEX-SCOCIT    | UAG-SCOCIT         |
| INTELLIFED-SCOCIT | UMIARERES-SCOCIT   |
| INTELLIFED-SDICIT | UWASOCR-SCOCIT     |
| MEKPAPERS-SCOCIT  | UWASOCR-SCOFUL     |
| MEKPAPERS-SDICIT  | VSPACES-SCOCIT     |
| METALIB-SCOCIT    | VSPACES-SDICIT     |
| METALIB-SDICIT    | WEBFEAT-SCOCIT     |
| MUSESEARCH-SCOCIT | WEBFEAT-SDICIT     |
| MUSESEARCH-SDICIT |                    |

Note:

1. The above list is for guidance only
2. Usage driven by the above federated search engines should be reported separately as specified in Database Report 1 and Database Report 3



## **Appendix K: Text and data mining usage reports**

### **Principles**

Usage associated with text and data mining (TDM) activity should not be reported in JR1, JR1GOA, DB1, BR7, etc

COUNTER does not record TDM itself as most of this activity takes place after an article has been downloaded. All we can do is track the count of articles downloaded for the purposes of text mining

usage associated with TDM activity shall be reported in a set of new COUNTER report covering text mining activity. TDM activity shall be regarded as malicious and shall be discounted unless there is in place a prior agreement between the user and the source to allow it .

### **Definition of text and data mining (TDM)**

Text and data mining (TDM) is a computational process whereby text or datasets are crawled by software that recognizes entities, relationships and actions. (STM Publishers)(1,2)

TDM does NOT include: straightforward information retrieval , straightforward information extraction, abstracting and summarising activity, automated translation and summarising, query-response systems.

A key feature of TDM is the discovery of unknown associations based on categories that will be revealed as a result of computational and linguistic analytical tools.

### **New Reports to cover usage associated with TDM activity**

Usage associated with TDM events may be recorded and reported in the following new Text and Data Mining Reports:

- TDMJR1
- TDMJR3
- TDMDB1

- TDMBR7
- TDMMM1

Excel examples of the above reports may be found in Appendix K (a) attached.

*[Archival note: The TDM sample Excel files became corrupted between publication and creation of this accessible version of Release 4.]*

## **Tracking TDM activity**

TDM activity will be tracked according to a method appropriate to the publisher, such as:

- Special API used for the purpose
- Specific IP address/es registered for TDM purposes
- Useragent of the requesting application

## **5. References**

1. STM Publishers statement of Text and Data Mining (2012):  
[http://www.stm-assoc.org/2012\\_03\\_15\\_STM\\_Summary\\_Statement\\_Text\\_Data\\_Mining\\_final.pdf](http://www.stm-assoc.org/2012_03_15_STM_Summary_Statement_Text_Data_Mining_final.pdf)
  2. Text Mining and Scholarly Publishing, Publishing Research Consortium (2013):  
[file:///C:/Users/Peter/Downloads/PRCTextMiningandScholarlyPublishinFeb2013.p df](file:///C:/Users/Peter/Downloads/PRCTextMiningandScholarlyPublishinFeb2013.pdf)
-

# Appendix L: New Book Report BR7

## Background and overview

Following consultation undertaken with vendors, publishers and librarians, COUNTER has created a new optional report, BR7 for recording the usage of e-books.

## The purpose of this report

This new report will reconcile BR1 and BR2, allowing for comparable usage of e-books regardless of the hosting site and unit of delivery by providing a count, by title, of unique accesses to an e-book during a session. Regardless of how many segments (e.g. pages or chapters or the entire e-book) a user downloaded during a session, the count for a given e-book will only increment by one. To enable this each title must be uniquely identifiable with an identifier, such as a Book DOI.

An explanation of the new report and an Excel example below is for visualization purposes.

