



**COUNTER
METRICS**

Archival Information

**Code of Practice
Release 2**

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Abstract

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

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

- A new Appendix E, which provides the specifications for the Auditing process that is required of COUNTER compliant vendors.
- A new Appendix G that provides XML DTDs for the usage reports

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Foreword

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

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

The following organizations support COUNTER:

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

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

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

General information

Purpose

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

Scope

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

Application

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

Strategy

COUNTER provides open Codes of Practice that evolve in response to the demands of the international librarian, publishing and intermediary

communities. A conscious decision was taken to limit this Release to providing a set of relatively simple, reliable usage reports for journals and databases. The Code of Practice is kept continually under review and feedback on its scope and application are actively sought from all interested parties. See Section 10 below.

Governance

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

Definitions

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

Versions

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

Auditing and COUNTER compliance

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

Relationship to other standards, protocols and codes

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

Making comments on the Code of Practice

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

Definitions of terms used

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

Table 1. Alphabetical list of definitions of terms relevant to the Release 2 Usage Reports. (This list is extracted from the more comprehensive Glossary of Terms contained in Appendix A)

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

Term	Examples / formats	Definition	Glossary Ref #
Consortium	Ohiolink	The consortium through which the institution or user obtained online access. A consortium is defined by a range of IP addresses that may be in specific groupings (e.g. institutes)	3.3.3
Consortium member	Ohio State University	A university, hospital or other institute that has obtained access for its users to online information resources as part of a consortium. A consortium member is defined by a subset of the Consortium's range of IP addresses.	3.3.4
Customer		An individual or organization that pays a vendor for access to a specified range of the vendor's services and/or content and is subject to terms and conditions agreed with the vendor	3.3.1
Database	Social Science Abstracts	A collection of electronically stored data or unit records (facts, bibliographic data, texts) with a common user interface and software for the retrieval and manipulation of data (NISO)	3.1.1.11
Database record		An individual record in a standard format, the collection of which in a form that can be processed by a computer constitutes a database	3.1.2.7
Full-text article		The complete text, including all references, figures and tables, of an article, plus links to any supplementary material published with it.	3.1.2.6
Gateway	SWETswise, OCLC ECO	An intermediary online service which does not store the items requested by the user, and which either a) refers these requests to a host or vendor site or service from which the items can be downloaded by the user, or b) requests items from the vendor site or service and delivers them to the user within the gateway environment.	3.1.1.8
Host	Ingenta, HighWire	An intermediary online service which stores	3.1.1.7

Usage Reports

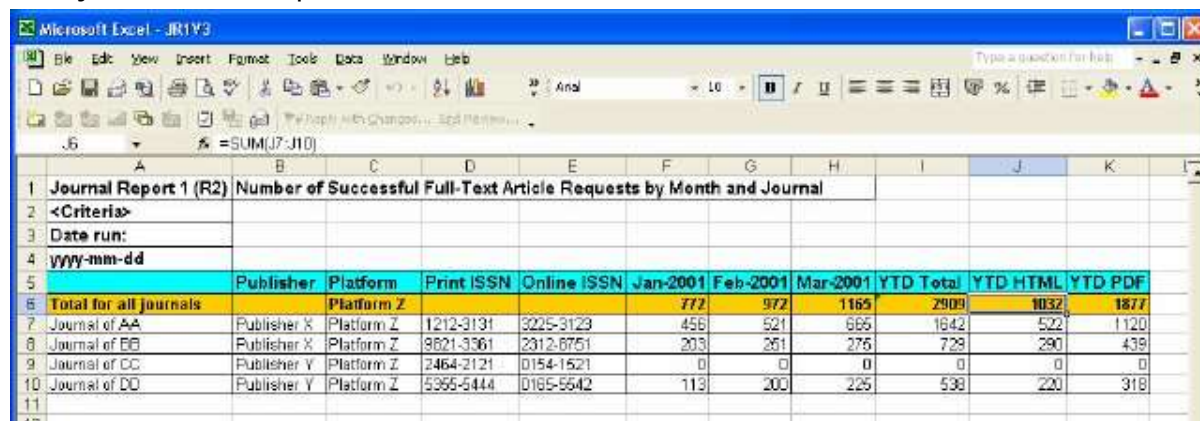
This section lists the COUNTER Usage Reports and specifies the content, format and delivery specifications that these reports must meet to be designated 'COUNTER-Compliant'. For each compliant product vendors must supply the relevant COUNTER-compliant usage reports at no additional charge to customers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

Usage Reports

Examples are provided below of the Usage Reports in Excel format, together with Display Rules. (See Section 4.3 below for other report delivery options). Reports must comply exactly with the formats specified in order to be COUNTER compliant.

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

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



	Publisher	Platform	Print ISSN	Online ISSN	Jan-2001	Feb-2001	Mar-2001	YTD Total	YTD HTML	YTD PDF
Total for all journals					772	972	1165	2909	1032	1877
Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	456	521	665	1642	522	1120
Journal of BB	Publisher X	Platform Z	8621-3361	2312-6751	203	261	276	729	290	439
Journal of CC	Publisher Y	Platform Z	3464-2121	0154-1521	0	0	0	0	0	0
Journal of DD	Publisher Y	Platform Z	5355-5444	0165-5542	113	200	225	538	220	318

Notes:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'
2. the 'Total for all journals' line is provided at the top of the Table to allow it to be stripped out without disrupting the rest of the Table, as the number of journals included may vary from one month to another.

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

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

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

Journal Report 1: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of JR1. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the second column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

- Cell A1 contains the text "Journal Report 1(R2)"
- Cell B1 contains the text "Number of Successful Article Requests by Month and Journal"
- Cell A2 contains the "criteria" as defined in the COP (eg "NorthEast Research Library Consortium" or "Yale University")
- Cell A3 contains the text "Date run:"
- Cell A4 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12".
- Cell A5 is left blank
- Cell B5 contains the text "Publisher"
- Cell C5 contains the text "Platform"
- Cell D5 contains the text "Print ISSN"
- Cell E5 contains the text "Online ISSN"

- Cell F5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"
- Cell G5, H5 etc repeat F5 for each month of data contained in the report, with the same Mmm-yyyy formatting
- Cell I5 (in this example, the column after the last month of data) contains the text "YTD Total".
- Cell J5 (in this example, two columns after the last month of data) contains the text "YTD HTML".
- Cell K5 (in this example, three columns after the last month of data) contains the text "YTD PDF".
- Cell A6 contains the text "Total for all journals"
- Cell B6 contains the name of the publisher/vendor, provided all the journals listed in column A are from the same publisher/vendor. If not, this cell is left blank.
- Cell C6 contains the name of the platform
- Cells D6 and D7 are blank
- Cell A7 down to Cell A[n] contains the name of each journal
- Cell B7 down to Cell B[n] contains the name the publisher of each journal
- Cell C7 down to Cell C[n] contains the name of the platform on which each journal is published
- Cell D7 down to Cell D[n] contains the Print ISSN
- Cell E7 down to Cell E[n] contains the Online ISSN
- Cell F7 down to Cell F[n] contains the number of Full Text Requests Total for that journal in the corresponding month
- Similarly, Cell G7 down to Cell G[n], Cell H7 down to Cell H[n] etc contain the Full Text Requests Total for the corresponding months
- Cell I7 down to Cell I[n] (or whatever column corresponds to the column after the last month of data) contains the number of Full Text Requests Total for that Year To Date - i.e. the sum of Full Text Requests Total for Jan, Feb etc up to and including the last reported month.
- Cell J7 down to Cell J[n] (or whatever column corresponds to the column after the Full Text Requests Total Year To Date) contains the number of Full Text HTML Requests Total for that Year To Date.

