



**COUNTER
METRICS**

Archival Information

**Code of Practice
Release 3**

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Abstract

COUNTER provides 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. Release 3 of the Code of Practice for Journals and Databases replaces Release 2 and the deadline date for its implementation is 31 August 2009. After this date only those vendors compliant with Release 3 will be considered to be COUNTER compliant. Release 3 contains the following new features:

- An expanded list of Definitions in Table 1, to include terms such as 'automated search', 'federated search', 'internet robot', 'sectioned HTML', etc. that are used for the first time in Release 3
- Incorporation of the SUSHI (Standardised Usage Statistics Harvesting Initiative) protocol into the COUNTER Code of Practice. SUSHI has been developed by NISO (National Information Standards Organization) in co-operation with COUNTER and in 2007 became a NISO standard (Z39.93). Implementation of the SUSHI protocol by vendors will allow the automated retrieval of the COUNTER usage reports into local systems, making this process much less time consuming for the librarian or library consortium administrator.
- Usage Reports must be provided in XML, in addition to the existing prescribed formats (Excel, CSV, etc.). A link to the required XML schema is provided below the Excel example of each usage report.
- Vendors that provide journal archives as a separate acquisition from the current journals must provide either Journal Report 1a: Number of Successful Full-text Article Requests from an Archive by Month and Journal (which was an optional additional usage report in Release 2) OR Journal Report 5: Number of Successful Full-Text Article Requests by Year-of-Publication and Journal
- New library consortium usage reports. The advent of the SUSHI protocol greatly facilitates the handling of large volumes of usage data,

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

- A new optional additional report Journal/Book Report 1: Number of successful full-text item requests by month and title, specified in XML only, will allow vendors that provide online journals and books on the same platform to report usage of both categories of product in a single COUNTER report.
- A new protocol that requires federated searches and automated searches to be isolated from bona fide searches by genuine users. The growing use of federated/automated searches has the potential to inflate enormously the search and session counts in Database Report 1 and Database Report 3 and this protocol is designed to mitigate such inflation.
- New protocols that require activity generated by internet robots and crawlers, as well as by LOCKSS and similar caches, to be excluded from the COUNTER reports

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Contents

Foreword	5
General information	6
Definitions of terms used	8
Usage Reports	16
Data Processing.....	40
Auditing.....	44
Compliance	45
References to other standards, protocols and codes of practice	47
Governance of COUNTER	48
Maintenance and development of the COUNTER Code of Practice	48
Appendix A: Glossary of Terms.....	50
Appendix B: Declaration of COUNTER Compliance	60
Appendix C: Organizational Structure of COUNTER.....	61
Appendix D: Guidelines for Implementation.....	64
Appendix E: Auditing Requirements and Tests	69
Appendix F: CSV Usage Report Examples	81
Appendix G: COUNTER Schema 3.0	84
Appendix H: Optional Additional Usage Reports.....	87
Appendix J: List of Known Federated Search Engines	94
Appendix K: List of Internet robots, crawlers, etc.....	96
Appendix I: Consortium Report	97

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

Foreword

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

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

The following organizations support COUNTER:

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

JICWEBS (Joint Industry Committee for Web Standards – www.jicwebs.org) endorses the COUNTER Code of Practice.

COUNTER is also deeply grateful to its membership, whose continuing financial support enable the ongoing development and improvement of vendor-

generated online usage statistics. The full list of COUNTER members is available at: <http://www.projectcounter.org/members.html>.

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, databases and related publications 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. 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 3, but also to other reports that vendors may wish to generate. Every effort has been made to use existing ISO, NISO, etc. definitions where appropriate, and the source is cited. See Appendix A.

Versions

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

Release 3 of the Code of Practice replaces Release 2. The deadline date for implementation of this Release is 31 August 2009. After this date only those vendors compliant with Release 3 will be considered to be COUNTER compliant.

Auditing and COUNTER compliance

An independent annual audit is required of each vendor's reports and processes to certify that they are COUNTER compliant. The auditing process is designed to be simple, straightforward and not to be unduly burdensome or costly to the vendor, while providing reassurance to customers of the reliability of the COUNTER usage data. See Section 6 below and Appendix E for more details.