Book Report 7: Number of Successful Unique Title Requests by Month and Title in a Session

|    | A                           | B   | C               | D               | E                             | F                         | G                              | H           | I                             | J               | K               | L               |
|----|-----------------------------|---|-----------------|-----------------|-------------------------------|---------------------------|--------------------------------|-------------|-------------------------------|-----------------|-----------------|-----------------|
| 1  | <b>Book Report 7 (R4)</b>   | <b>Number of Successful Unique Title Requests by Month and Title in a Session</b> |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
| 2  | <Customer>                  |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
| 3  | <Institutional Identifier>  |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
| 4  | Period covered by Report:   |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
| 5  | yyyy-mm-dd to yyyy-mm-dd    |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
| 6  | Date run:                   |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
| 7  | yyyy-mm-dd                  |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
|    |                             | <b>Publisher</b>  | <b>Platform</b> | <b>Book DOI</b> | <b>Proprietary Identifier</b> | <b>ISBN print edition</b> | <b>ISBN electronic edition</b> | <b>ISSN</b> | <b>Reporting Period Total</b> | <b>Jan-2014</b> | <b>Feb-2014</b> | <b>Mar-2014</b> |
| 8  |                             |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |
| 9  | <b>Total for all titles</b> |   |                 |                 |                               |                           |                                |             | 721                           | 245             | 203             | 273             |
| 10 | Title AA                    | Publisher X   | Platform Z      |                 |                               | 978-1-84448-092-0         | 978-1-84448-096-0              |             | 182                           | 45              | 42              | 95              |
| 11 | Title BB                    | Publisher X   | Platform Z      |                 |                               | 978-1-84448-093-0         | 978-1-84448-097-0              | 0317-8471   | 334                           | 118             | 101             | 115             |
| 12 | Title CC                    | Publisher Y   | Platform Z      |                 |                               |                           | 978-1-84448-098-0              |             | 41                            | 15              | 4               | 22              |
| 13 | Title DD                    | Publisher Y   | Platform Z      |                 |                               |                           | 978-1-84448-099-0              | 2049-3630   | 164                           | 67              | 56              | 41              |
| 14 |                             |   |                 |                 |                               |                           |                                |             |                               |                 |                 |                 |

### NOTES:

1. For 'Customer' specify, for example, the organizational level to which the usage reports refer: e.g. 'Harvard University', 'Department of Chemistry'
2. The ISNI identifier must be used for the 'Institutional Identifier'

3. An e-book DOI is required for every title on the list, if a DOI is available. This should be provided simply as an identifier value. (If a Book DOI is not available, the cell must be left blank).
4. The Proprietary Identifier column must be included, but cells may be left blank if the vendor has no Proprietary Identifier for a book
5. e-books for which the number of title requests is zero in every month should not be included in Book Report 7
6. For guidance on Data Display Rules, see Journal Report 1
7. It is mandatory to provide values for both eISBN and pISBN when available (leave blank if not available).
8. Titles with zero usage are to be excluded from this report (see "Note on zero usage" below).

The reports will also be available in XML and will be retrievable using the SUSHI protocol – the COUNTER XML schemas on the NISO SUSHI website at:

<http://www.niso.org/schemas/sushi/#counter>.

## **Session definitions and guidance**

A session will be determined either by:

- A session ID available in the weblogs, when such an ID is available in the logs and reliably represents an individual user's session on the site, or
- The combination of site+IP+user agent as a surrogate for the session ID

When assessing logs from a content site, for a user-session, a single Title View represents a series of one or more download events where those download events occur with a timespan of less than 30 minutes between download events. When the timespan between subsequent download events exceeds 30 minutes, the Title View count is incremented.

If two download events for the same book within the same user-session happen less than 30 minutes apart, disregard the first event and use the later event when looking for subsequent events.

## **Note on zero usage**

Many librarians requested this new report to include titles with zero usage. After consultation, this proves not to be practical for the following reasons. The first is that the reports in Excel format would be unmanageable due to size and complexity and secondly, since the set of e-books titles taken by each library is unique, it is difficult and in some cases impossible for the provider's reporting service to know which e-books a given institution is entitled. Note that BR1, BR2, and BR3 already exclude titles with zero usage.

## **Audit requirements**

This report is optional for Release 4 of the COUNTER Code of Practice, which means that there is no mandatory requirement for audit.

However, we encourage e-book providers to implement it.

We would also like publishers and vendors to report implementation of the report and we will list their compliance on the COUNTER website under "Optional New Book Reports provided but not audited". Of course publishers and vendors may choose to have these reports audited, in which case we will list their compliance on the under "Optional New Book Reports and audited".