- Cell K7 down to Cell K[n] (or whatever column corresponds to the column after the Full Text Requests HTML Year To Date) contains the number of Full Text Requests PDF for that Year To Date.
- Cells F6 across to Cell K6 (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

Note About HTML and PDF Totals:

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

Journal Report 2: Turnaways by Month and Journal

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

	A	B	C	D	E	F	G	H	I	J
1	Journal Report 2 (R2)	Turnaways by Month and Journal								
2	<Criteria>									
3	Date run:									
4	yyyy-mm-dd									
5		Publisher	Platform	Print ISSN	Online ISSN	Page type	Jan-2001	Feb-2001	Mar-2001	YTD Total
6	Total for all journals	Publisher X	Platform Z	1212-3131	3225-3123	Full-text Turnaways	41	60	28	129
7	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text Turnaways	23	40	12	75
8	Journal of BB	Publisher Y	Platform Z	9821-3361	2512-6761	Full-text Turnaways	18	20	16	54
9										
10										
11										

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

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

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

Journal Report 2: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of JR2. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

- Cell A1 contains the text "Journal Report 2 (R2)"
- Cell B1 contains the text "Turnaways by Month and Journal"
- Cell A2 contains the "criteria" as defined in the COP (eg "NorthEast Research Libraries Consortium" or "Yale University")
- Cell A3 contains the text "Date run:"
- Cell A4 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12"
- Cell A5 is left blank
- Cell B5 contains the text "Publisher"
- Cell C5 contains the text "Platform"
- Cell D5 contains the text "Print ISSN"
- Cell E5 contains the text "Online ISSN"
- Cell F5 contains the text "Page type"
- Cell G5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"
- Cell H5, I5 etc repeat G5 for each month of data contained in the report, with the same Mmm-yyyy formatting
- Cell J5 (in this example the column after the last month of data) contains the text "YTD Total".
- Cell A6 contains the text "Total for all journals"
- Cell B6 contains the name of the publisher/vendor if all the journals listed in column A are from the same publisher/vendor. If not, this cell is left blank.

- Cell C6 contains the name of the platform
- Cells D6, E6 and F6 are left blank
- Cell A7 down to Cell A[n] contains the name of each journal
- Cell B7 down to Cell B[n] contains the name of the publisher of each journal
- Cell C7 down to Cell C[n] contains the name of the platform
- Cell D7 down to Cell D[n] contains the Print ISSN
- Cell E7 down to Cell E[n] contains the Online ISSN
- Cell F7 down to Cell F[n] contains the text “Full-text Turnaways”
- Cell G7 down to Cell G[n] contains the Full-text Turnaways Total for that journal in the corresponding months
- Similarly, Cell H7 down to Cell H[n], Cell I7 down to Cell I[n] etc contain the Full-text Turnaways Total for the corresponding months
- Cell J7 down to Cell J[n] (or whatever column corresponds to the column after the last month of data) contains the number of Full-text Turnaways Total for that Year To Date - i.e. the sum of Full-text Turnaways Total for Jan, Feb etc up to and including the last reported month.
- Cells G6 across to Cell J6 (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table

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

	A	B	C	D	E	F	G	H	I	J	K
1	Database Report 1 (R2) Total Searches and Sessions by Month and Database										
2	<Criteria>										
3	Date run:										
4	yyyy-mm-dd										
5		Publisher	Platform		Jan-2001	Feb-2001	Mar-2001	YTD Total			
6	Database AA	Publisher X	Platform Z	Searches run	2322	2520	2742	7584			
7	Database AA	Publisher X	Platform Z	Sessions	1821	1929	2211	5961			
8											
9	Database BB	Publisher Y	Platform Z	Searches run	3456	3210	4459	11125			
10	Database BB	Publisher Y	Platform Z	Sessions	1987	2200	2544	6731			
11											
12											

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

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

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

Database Report 1: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of DB1. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

- Cell A1 contains the text "Database Report 1 (R2)"
- Cell B1 contains the text "Total Searches and Sessions by Month and Database"
- Cell A2 contains the "criteria" as defined in the COP (eg "NorthEast Research Libraries Consortium" or "Yale University")
- Cell A3 contains the text "Date run:"
- Cell A4 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12"
- Cell A5 is left blank
- Cell B5 contains the text "Publisher"
- Cell C5 contains the text "Platform"
- Cell D5 is left blank
- Cell E5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"

- Cell F5, G5 etc repeat E5 for each month of data contained in the report, with the same Mmm-yyyy formatting
- Cell H5 (or whatever column corresponds to the column after the last month of data) contains the text "YTD Total".
- Cell A6 contains the name of Database AA
- Cell B6 contains the name of the publisher
- Cell C6 contains the name of the platform
- Cell D6 contains the text "Searches run"
- Cell E6 contains the number of Searches run for the corresponding month
- Similarly, Cell F6, Cell G6, etc contain the Searches run for the corresponding months
- Cell H6 (or whatever column corresponds to the column after the last month of data) contains the Searches run Total for that Year To Date - i.e. the sum of Searches run for Jan, Feb etc up to and including the last reported month.
- Cell A7 contains the name of Database AA
- Cell B7 contains the name of the publisher
- Cell C7 contains the name of the platform
- Cell D7 contains the text "Sessions"
- Cell E7 contains the number of Sessions for the corresponding month
- Similarly, Cell F7, CellG7, etc contain the Sessions for the corresponding months
- Cell H7 (or whatever column corresponds to the column after the last month of data) contains the Sessions Total for that Year To Date - i.e. the sum of Sessions for Jan, Feb etc up to and including the last reported month.
- Cell A9 contains the name of Database BB
- Cell B9 contains the name of the publisher
- Cell C9 contains the name of the platform
- Cell D9 contains the text "Searches run"
- Cell E9 contains the number of searches run for the corresponding month
- Similarly, Cell F9, Cell G9, etc contain the Searches run for the corresponding months

- Cell H9 (or whatever column corresponds to the column after the last month of data) contains the Searches run Total for that Year To Date - i.e. the sum of Searches run for Jan, Feb etc up to and including the last reported month.
- Cell A10 contains the name of Database BB
- Cell B10 contains the name of the publisher
- Cell C10 contains the name of the platform
- Cell D10 contains the text "Sessions"
- Cell E10 contains the number of Sessions for the corresponding month
- Similarly, Cell F10, CellG10, etc contain the Sessions for the corresponding months
- Cell H10 (or whatever column corresponds to the column after the last month of data) contains the Sessions Total for that Year To Date - i.e. the sum of Sessions for Jan, Feb etc up to and including the last reported month.

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

Database Report 2: Turnaways by Month and Database

	A	B	C	D	E	F	G	H	I	J	K
1	Database Report 2 (R2) Turnaways by Month and Database										
2	<Criteria>										
3	Date run:										
4	yyyy-mm-dd										
5		Publisher	Platform	Page type	Jan-2001	Feb-2001	Mar-2001	YTD Total			
6	Total for all databases				41	60	28	129			
7	Database AA	Publisher X	Platform Z	Database turnaways	23	40	12	75			
8	Database BB	Publisher Y	Platform Z	Database turnaways	18	20	16	54			
9											

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

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

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

Database Report 2: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of DB2. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

- Cell A1 contains the text "Database Report 2 (R2)"
- Cell B1 contains the text "Turnaways by Month and Database"
- Cell A2 contains the "criteria" as defined in the COP (eg "NorthEast Research Libraries Consortium" or "Yale University")
- Cell A3 contains the text "Date run:"
- Cell A4 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12"
- Cell A5 is left blank
- Cell B5 contains the text "Publisher"
- Cell C5 contains the text "Platform"
- Cell D5 contains the text "Page type"
- Cell E5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"
- Cell F5, G5 etc repeat C5 for each month of data contained in the report, with the same Mmm-yyyy formatting
- Cell H5 (in this example, the column after the last month of data) contains the text "YTD Total".
- Cell A6 contains the text "Total for all databases"
- Cells B6, C6 and D6 are left blank
- Cell A7 down to Cell A[n] contains the name of each Database
- Cell B7 down to Cell B[n] contains the name the publisher
- Cell C7 down to Cell C[n] contains the name of the platform
- Cell D7 down to Cell D[n] contains the text "Database turnaways"

- Cell E7 down to Cell E[n] contains the Full-text Turnaways Total for that journal in the corresponding months
- Similarly, Cell F7 down to Cell F[n], Cell G7 down to Cell G[n] etc contain the Full-text Turnaways Total for the corresponding months
- Cell H7 down to Cell H[n] (or whatever column corresponds to the column after the last month of data) contains the number of Database Turnaways Total for that Year To Date - i.e. the sum of Database Turnaways Total for Jan, Feb etc up to and including the last reported month.
- Cells E6 across to Cell H6 (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

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

1	Database Report 3 (R2) Total Searches and Sessions by Month and Service						
2	<Criteria>						
3	Date run:						
4	yyyy-mm-dd						
5	Platform	Jan-2001	Feb-2001	Mar-2001	YTD Total		
6	Total for Service AA	Platform Z	Searches run	16567	18643	20967	56197
7	Total for Service AA	Platform Z	Sessions	12007	12677	13003	37687
8							
9							

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

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

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

Database Report 3: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of DB3. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 2nd column and at the 6th row. In CSV, this would refer to the 2nd field position on the 6th row of the file.