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## Appendix M: Provider Discovery Reports

### The purpose of these report

Many librarians view effective content discovery by their users as one of the most important areas of concern for their libraries. To that end, they are turning to discovery solutions that provide users with a single interface from which to access all of the resources curated by their libraries. It is therefore to the advantage of publishers and other content providers to contribute metadata to these discovery services to ensure that users find the content they. However, with a discovery service, the publisher or content provider is no longer in control of the search experience, and there can be legitimate concerns about how effective their metadata contribution is. Are users finding their content? Are they clicking the links? If the metadata provided is restricted to just licensed institutions, are these and only these institutions gaining access?

To help answer questions like this, COUNTER, with input from NISO's Open Discovery Initiative (ODI), has developed a new series of reports that will offer content providers the necessary insights into how their data is being used – insights that will help them manage their relationships with discovery partners and optimize the effectiveness of their data contributions.

The new reports parallel existing COUNTER reports on journals, books, databases and multimedia collections. The main difference is that instead of reporting on usage for all content by one customer, the Provider Discovery reports provide usage on one provider's content by all customers, with columns showing usage by individual customer.

### Examples of the Provider Discovery Reports

Examples of these new reports are provided Appendix N and below.

#### **Publisher Discovery Book Report: Online Service Book Activity by Month, Title and Customer**

This report is a tool to understand the effectiveness of the book metadata they provide to a discovery vendor's platform or other online service. The following metric types will be provided by accessing customer and book:

- Book Views\*
- Chapter Views\*
- Entry Views\*
- Linkouts – Publisher Site
- Linkouts – Link Resolver
- Record Views
- Result Clicks

\* Book, Chapter and Entry View metric types will only be provided when the publisher also provides the full text that is hosted on and accessed from the online service.

| Provider Discovery Book Report 8 (R4)                     |             |                      |                 |          |                        |           |           |                        |                           |               |                           |                        |          |          |          |
|---|-------------|----------------------|-----------------|----------|------------------------|-----------|-----------|------------------------|---------------------------|---------------|---------------------------|------------------------|----------|----------|----------|
| Online Service Book Activity by Month, Title and Customer |             |                      |                 |          |                        |           |           |                        |                           |               |                           |                        |          |          |          |
| -Provider Name-   |             |                      |                 |          |                        |           |           |                        |                           |               |                           |                        |          |          |          |
| Period covered by report:                                 |             |                      |                 |          |                        |           |           |                        |                           |               |                           |                        |          |          |          |
| 2014-01-01 to 2014-08-30                                  |             |                      |                 |          |                        |           |           |                        |                           |               |                           |                        |          |          |          |
| Date Run:   |             |                      |                 |          |                        |           |           |                        |                           |               |                           |                        |          |          |          |
| 2014-09-14  |             |                      |                 |          |                        |           |           |                        |                           |               |                           |                        |          |          |          |
| Title   | Publisher   | Publisher Identifier | Platform        | Book DOI | Proprietary Identifier | ISBN      | ISSN      | Customer ID (Standard) | Customer ID (Proprietary) | Customer Name | User Activity             | Reporting Period Total | Jan-2014 | Feb-2014 | Mar-2014 |
| Book 1 (full text by chapters)                            | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1111-2222 | 1111-2232 | isni:1-000-1           | custA                     | Institution A | Book Views                | 629                    | 82       | 83       | 77       |
| Book 1 (full text by chapters)                            | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1111-2222 | 1111-2232 | isni:1-000-1           | custA                     | Institution A | Chapter Views             | 1541                   | 201      | 203      | 189      |
| Book 1 (full text by chapters)                            | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1111-2222 | 1111-2232 | isni:1-000-1           | custA                     | Institution A | Entry Views               |                        |          |          |          |
| Book 1 (full text by chapters)                            | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1111-2222 | 1111-2232 | isni:1-000-1           | custA                     | Institution A | Linkouts - Publisher Site | 745                    | 45       | 81       | 75       |
| Book 1 (full text by chapters)                            | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1111-2222 | 1111-2232 | isni:1-000-1           | custA                     | Institution A | Linkouts - Link Resolver  | 446                    | 52       | 64       | 54       |
| Book 1 (full text by chapters)                            | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1111-2222 | 1111-2232 | isni:1-000-1           | custA                     | Institution A | Record Views              | 2170                   | 283      | 286      | 266      |
| Book 1 (full text by chapters)                            | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1111-2222 | 1111-2232 | isni:1-000-1           | custA                     | Institution A | Result Clicks             | 4115                   | 536      | 543      | 504      |
| Book 2 (full text by whole book)                          | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Book Views                | 465                    | 61       | 61       | 57       |
| Book 2 (full text by whole book)                          | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Linkouts - Publisher Site | 551                    | 33       | 60       | 56       |
| Book 2 (full text by whole book)                          | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Linkouts - Link Resolver  | 330                    | 38       | 47       | 40       |
| Book 2 (full text by whole book)                          | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Record Views              | 1606                   | 209      | 212      | 197      |
| Book 2 (full text by whole book)                          | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Result Clicks             | 3045                   | 397      | 402      | 373      |
| Book 3 (metadata only)                                    | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Linkouts - Publisher Site | 447                    | 27       | 49       | 45       |
| Book 3 (metadata only)                                    | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Linkouts - Link Resolver  | 267                    | 31       | 38       | 32       |
| Book 3 (metadata only)                                    | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Record Views              | 1301                   | 170      | 172      | 159      |
| Book 3 (metadata only)                                    | Publisher A | <discoveryHost>      | <discoveryHost> |          |                        | 1221-2222 | 1221-2232 | isni:2-000-2           | custB                     | Institution B | Result Clicks             | 2466                   | 322      | 325      | 302      |