Display/Formatting Rules:

- Cell A1 contains the text "Database Report 3 (R2)"
- Cell B1 contains the text "Total Searches and Sessions by Month and Service."
- Cell A2 contains the "criteria" as defined in the COP (eg "NorthEast Research Libraries Consortium" or "Yale University")
- Cell A3 contains the text "Date run"
- Cell A4 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12"
- Cell A5 is left blank
- Cell B5 contains the text "Platform"
- Cell C5 is left blank
- Cell D5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2005, this cell will contain "Jan-2005"
- Cell E5, F5 etc repeat C5 for each month of data contained in the report, with the same Mmm-yyyy formatting
- Cell G5 (in this example, the column after the last month of data) contains the text "YTD Total".
- Cell A6 contains the name of the service
- Cell B6 contains the name of the platform
- Cell C6 contains the text "Searches run"
- Cell D6 contains the Searches run total for that Service in the corresponding month
- Similarly, Cells E6 to F6, etc contain the Searches run Total for the corresponding months.

- Cell G6 (or whatever column corresponds to the column after the last month of data) contains the Searches run Total for that Year To Date - i.e. the sum of the Searches run Total for Jan, Feb etc up to and including the last reported month.
- Cell A7 contains the name of the service 19. Cell B7 contains the name of the platform 20. Cell C7 contains the text "Sessions"
- Cell D7 contains the Sessions Total for that Service in the corresponding month.
- Similarly, Cells E7 to F7, etc. contain the Sessions Total for the corresponding months
- Cell G7 (or whatever column corresponds to the column after the last month of data) contains the Sessions Total for that Year To Date - i.e. the sum of the Sessions Total for Jan, Feb etc up to and including the last reported month.

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

Customer Categories for Usage Reports

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

The vendor must provide the functionality to create usage reports on different levels for the customer at the Consortium, Consortium Member, Institute or Department level, as specified by the customer.

Usage reports for a consortium

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

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

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

Content of consortium reports

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

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

This report must be formatted exactly as in the model in Section 4.1.1.

Regardless of report format, the report file must include the name of the consortium, the name of the vendor or service, and the standard data elements: journal title, publisher, print ISSN, online ISSN, and monthly and yearly number of successful full-text article requests.

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

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

Report Delivery

Report delivery must conform to the following standards:

- Reports must be provided either as a Microsoft Excel file (see Section 4.1 above), as a CSV file (See Appendix F), or as a file that can be easily imported into Microsoft Excel pivot tables. In addition reports may also be provided in XML format and an XML DTD for such reports is available in Appendix G.
- Each report should reside in a separate file or page to avoid files of unwieldy size

- Reports should be made available on a password-controlled website (accompanied by an e-mail alert when data is updated). Access to consortia level reports must be through the same user id and password for all consortium members. (This user id and password must be different from those used for administrative purposes for each institution.)
- Reports must be readily available
- Reports must be provided monthly
- Data must be updated within four weeks of the end of the reporting period
- All of last calendar year's data and this calendar year's to date must be supplied

Data Processing

Usage data collected by vendors/intermediaries for the usage reports to be sent to customers should meet the basic requirement that only intended usage is recorded and that all requests that are not intended by the user are removed.

Because the way usage records are generated can differ across platforms, it is impractical to describe all the possible filters used to clean up the data.

This Code of Practice, therefore, specifies only the requirements to be met by the data to be used for building the reports.

Usage data can be generated by the web server holding the content (logfiles) or by storing the usage information in so-called 'key-events' at content holding databases.

Requirements

1. 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.)

2. Records generated by the server together with the requested page (e.g. images, gif's, style sheets (.css)) should be ignored.
3. 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:
 - a. where only the IP address of a user is logged that IP should be taken as the field to trace double-clicks
 - b. when a session-cookie is implemented and logged, the session-cookie should be used to trace the double-clicks.
 - c. when user-cookies are available and logged, the user-cookie should be used to trace double-clicks
 - d. when the username of a registered user is logged, this username should be used to trace double-clicks.

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

4. The downloading and rendering of a PDF takes longer than the rendering of an HTML page. Therefore requests by one and the same IP/username/session- or user cookie for one and the same pdf should be counted as a single request if these multiple requests occur within a 30 seconds time window. These multiple requests may also be triggered by pressing a refresh or back button on the desktop by the user.
5. 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).

Auditing

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

Compliance

Timetable and procedure

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

Applications for COUNTER-compliant status

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

The signed declarations should be sent to the COUNTER office by mail or by Fax:

Postal address COUNTER PO Box 23544, Edinburgh EH3 6YY, UK

Fax Number +44 (0)131 558 8478

Licence agreements

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

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

Aggregators, gateways and hosts

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

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

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

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

			customer is the responsibility of the Gateway.
Referral to an aggregator or gateway	One of Vendor, Aggregator or Gateway		In this case an index or abstract service refers the customer to the gateway for full-text. In this case the full-text is delivered according to one of scenarios listed above, and the recording and supplying of usage statistics to the customer is as specified in each of these cases.

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, December 2001)

Institutional or Consortia Confidentiality

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

References to other standards, protocols and codes of practice

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

- ARL New Measures Initiative. This has been set up in response to two needs: increasing demand for libraries to demonstrate outcomes/impacts in areas important to the institution, and increasing pressure to maximise

resources. Of particular interest is the work associated with the E-metrics portion of this initiative, which is an effort to explore the feasibility of defining and collecting data on the use and value of electronic resources. This sets a useful context for COUNTER. Further information on the ARL E-metrics project can be found at

www.arl.org/stats/newmeas/newmeas.html

- e-measures project: University of Central England, Centre for Information Research. This project is designed to support the management of electronic information services in UK higher education institutes. Its objectives are to develop a new set of performance measures for electronic information sources and to pilot these with a view to establishing a new set of standard performance measures. Further information on e-measures can be found at www.cie.uce.ac.uk/cirt/emeasures/index.htm
- ICOLC Guidelines for Statistical Measures of usage of Web-based Information
- Resources. The International Coalition of Library Consortia (ICOLC) has developed a set of guidelines, revised in 2001, which specify a set of minimum requirements for usage data, and also provide guidance on privacy, confidentiality, access, delivery and report format. The ICOLC Guidelines are particularly relevant to COUNTER. Additional information may be found at www.library.yale.edu/consortia/2001webstats.html
- NISO Forum on Performance Measures and Statistics for Libraries and NISO Standard Z39.7. Aspects of a number of NISO standards are relevant to COUNTER. For further information, see www.niso.org.

Governance of COUNTER

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

delegated by the Executive Committee to the Project Director, who is responsible for the day-to-day management of COUNTER. (See Appendix C)

Maintenance and development of the COUNTER Code of Practice

The Executive Committee of COUNTER has overall responsibility for the development and maintenance of the Code of Practice. New releases will be made no more than once per annum.

Each new Release will be made openly available in draft form on the COUNTER website for comment before it is finalised.

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

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

Appendix A: Glossary of Terms

This Glossary lists the terms relevant to the COUNTER Code of Practice, provides a definition of each term, along with examples, where appropriate. Those definitions specifically used in this Code of Practice have been extracted and are listed in Table 1 in Section 3 of the Code of Practice itself.

For convenience, the terms listed are divided into the following broad categories: Page views, session data and market elements.