## Publisher Discovery Database Report 1: Online Service Database Activity by Month, Title and Customer

This report parallels COUNTER Database Report 1 and offers database providers a tool to understand the effectiveness of their database on a particular discovery vendor's platform or other online service. The breakdown by customer also allows the database vendor to verify if use is limited to subscribing institutions.

The following metric types will be provided by accessing customer and book:

- Searches – Regular
- Searches – Federated and Automated
- Record Views
- Result Clicks

| Provider Discovery Database Report 1 (R4) |  |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
|---|--|-----------|----------------------|-----------------|------------------------|---------------------------|---------------|-------------------------------|------------------------|----------|----------|----------|
| 1   | Provider Discovery Database Report 1 (R4) Online Service Database Activity by Month, Database and Customer |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
| 2   | <Provider Name>  |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
| 3   |  |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
| 4   | Period covered by report:  |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
| 5   | 2014-01-01 to 2014-08-30   |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
| 6   | Date Run:  |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
| 7   | 2015-02-15   |           |                      |                 |                        |                           |               |                               |                        |          |          |          |
| 8   | Database   | Publisher | Publisher Identifier | Platform        | Customer ID (Standard) | Customer ID (Proprietary) | Customer Name | User Activity                 | Reporting Period Total | Jan-2014 | Feb-2014 | Mar-2014 |
| 9   | Academic Search Complete   | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Regular Searches              | 0                      | 0        | 0        | 0        |
| 10  | Academic Search Complete   | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Searches-federated and automa | 17509                  | 2063     | 2268     | 248      |
| 11  | Academic Search Complete   | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Result Clicks                 | 19040                  | 2269     | 2495     | 273      |
| 12  | Academic Search Complete   | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Record Views                  | 12982                  | 1547     | 1701     | 186      |
| 13  | Art & Architecture Complete  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Regular Searches              | 0                      | 0        | 0        | 0        |
| 14  | Art & Architecture Complete  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Searches-federated and automa | 8095                   | 924      | 1103     | 129      |
| 15  | Art & Architecture Complete  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Result Clicks                 | 1214                   | 139      | 165      | 19       |
| 16  | Art & Architecture Complete  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Record Views                  | 567                    | 65       | 77       | 9        |
| 17  | Library, Information Science & Technology  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Regular Searches              | 0                      | 0        | 0        | 0        |
| 18  | Library, Information Science & Technology  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Searches-federated and automa | 9509                   | 1063     | 1268     | 148      |
| 19  | Library, Information Science & Technology  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Result Clicks                 | 372                    | 43       | 51       | 5        |
| 20  | Library, Information Science & Technology  | EBSCO     |                      | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | Record Views                  | 121                    | 14       | 16       | 1        |
| 21  |  |           |                      |                 |                        |                           |               |                               |                        |          |          |          |

## Publisher Discovery Journal Report 3: Online Service Journal Activity by Month, Title and Customer

This report parallels COUNTER Journal Report 3 and offers publishers a tool to understand the effectiveness of their journal metadata on a particular discovery vendor's platform or other online service. The following metric types will be provided by accessing customer and book:

- Full Text Requests\*
- Linkouts – Publisher Site
- Linkouts – Link Resolver
- Record Views
- Result Clicks

\* Full Text Requests metric type will only be provided when the publisher also provides the full text that is hosted on and accessed from the online service.

| Provider Discovery Journal Report 3 (R4) |   |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
|--|---|-------------|----------------------|-----------------|-------------|------------------------|------------|-------------|------------------------|---------------------------|---------------|---------------------------|------------------------|----------|----------|----------|
| 1  | Provider Discovery Journal Report 3 (R4) Online Service Journal Activity by Month, Title and Customer |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
| 2  | <Provider Name>   |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
| 3  |   |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
| 4  | Period covered by report:   |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
| 5  | 2014-01-01 to 2014-08-30  |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
| 6  | Date Run:   |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
| 7  | 2014-09-14  |             |                      |                 |             |                        |            |             |                        |                           |               |                           |                        |          |          |          |
| 8  | Journal   | Publisher   | Publisher Identifier | Platform        | Journal DOI | Proprietary Identifier | Print ISSN | Online ISSN | Customer ID (Standard) | Customer ID (Proprietary) | Customer Name | User Activity             | Reporting Period Total | Jan-2014 | Feb-2014 | Mar-2014 |
| 9  | Total for all journals  |             |                      | <discoveryHost> |             |                        |            |             |                        |                           |               | Full Text Requests        | 1282                   | 167      | 169      | 1        |
| 10                                       | Total for all journals  |             |                      | <discoveryHost> |             |                        |            |             |                        |                           |               | Linkouts - Publisher Site | 1514                   | 93       | 165      | 1        |
| 11                                       | Total for all journals  |             |                      | <discoveryHost> |             |                        |            |             |                        |                           |               | Linkouts - Link Resolver  | 916                    | 107      | 131      | 1        |
| 12                                       | Total for all journals  |             |                      | <discoveryHost> |             |                        |            |             |                        |                           |               | Record Views              | 106                    | 7        | 13       | 1        |
| 13                                       | Total for all journals  |             |                      | <discoveryHost> |             |                        |            |             |                        |                           |               | Result Clicks             | 52                     | 5        | 21       | 1        |
| 14                                       | Journal 1   | Publisher A |                      | <discoveryHost> |             |                        | 1111-2222  | 1111-2232   | isni:1-000-1           | CustA                     | Institution A | Full Text Requests        | 629                    | 82       | 83       | 1        |
| 15                                       | Journal 1   | Publisher A |                      | <discoveryHost> |             |                        | 1111-2222  | 1111-2232   | isni:1-000-1           | CustA                     | Institution A | Linkouts - Publisher Site | 745                    | 45       | 81       | 1        |
| 16                                       | Journal 1   | Publisher A |                      | <discoveryHost> |             |                        | 1111-2222  | 1111-2232   | isni:1-000-1           | CustA                     | Institution A | Linkouts - Link Resolver  | 446                    | 52       | 64       | 1        |
| 17                                       | Journal 1   | Publisher A |                      | <discoveryHost> |             |                        | 1111-2222  | 1111-2232   | isni:1-000-1           | CustA                     | Institution A | Record Views              | 41                     | 2        | 5        | 1        |
| 18                                       | Journal 1   | Publisher A |                      | <discoveryHost> |             |                        | 1111-2222  | 1111-2232   | isni:1-000-1           | CustA                     | Institution A | Result Clicks             | 14                     | 1        | 9        | 1        |
| 19                                       | Journal 2   | Publisher A |                      | <discoveryHost> |             |                        | 1221-2222  | 1221-2232   | isni:2-000-2           | CustB                     | Institution B | Full Text Requests        | 653                    | 85       | 86       | 1        |
| 20                                       | Journal 2   | Publisher A |                      | <discoveryHost> |             |                        | 1221-2222  | 1221-2232   | isni:2-000-2           | CustB                     | Institution B | Linkouts - Publisher Site | 769                    | 48       | 84       | 1        |
| 21                                       | Journal 2   | Publisher A |                      | <discoveryHost> |             |                        | 1221-2222  | 1221-2232   | isni:2-000-2           | CustB                     | Institution B | Linkouts - Link Resolver  | 470                    | 55       | 67       | 1        |
| 22                                       | Journal 2   | Publisher A |                      | <discoveryHost> |             |                        | 1221-2222  | 1221-2232   | isni:2-000-2           | CustB                     | Institution B | Record Views              | 65                     | 5        | 8        | 1        |
| 23                                       | Journal 2   | Publisher A |                      | <discoveryHost> |             |                        | 1221-2222  | 1221-2232   | isni:2-000-2           | CustB                     | Institution B | Result Clicks             | 38                     | 4        | 12       | 1        |