Page views

#	Term	Examples/formats	Definition
3.1.1	Bibliographic data		
3.1.1.1	Service	Science Direct, Academic Universe, Wiley Interscience	A branded group of online information products from one or more vendors that can be subscribed to/licensed and searched as a complete service, or at a lower level (e.g. a collection).
3.1.1.2	Publisher	Wiley, Springer	An organization whose function is to commission, create, collect, validate, host, distribute and trade information online and/or in printed form
3.1.1.3	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.)
3.1.1.4	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)
3.1.1.5	Journal	Tetrahedron Letters	A serial that is a branded and continually growing collection of original articles within a particular discipline
3.1.1.6	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.
3.1.1.7	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)
3.1.1.8	Book		A nonserial printed publication of any length bound in hard or soft covers or in loose-leaf format. Also called monograph. (NISO)
3.1.1.9	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.
3.1.1.10	Page		One side of one leaf (of a book, reference work, journal, etc.) or the written or pictorial matter it contains.
3.1.1.11	Section	Chapter, entry	The first level of subdivision of a book or reference work.
3.1.1.12	Chapter		A subdivision of a book or of some categories of reference work; usually numbered and titled.

3.1.1.13	Entry	A dictionary definition	A record of information in some categories of reference work.
3.1.1.14	Host	Ingenta, HighWire	An intermediary online service which stores items that can be downloaded by the user
3.1.1.15	Gateway	SWETSwise, OCLC ECO	An intermediary online service which does not store the items requested by the user, and which either a) refers these requests to a host or vendor site or service from which the items can be downloaded by the user, or b) requests items from the vendor site or service and delivers them to the user within the gateway environment.
3.1.1.16	Vendor	Wiley, Oxford University Press	A publisher or other online information provider who delivers its own licensed content to the customer and with whom the customer has a contractual relationship
3.1.1.17	Aggregator	ProQuest, Gale, Lexis Nexis	A type of vendor that hosts content from multiple publishers, delivers content direct to customers and is paid for this service by customers
3.1.1.18	Database	Social Science Abstracts	A collection of electronically stored data or unit records (facts, bibliographic data, texts) with a common user interface and software for the retrieval and manipulation of data (NISO)
3.1.1.19	ISBN		The International Standard Book Number is a unique identifier consisting of a 10 -

			digit code allocated to the publication; it identifies the publisher, title, edition and volume number.
3.1.1.20	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)
3.1.1.21	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')
3.1.1.22	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)
3.1.1.23	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.
3.1.1.24	Year		Year in which an article, item, issue or volume is first published in any medium
3.1.1.25	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
3.1.1.26	Collection	Science Direct Backfiles	A subset of the content of a service; a collection is a branded group of online information products from one or more vendors that can be subscribed to/licensed and searched as a complete group.
3.1.1.27	Platform		An interface from an Aggregator, Host, Publisher or Service that delivers the content to the user and that counts and provides the COUNTER usage reports.
3.1.2	Web Page type		
3.1.2.1	Item	Full text article, TOC, Abstract, Database record	A uniquely identifiable piece of published work that may

		be original or a digest or a review of other published work. PDF, Postscript and HTML formats of the same full text article (for example), will be counted as separate items.
3.1.2.2	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 (eg dictionary definitions, encyclopedia articles, biographies, etc) Non-textual resources: file type as appropriate to resource (eg image, audio, video, etc) (ICOLC)
3.1.2.3	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 usually cites other relevant published works in its list of references, if it has one.
3.1.2.4	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.
3.1.2.5	Abstract	A short summary of the content of an article, always including its conclusions
3.1.2.6	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)
3.1.2.7	Full-text article	The complete text, including all references, figures and tables, of an article, plus links to any supplementary material published with it.
3.1.2.7.1	HTML	Article formatted in HTML so as to be readable by a web browser
3.1.2.7.2	PDF	Article formatted in portable document format so as to be readable via the Adobe Acrobat reader; tends to replicate online the appearance of an article as it would appear in printed page form
3.1.2.7.3	Postscript	Article formatted in Postscript for faithful output via printer
3.1.2.8	References	A list of works referred to in an article or chapter, giving sufficient detail to enable the identification and location of each work
3.1.2.9	Database record	An individual record in a standard format, the collection of which in a form that can be processed by a computer constitutes a database
3.1.2.10	Search	A specific intellectual query, typically equated to submitting the search form of the online service to the server (EBSCO, abridged)

3.1.2.11	Item requests		Number of items requested by users as a result of a search. User requests include viewing, downloading, emailing and printing of items, where this activity can be recorded and controlled by the server rather than the browser. Turnaways will also be counted. (See 3.1.5.4)
3.1.2.12	Successful request		For web-server logs successful requests are those with specific return codes, as defined by NCSA
3.1.2.13	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).
3.1.2.14	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)
3.1.3	How user is authenticated		
3.1.3.1	Username and password		No definition required
3.1.3.2	IP address	The IP address seen by the primary service-this may be the real end-user's IP or a proxy IP. This is always recorded, even if the authentication is not via IP address	IP address of the computer on which the session is conducted

3.1.3.3	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 services own users access to the online resource
3.1.4	Access rights	Rights for using a vendor's online collection or database defined by law, license, or other contractual and/or co-operative agreement. (NISO)	
3.1.4.1	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
3.1.4.2	Session	A successful request of an online service. It is one cycle of user activities that typically starts when a user connects to the service or database and ends by terminating activity that is either explicit (by leaving the service through exit or logout) or implicit (timeout due to user inactivity) (NISO)	
3.1.4.3	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)	
3.1.4.4	Turnaway (Rejected session)	A turnaway (rejected session) is defined as an unsuccessful log-in to an electronic service due to exceeding the simultaneous user limit allowed by the licence	

Session data

#	Term	Examples/formats	Definition
3.2.1	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)
3.2.2	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)
3.2.3	Duration		Records the time a user's session lasts, to the nearest second

Market Elements

#	Term	Examples/formats	Definition
3.3.1	Customer		An individual or organization that pays a vendor for access to a specified range of the vendor's services and/or content and is subject to terms and conditions agreed with the vendor
3.3.2	Subscriber		An individual or organization that pays a vendor in advance for access to a specified range of the vendor's services and/or content for a pre-determined period of time and subject to terms and conditions agreed with the vendor.
3.3.3	Licensee		= Subscriber (see 3.3.1 above)
3.3.4	Consortium	Ohiolink	The consortium through which the institution or user obtained online access. A consortium is defined by a range of IP addresses that may be in specific groupings (e.g. institutes)
3.3.5	Consortium member	Ohio State University	A university, hospital or other institute that has obtained access for its users to online information resources as part of a consortium. A consortium member is defined by a subset of the Consortium's range of IP addresses.
3.3.6	IP address		See 3.1.4.2 above

3.3.7 User	An individual with the right to access the online resource, usually provided by their institution, and conduct a session
3.3.8 Onsite usage	Computer being used to access the online resource is within a building or on the campus of an institution (EBSCO)
3.3.9 Remote usage	Computer being used is off-campus, or away from the Institution's property, e.g. access by a user from home

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

We ('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 the COUNTER Code of Practice: < list COUNTER-compliant reports, 'Journal Report 1, etc..>
2. 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.
3. That upon receipt of this signed declaration by the COUNTER office, The Company will be listed on the Register of Vendors Providing COUNTERcompliant Usage Reports.
4. 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: _____

This signed declaration may be sent to COUNTER by fax or by mail: Fax: +44 (0)131 558 8478 Mail: COUNTER, PO Box 23544, Edinburgh EH3 6YY, United Kingdom

Appendix C: Organizational Structure of COUNTER

Responsibility for the overall management and direction of COUNTER rests with the Executive Committee, chaired by Richard Gedye of Oxford University Press. Day-to-day management is delegated to the project director, Peter Shepherd.

The International Advisory Board of COUNTER consists of leading experts from the publishing, library and intermediary world who support and advise on the direction of the project. The memberships of the Executive Committee and International Advisory Board are listed below:

Executive Committee

Richard Gedye, Oxford University Press, UK (Chair)
Marthyn Borghuis, Elsevier Science, The Netherlands
Phil Davis, Cornell University, USA
Christine Fyfe, University of Leicester, UK
David Goodman, Princeton University, USA
Arnold Hirshon, Nelineet, USA
Terry Hulbert, Institute of Physics Publishing, UK
Tony Kidd, University of Glasgow, UK
Oliver Pesch, EBSCO, USA Eileen Shanbrom CAS, USA
Peter Shepherd (Project Director), UK
David Sommer, MPS Technologies, UK
Hazel Woodward, Cranfield University, UK

International Advisory Board

Christine Baldwin, Information Design & Management, UK
Lars Bjornshauge, Lund University, Sweden
Pieter Bolman, STM, The Netherlands
Frances Boyle, Oxford University, UK
Andrew Braid, British Library, UK
Laura Brandau, Infotrieve, USA
Diane Costello, CAUL, Australia
Jill Cousins, Blackwell Publishing, UK
Denise Davis, ALA, USA
Lorraine Estelle, JISC, UK
Mary Fugle, Lippincott Williams & Wilkins, USA
Brian Green, BIC/EDItEUR, UK
Tony Hammond, Harcourt Publishers, UK

Timo Hannay, Nature Publishing Group, UK
Pat Harris, NISO, USA
Mike Hoover, ProQuest, USA
Heather Joseph, BioOne, USA
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Appendix D: Guidelines for Implementation

Introduction

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

5a '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>.

5e. 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.

Step1: 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 following example illustrates how this script should work:

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

- Request 1: 9:51:10
- Request 2: 9:51:19
- Request 3: 9:51:32
- Request 4: 9:51:41

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 10 seconds have elapsed between these two requests; next, comparing Request 3 with Request 4 removes Request 3 and retains Request 4, as less than 10 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.

Appendix E: Auditing Requirements and Tests

General Auditing Requirements

Auditing and test-scripts

The COUNTER Auditing requirements are needed to ensure that the usage reports provided by vendors are in line with the COUNTER principles of credibility, consistency and compatibility. For this purpose COUNTER has defined specific audit test-scripts for each of the COUNTER required usage reports. As the majority of vendors will work with their own auditor, the test-scripts will guarantee that each of them will follow an identical auditing procedure and result measurement.

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 and an auditor should always finalize the audit tests within one and the same calendar month. Any activity on an audit account not related to the audit test should be prevented, as this will make the test reports unreliable.

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. The auditor will also use a try -out account to prepare for 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.

Two types of audit tests:

1. The auditor will test the layout, format and delivery of a vendor's usage report
2. The auditor will test the numbers reported by the vendor by carrying out detailed testscripts.

The Required Audit Tests

Checking the report lay-out, file-format and delivery against the Code of Practice

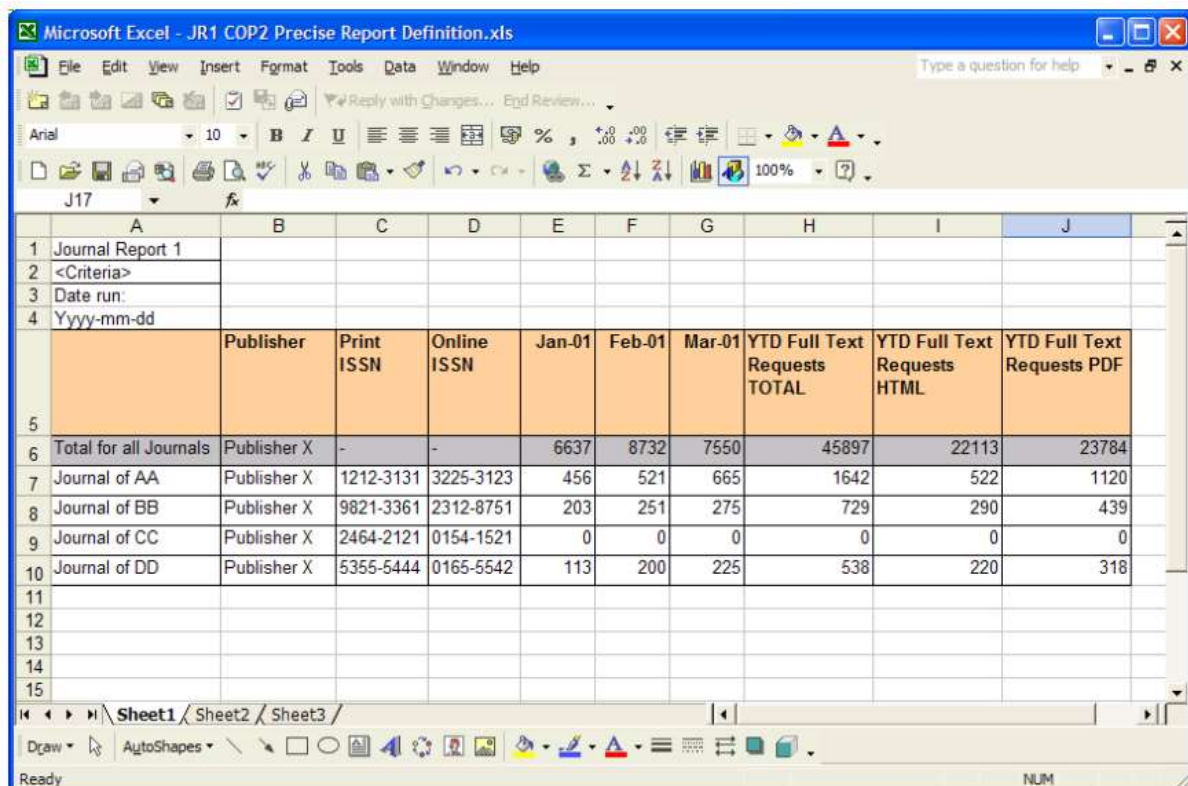
The auditor will check whether each of the reports mentioned below will comply with the report examples and descriptions as made available in the COUNTER Code of Practice. The following items need to be checked:

1. The lay-out of report (headers/footers, number of fields, field sequence, totaling field and format of reported numbers).
2. The required 'save-as' formats.
3. The receipt and timeliness of an email alert once usage reports are updated.

Checking the usage numbers as reported

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

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



The screenshot shows a Microsoft Excel spreadsheet titled 'JR1 COP2 Precise Report Definition.xls'. The spreadsheet is used to define the layout and data for a report. The columns are labeled A through J. The data is organized as follows:

	A	B	C	D	E	F	G	H	I	J
1	Journal Report 1									
2	<Criteria>									
3	Date run:									
4	Yyyy-mm-dd									
5		Publisher	Print ISSN	Online ISSN	Jan-01	Feb-01	Mar-01	YTD Full Text Requests TOTAL	YTD Full Text Requests HTML	YTD Full Text Requests PDF
6	Total for all Journals	Publisher X	-	-	6637	8732	7550	45897	22113	23784
7	Journal of AA	Publisher X	1212-3131	3225-3123	456	521	665	1642	522	1120
8	Journal of BB	Publisher X	9821-3361	2312-8751	203	251	275	729	290	439
9	Journal of CC	Publisher X	2464-2121	0154-1521	0	0	0	0	0	0
10	Journal of DD	Publisher X	5355-5444	0165-5542	113	200	225	538	220	318
11										
12										
13										
14										
15										

Notes:

1. 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.
2. Journals for which the number of full-text article requests is zero in every month should be included in 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 Section 3.

Journal Report 1 Auditing Requirements

An audit of this report requires the following:

1. 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.
2. The auditor should accept user/machine and session cookies when prompted.
3. The auditor should have access to all available journals as published on the platform of the vendor.
4. Audit-test JR1-1:
 - a. For the audit report, the auditor should perform 100 requests 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 these 100 requests should be evenly divided across both formats (i.e. 50 for both). 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 YTD Totals (across all journals) and the YTD subtotals for HTML and PDF on the auditor's

report is within a - 8% and +2% reliability window of the total presented on the vendor's Journal Report 1.

5. Audit-test JR1-2: The 10 and 30 seconds filters.
 - a. 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.
 - b. The auditor should request full text for 10 to 20 articles, performing doubleclicks 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.
 - c. The auditor should request full text for 10 to 20 articles, performing doubleclicks 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.
 - d. Vendors will pass the Audit-test 2 when the total of activity on the vendor's report for the journals audited are within a threshold of - 8% and +2% of the auditors total.
6. It is needed to separate audit-test JR1-1 and audit-test JR1-2 by using separate accounts to avoid collisions of numbers.

Journal Report 2: Turnaways by Month and Journal

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

This report is applicable only where the user access model is based on a maximum number of concurrent users.