## Publisher Discovery Multimedia Report 1: Online Service Multimedia Collection Activity by Month, Title and Customer

This report parallels COUNTER Multimedia Report 1 and offers multimedia collection providers a tool to understand the effectiveness of their collection on a particular discovery vendor's platform or other online service. The breakdown by customer also allows the database vendor to verify that use is limited to subscribing institutions. The report measures the total number of accesses to multimedia items by collection and customer.

| 1  | Provider Discovery Multimedia Report 1 (R4)                                   |                  |                 |                        |                           |               |                        |          |          |          |        |          |          |          |          |
|----|---|------------------|-----------------|------------------------|---------------------------|---------------|------------------------|----------|----------|----------|--------|----------|----------|----------|----------|
| 2  | Online Service Multimedia Collection Activity by Month, Database and Customer |                  |                 |                        |                           |               |                        |          |          |          |        |          |          |          |          |
| 3  | <Provider Name>   |                  |                 |                        |                           |               |                        |          |          |          |        |          |          |          |          |
| 4  | Period covered by report:   |                  |                 |                        |                           |               |                        |          |          |          |        |          |          |          |          |
| 5  | 2014-01-01 to 2014-08-30  |                  |                 |                        |                           |               |                        |          |          |          |        |          |          |          |          |
| 6  | Date Run:   |                  |                 |                        |                           |               |                        |          |          |          |        |          |          |          |          |
| 7  | 2015-02-15  |                  |                 |                        |                           |               |                        |          |          |          |        |          |          |          |          |
| 8  | Database  | Content Provider | Platform        | Customer ID (Standard) | Customer ID (Proprietary) | Customer Name | Reporting Period Total | Jan-2014 | Feb-2014 | Mar-2014 | Apr-14 | May-2014 | Jun-2014 | Jul-2014 | Aug-2014 |
| 9  | Collection 1  | Provider X       | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | 11995                  | 1429     | 1572     | 1722     | 1741   | 1722     | 1460     | 1189     | 1161     |
| 10 | Collection 2  | Provider X       | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | 17309                  | 2063     | 2268     | 2485     | 2512   | 2485     | 2106     | 1715     | 1675     |
| 11 | Collection 3  | Provider X       | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | 19040                  | 2269     | 2495     | 2733     | 2763   | 2733     | 2317     | 1887     | 1843     |
| 12 | Collection 4  | Provider X       | <discoveryHost> | isni:1-000-1111        | CustA                     | Customer A    | 12982                  | 1547     | 1701     | 1863     | 1884   | 1863     | 1580     | 1286     | 1256     |

## Delivery of Reports

Due to the size of the reports, SUSHI would be the most practical method for a content provider to harvest these new reports. Excel files would be provided on request and, unlike customer-facing reports, a special interface for content providers is not a requirement of COUNTER.

## Audit requirements

These reports are optional for Release 4 of the COUNTER Code of Practice, which means that there is no mandatory requirement for vendors and publishers to submit it for independent audit.

However, COUNTER is encouraging providers to implement them. COUNTER is also asking publishers and vendors to report implementation of the report and we will list their compliance on the COUNTER website under "Optional Provider Discovery Reports provided but not audited".

COUNTER hopes that these new reports will prove useful and looks forward to your continued feedback.