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

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

Journal Report 2 Auditing Requirements

An audit of this report requires the following:

1. 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 4 computers within a unique account number; the vendor should allow 3 registered users having simultaneous access to all available vendor databases. If the vendor system cannot allow specifically 3 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number where ever the number 3 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.
2. The auditor should accept user/machine and session cookies when prompted.
3. The auditor should have access to all journals as made available on the platform of the vendor.
4. Audit-test JR2-1:

- a. The audit-test is to have 3 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 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 journal 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.

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

	Publisher	Platform	Jan-2001	Feb-2001	Mar-2001	YTD Total	
Database AA	Publisher X	Platform Z	Searches run	2322	2520	2742	7584
Database AA	Publisher X	Platform Z	Sessions	1821	1929	2211	5961
Database BB	Publisher Y	Platform Z	Searches run	3466	3210	4459	11135
Database BB	Publisher Y	Platform Z	Sessions	1987	2200	2544	6731

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

Database Report 1 Auditing Requirements

An audit of this report requires the following:

1. 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.
2. The auditor should accept user/machine and session cookies when prompted.
 3. The auditor should have access to all databases as made available on the platform of the vendor.
 4. Audit-test DB1-1:
 - a. If a vendor offers more than one database, the auditor should run 100 searches on a subset of the databases made available to them. In case 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 exceed 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. To be able to measure the number of sessions, the tests should consist of at least 2 sessions. During the tests, the auditor can either explicitly log-out of a session and log back in to continue the test, or, if no log-out option is available, the auditor should close the browser then open a new browser and continue the test (Note that if the vendor maintains the previous session even when the browser has been closed and re-opened, the auditor will need to wait for the session inactivity time used by the vendor – typically 30 minutes – before continuing the test as a new session.)
 - c. Each time a new session is started, the auditor should record this fact.
 - d. Each time a search is conducted, the auditor will record the search and the database searched.

- e. As each search is conducted, the auditor will indicate that the database was accessed during the current session. (N.B. a database will only get credit for the session if it has been searched during that session.)
 - f. The audit report should show a breakdown of searches and sessions by database with a Total for each.
 - g. A vendor will pass this audit test when the Totals for searches and sessions on the auditor's report are within a -8% and +2% reliability window of the sum of the sessions and searches for all databases on the vendor' Database Report 1.
5. Audit-Test DB1-2: Searches on multiple databases (federated search)
- 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 applied against If a vendor's COUNTER reports do not include searches yielding zero results or when the number of results exceed 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 by database matches the total on the audit report within a -8% and +2% reliability window

Database Report 2: Turnaways by Month and Database

	A	B	C	D	E	F	G	H	I	J	K
1	Database Report 2 (R2)	Turnaways by Month and Database									
2	<Criteria>										
3	Date run:										
4	yyyy-mm-dd										
5		Publisher	Platform	Page type	Jan-2001	Feb-2001	Mar-2001	YTD Total			
6	Total for all databases				41	60	28	129			
7	Database AA	Publisher X	Platform Z	Database turnaways	23	40	12	75			
8	Database BB	Publisher Y	Platform Z	Database turnaways	16	20	16	54			
9											

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

Database Report 2 Auditing Requirements

An audit of this report requires the following:

1. 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 4 computers within a unique account number; the vendor should allow 3 registered users having simultaneous access to all available vendor databases. If the vendor system cannot allow specifically 3 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number where ever the number 3 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.
2. The auditor should accept user/machine and session cookies when prompted.
3. The auditor should have access to all databases as made available on the platform of the vendor.
4. Audit-test DB2-1:
 - a. The database used for this test should be different from the one used for Database Report 1.

- b. The audit-test is to have 3 active (registered) users on the site carrying out searches on one and the same available database such that all available sessions are active. An additional computer will then be used to log-in and attempt to carry out a search on the same database. 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.
- c. 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. Recording each time a turn-away occurs and the database accessed.
- d. The vendor's report will pass this test when the total number of turnaways shown on its Database Report 2 is within -8% and +2% reliability window of the total on the auditor's report.

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

	Platform	Jan-2001	Feb-2001	Mar-2001	YTD Total
Total for Service AA	Platform Z	16567	18643	20987	56197
Total for Service AA	Platform Z	12007	12677	13003	37687

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

Database Report 3 Auditing Requirements

An audit of this report requires the following:

1. 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 sessions and indicated which databases they apply to.


2. Database Report 3 only counts the discrete 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, Database Report 3 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).
3. A vendor will pass this audit test if their Database Report 3 shows totals for sessions and searches 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.

Appendix F: CSV Usage Report Examples

Provided below are examples of each of the Release 2 Usage Reports in CSV format.

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

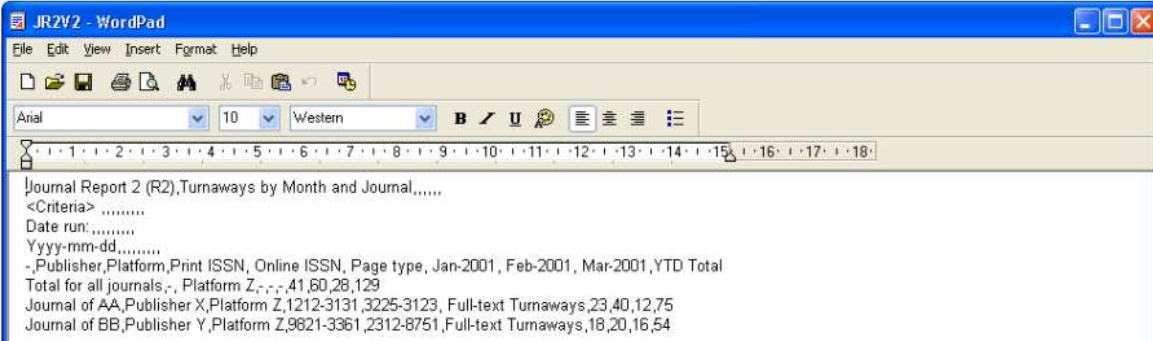
(Full journal name, print ISSN and online ISSN are listed.)



```
Journal Report 1 (R2),Number of Successful Full-Text Article Requests by Month and Journal,.....
<Criteria> .....
Date run: .....
Yyyy-mm-dd,.....
-,Publisher,Platform,Print ISSN, Online ISSN, Jan-2001, Feb-2001, Mar-2001,YTD Total,YTD HTML, YTD PDF
Total for all Journals,-,Publisher X,Platform Z,-,772,972,1165,2909,1032,1877
Journal of AA,Publisher X,Platform Z, 1212-3131,3225-3123,456,521,665,1642,522,1120
Journal of BB,Publisher X,Platform Z,9821-3361,23112-8751,203,251,275,729,290,439
Journal of CC,Publisher Y,Platform Z,2464-2121,0154-1521,0,0,0,0,0
Journal of DD,Publisher Y,Platform Z,5355-5444,0165-5542,113,200,225,538,220,318
```

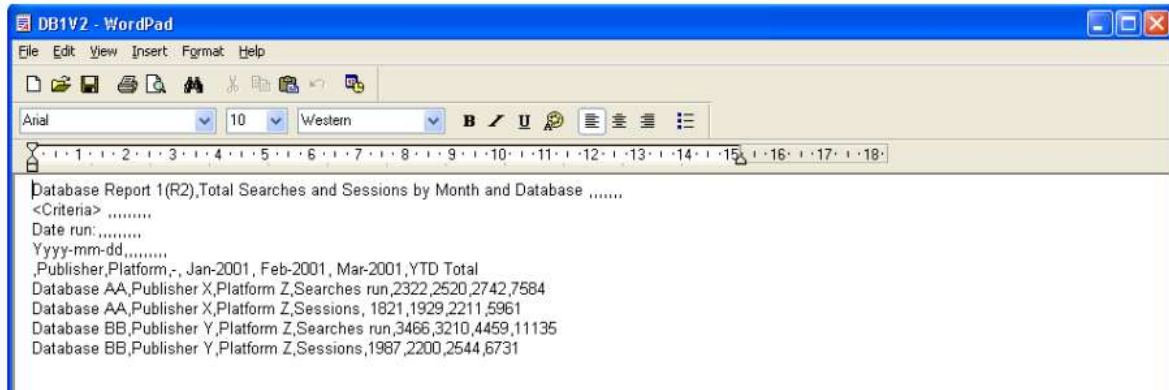
Journal Report 2: Turnaways by Month and Journal

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

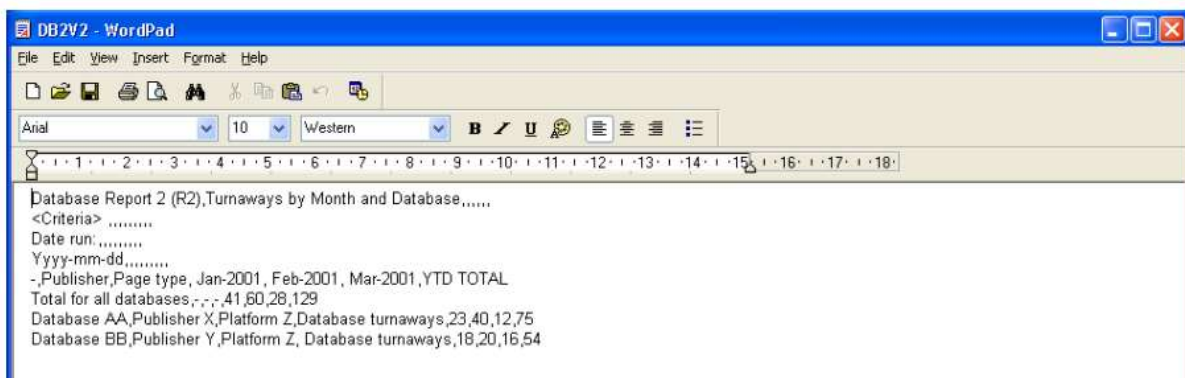


```
Journal Report 2 (R2),Turnaways by Month and Journal,.....
<Criteria> .....
Date run: .....
Yyyy-mm-dd,.....
-,Publisher,Platform,Print ISSN, Online ISSN, Page type, Jan-2001, Feb-2001, Mar-2001,YTD Total
Total for all journals,-, Platform Z,-,41,60,28,129
Journal of AA,Publisher X,Platform Z,1212-3131,3225-3123,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

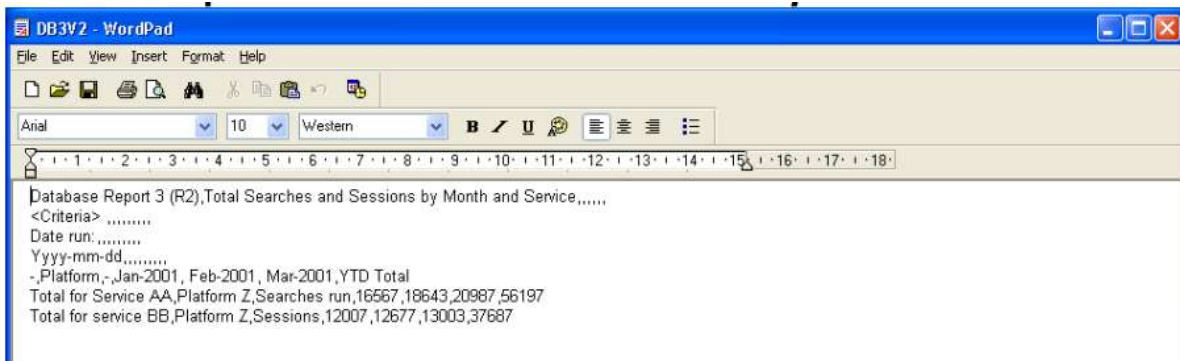
Database Report 1: Total Searches and Sessions by Month and Database



Database Report 2: Turnaways by Month and Database



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



Appendix G: XML DTD for Usage Reports

The following is a description of a draft DTD for holding Counter-compliant web usage reports. Please send feedback to the author or to the project director, Peter Shepherd <pshepherd@projectcounter.org>.

DTD URL and Namespace

The definitive DTD resides at

<http://www.projectcounter.org/dtd/2004/reports.dtd>

The namespace for the DTD is <http://www.projectcounter.org/ns/2004/reports>. A suggested abbreviation for namespace prefixes is "counter".

The Root Element

reports: The root element, reports, can contain any number of journal and database reports (using the journal_report and database_report elements, respectively). It would normally be used to send one or more reports from a single vendor to a single customer but in principle it can be used to hold multiple reports relating to any number of different vendors and customers.

The Report Elements

- journal_report and database_report: These elements always contain exactly one header element (which carries general information about the report, the vendor and the customer) and one data element (which carries the actual usage data). They both have a compulsory id attribute. They may also optionally include a single cop_version attribute and/or a single cop_report attribute.
 - id: This attribute must contain a unique identifier for the report. In order to maintain uniqueness of identifiers across vendors, the use of the following format is recommended: `_.` The part should be an internet domain over which the vendor has control (e.g., `example.com`). The part can be any locally unique XML-parsable string that the vendor chooses.

- cop_version: This attribute is intended to hold information about the version number of the Counter Code of Practice to which the report corresponds. It is optional because reports other than those specified by Counter can be encoded with this DTD.
- cop_report: This attribute is intended to hold information about the Counter Code of Practice report number to which the report corresponds. It is optional because reports other than those specified by Counter can be encoded with this DTD.

The Header Section Elements

- header: This element always contains exactly one of each of the title, vendor and customer elements.
 - title: This element is intended to hold a human-readable title for the report in question. It may contain any XML-parsable text.
 - timestamp: This element is intended to hold the date and time of the report's creation (thus allowing, for example, newer versions of the same report to supersede older ones). It may contain any XML-parsable text but timestamps corresponding to the long ISO8601 format (YYYY-MMDDThh:mm:ssZ) are recommended. To avoid ambiguity, UTC times are recommended.
- vendor: This element must contain exactly one vend_name element. It may optionally contain one vend_imprint element, one vend_logo element and any number of vend_site and vend_contact elements.
 - vend_name: This element is intended to hold the name of the vendor. It may contain any XML-parsable text.
 - vend_imprint: This element is intended to hold the name of the relevant imprint or comparable vendor-owned brand name. It may contain any XML-parsable text.
 - vend_site: This element is intended to hold the full URL of the vendor's website. It may contain any XML-parsable text.
 - vend_contact: This element is intended to hold an email address or other contact information for the vendor. It may contain any XML-parsable text.

- vend_logo: This is an empty (i.e., self-closing) element intended to hold information about a separate graphics file that contains the vendor's logo. The url attribute is required and gives the fully-qualified web ('http:') address of a graphics file containing the vendor's logo. The format attribute uses a value from the following list: bmp, doc, eps, gif, jpeg, ole, pdf, pict, svg, tiff and wmf. A value of "bmp" (bitmap) is assumed in the event that none is specified. There is an other_type attribute that can be used to explicitly state any type that is not in the list provided.
- customer: This element must contain exactly one cust_name element and can optionally contain one cust_ref element as well as any number of cust_ip, cust_username and cust_criteria elements.
 - cust_name: This element is intended to hold the name of the customer and may contain any XML-parsable text.
 - cust_ref: This element is intended to hold a reference used by the vendor to uniquely identify the customer. It may contain any XML-parsable text.
 - cust_ip: This element is intended to hold a information about the IP address range to which this report corresponds (particularly where access is provided on the basis of IP address). There can be any number of cust_ip elements because several non-contiguous IP address ranges may have to be listed. There are several ways of defining IP address ranges. The particular method used must be specified in the type attribute using the appropriate term given in italics below:
 - Single IP address (single): 123.124.45.0
 - Explicit range (range): 123.124.45.0-123.124.45.255
 - Wildcard (wildcard): 123.124.45.*
 - Subnet mask (subnet): 123.124.45.0:255.255.255.0
 - Classless Inter-Domain Routing (cidr): 123.124.45.0/8
 - cust_username: This element is intended to hold the vendor-, service-, database- or journal-specific username to which this report corresponds (particularly where access is provided on the basis of a username). There can be any number of cust_username

elements because several usernames may have to be listed. It may contain any XML-parsable text.

- `cust_criteria`: This element is included in anticipation of Release 2 of the Code of Practice. It is intended to contain information about, for example, the organizational level (institution, department, etc.) to which the usage report refers. The DTD requires only that it contain XML-parsable text.

The Data Section Elements

- `journal_data`: This element may contain an optional totals element plus any number of journal or service elements.
- `database_data`: This element may contain an optional totals element plus any number of database or service elements.
 - `totals`: This element is intended to hold the sum total data for any given report. It may contain any of the following elements: requests, turnaways, searches and sessions.
 - `journal`: This element is intended to hold data associated with a particular journal. It may contain any of the following elements: requests, turnaways, searches and sessions. It also has a compulsory attribute that holds the journal's name as well as optional attributes to hold the print and online ISSNs, the names of the publisher and platform, and the session timeout period (in minutes). In line with the Counter Code of Practice, the DTD specifies a default timeout period of 30 minutes for XML documents that don't explicitly state a value.
 - `service`: This element is intended to hold data associated with a particular journal or database service. It may contain any of the following elements: requests, turnaways, searches and sessions. It also has a compulsory attribute that holds the name of the service as well as an optional attribute to hold the session timeout period (in minutes). In line with the Counter Code of Practice, the timeout period is assumed to be 30 minutes for XML documents that don't explicitly state a value.

- database: This element is intended to hold data associated with a particular database. It may contain any of the following elements: requests, turnaways, searches and sessions. It also has a compulsory attribute that holds the name of the database and an optional attribute that holds the session timeout period (in minutes). In line with the Counter Code of Practice, the DTD specifies a default timeout period of 30 minutes for XML documents that don't explicitly state a value.

The Data Elements

- requests: This element is intended to hold the number of successful page requests (as defined by the Counter Code of Practice) served in a specified period of time. The period of time is defined by the compulsory start and end attributes. These will usually be stated to the nearest day, in which case the short ISO8601 format (YYYY-MM-DD) is recommended and the period is assumed to be inclusive of the dates given. In principle, start and end values can include times as well as dates, in which case the long ISO8601 format (YYYY-MM-DDThh:mm:ssZ) is recommended. There is also an optional attribute, type, to define the type of page, which is required for some Counter reports. The value must come from the following list: toc, abs, refs, ft_ps, ft_html, ft_pdf, ft_total and other. If a value of other is used then the additional attribute other_type should be used to give the full name of this page type.
- turnaways: This element is intended to hold the number of turnaways (as defined by the Counter Code of Practice). One attribute, reason, is included in anticipation of Release 2 of the Code of Practice and is intended to capture information about why a user was turned away. Valid options are exceeded_user_limit, no_licence, system_error and other. Where the other option is used, the type should be explicitly stated using the other_reason attribute. Where a value is not specified, a default of exceeded_user_limit is assumed (since this corresponds to the definition of turnaways in Release 1 of the Counter Code of Practice). In every other way the use of this element is identical to the requests element above.

- searches: This element is intended to hold the number of searches run (as defined by the Counter Code of Practice) during a specific period of time. The use of the start and end attributes is identical to that for the requests element above.
- sessions: This element is intended to hold the number of sessions (as defined by the Counter Code of Practice) during a specific period of time. The use of the start and end attributes is identical to that for the requests element above.

Appendix H: Optional Additional Usage Reports

Below are listed examples of two reports that are not mandatory for compliance with COUNTER Release 2, but which vendors are welcome to provide should their customers request more detailed usage information. Journal Report 3 and Journal Report 4 were designated 'Level 2' in Release 1 of the COUNTER Code of Practice.

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

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

1	Journal Report 3 (R2) Number of Successful Item Requests and Turnaways by Month, Journal and Page Type									
2	<Criteria>									
3	Date run:									
4	yyyy-mm-dd									
5	Publisher	Platform	Print ISSN	Online ISSN	Page type	Jan-2001	Feb-2001	Mar-2001	YTD Total	
6	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Table of Contents	732	806	676	2214
7	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Abstracts	1032	1140	1020	3192
8	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	References	543	322	567	1432
9	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text Postscript	444	365	432	1241
10	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text PDF	621	670	598	1889
11	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text HTML	322	420	543	1285
12	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text Total	943	1090	888	2921
13	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text PDF turnaways	23	40	32	95
14	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Full-text HTML turnaways	10	21	18	49
15										0
16	Journal of BB	Publisher X	Platform Z	9821-3361	0154-1521	Table of Contents	220	300	346	866
17	Journal of BB	Publisher X	Platform Z	9821-3361	0154-1521	Abstracts	180	202	154	536
18										0
19	Total for all journals	Publisher X	Platform Z			Table of Contents	66322	70312	81554	218188
20	Total for all journals	Publisher X	Platform Z			Abstracts	54126	46005	65265	165396
21	Total for all journals	Publisher X	Platform Z			References	4532	3997	5473	13992
22	Total for all journals	Publisher X	Platform Z			Full-text Postscript	11345	10947	12534	34826
23	Total for all journals	Publisher X	Platform Z			Full-text PDF	32112	34554	38221	104887
24	Total for all journals	Publisher X	Platform Z			Full-text HTML	22500	24000	19500	66000
25	Total for all journals	Publisher X	Platform Z			Full-text Total	54612	58654	57721	170887
26	Total for all journals	Publisher X	Platform Z			Full-text PDF turnaways	3221	4112	2113	9446
27	Total for all journals	Publisher X	Platform Z			Full-text HTML turnaways	1123	1321	1511	3955

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

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

Journal Report 4: Total Searches Run by Month and Service

(This report includes saved searches, modified searches, and searches with zero results)

		Jan-2001	Feb-2001	Mar-2001	YTD Total
Total for all Collections	Searches run	22430	18769	17998	59197
Collection AA	Searches run	2322	2520	2742	7584
Collection BB	Searches run	1508	1322	1643	4553

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

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

Appendix I: Consortium Report

COUNTER Code of Practice for Journals and Databases Release 2: Appendix I - Approximation in Excel of XML schema

Consortium Report 1: Number of successful full text requests by month

Usage from: Jan-2007 to Mar-2007 for members of Consortium XYZ

Date run

12/15/2007

Customer	ItemName	ItemIdentifierType	ItemIdentifier	ItemPublisher	ItemPlatform	ItemData Type	Category	Period	Metric Type	Count	
Institution A	Journal A	print_ISSN	1111-2222	Acme publishing	Acme Online	journal	request	Jan-07	ft_html	2	
									ft_pdf	2	
									ft_total	4	
								Feb-07	ft_html	3	
									ft_pdf	3	
									ft_total	6	
	Mar-07	ft_html	4								
		ft_pdf	4								
		ft_total	8								
		Journal B	online_ISSN	2222-3333	Acme Publishing	Acme Online	journal	request	Jan-07	ft_html	2
										ft_pdf	2
										ft_total	4
Feb-07	ft_html								3		
	ft_pdf								3		
	ft_total								6		
Mar-07	ft_html	4									
	ft_pdf	4									
	ft_total	8									

	Book A	print_ISSN	1-222-3333-0	Acme Publishing	Acme Online	book	request	Jan-07	ft_html	2
									ft_pdf	2
									ft_total	4
								Feb-07	ft_html	3
									ft_pdf	3
									ft_total	6
								Mar-07	ft_html	4
									ft_pdf	4
									ft_total	8
Institution B	Journal A	print_ISSN	1111-2222	Acme publishing	Acme Online	journal	request	Jan-07	ft_html	2
									ft_pdf	2
									ft_total	4
								Feb-07	ft_html	3
									ft_pdf	3
									ft_total	6
								Mar-07	ft_html	4
									ft_pdf	4
									ft_total	8
	Journal B	online_ISSN	2222-3333	Acme Publishing	Acme Online	journal	request	Jan-07	ft_html	2
									ft_pdf	2
									ft_total	4
								Feb-07	ft_html	3
									ft_pdf	3

								ft_total	6
							Mar-07	ft_html	4
								ft_pdf	4
								ft_total	8
Book A	print_ISBN	1-222-3333-0	Acme Publishing	Acme Online	book	request	Jan-07	ft_html	2
								ft_pdf	2
								ft_total	4
							Feb-07	ft_html	3
								ft_pdf	3
								ft_total	6
							Mar-07	ft_html	4
								ft_pdf	4
								ft_total	8