Relationship to other standards, protocols and codes

The COUNTER Codes of Practice 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 3 of the Code of Practice and provides a definition of each term, along with examples where appropriate. In order to be designated compliant with the COUNTER Code of Practice, vendors must adhere to the definitions provided.

*Table 1. Alphabetical list of definitions of terms relevant to the Release 3 Usage Reports.
(This list is extracted from the more comprehensive Glossary of Terms contained in Appendix A)*

Term	Examples / formats	Definition	Glossary Ref #
Aggregator	ProQuest, Gale, LexisNexis	A type of vendor that hosts content from multiple publishers, delivers content direct to customers and is paid for this service by customers	3.1.1.17

Term	Examples / formats	Definition	Glossary Ref #
Archive	Oxford Journals Archive	Non-current collections of journals, books, articles, or other publications that are preserved because of their continuing value and which are frequently made available by publishers as separate acquisitions	3.1.1.28
Automated Search		Searches where systems are searched robotically and repeatedly in search of new content.	3.1.2.10.1
Cache	LOCKSS (www.lockss.org)	Automated system that collects items from remote servers to serve closer and more efficiently to a given population of users. Often populated by robots (qv).	3.1.1.29
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.	3.1.1.26
Consortium	Ohiolink	The consortium through which the institution or user obtained online access. A consortium is defined by a range of IP addresses that may be in specific groupings (e.g. institutes) A group of institutions ("consortium members"), defined by a group of IP address ranges, for which collective and individual usage may be reported	3.3.4
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.	3.3.5
Customer		An individual or organization that pays a vendor for access to a specified range of the vendor's	3.3.1

Term	Examples / formats	Definition	Glossary Ref #
		services and/or content and is subject to terms and conditions agreed with the vendor	
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)	3.1.1.18
Database record		An individual record in a standard format, the collection of which is in a form that can be processed by a computer constitutes a database	3.1.2.9
Federated search	See Appendix J	A federated search programme allows users to search multiple databases owned by different vendors simultaneously with a single query from a single user interface. (This definition does not apply to multiple database searching within the software of a given vendor online service provider where searching is done using the databases offered by that provider. Federated search tools will have known identifiers (e.g. IP address, UserAgent).	3.1.2.10.2
Full-content unit		Journals: full-text article Books: Minimum requestable unit, which may be the entire book or a section thereof. Reference Works: content unit appropriate to resource (eg dictionary definitions, encyclopedia articles, biographies, etc) Non-textual resources: file type as appropriate to resource (eg image, audio, video, etc) (ICOLC)	3.1.2.2
Full-text Article		The complete text, including all references, figures and tables, of an	3.1.2.7

Term	Examples / formats	Definition	Glossary Ref #
		article, plus any supplementary material published with it.	
Full-text item	Full-text article, book chapter	A category of 'item' such as a full-text journal article, a book chapter, or an encyclopedia entry - see 'item' below.	3.1.2.1.1
Gateway	SWETSwise, OCLC ECO	An intermediary online service which does not typically host the items requested by the user. The gateway will either refer the user to another site or service to download the item, or will request the item from another site or service and delivers it to the user within its own gateway environment. Items may be cached.	3.1.1.15
Host	Ingenta, HighWire	An intermediary online service which stores items that can be downloaded by the user	3.1.1.14
HTML		Article formatted in HTML so as to be readable by a web browser Hypertext Markup Language. A form of text markup readable by web browsers.	3.1.2.7.1
Institutional Identifier		A number in an internationally agreed format that provides a standard way of identifying institutions worldwide. A unique, centrally registered number in an internationally recognised, standardised format that identifies each individual institution in the supply chain.	3.1.1.30
Internet robot, crawler, spider	See Appendix K	Generic terms applied to any programme which visits websites and systematically retrieves information from them, usually to create entries for a search engine. Any automated program or script which visits websites and systematically retrieves information	3.1.2.10.3

Term	Examples / formats	Definition	Glossary Ref #
		from them, often to provide indexes for search engines.	
IP address	The IP address seen by the primary service- this may be the real end-user's IP or a proxy IP. This is always recorded, even if the authentication is not via IP address	IP address of the computer on which the session is conducted. The identifying network address (typically four 8-bit numbers, aaa.bbb.cc.dd) of the user's computer or proxy.	3.3.6
Item	Full text article, Abstract, chapter, image, video	A uniquely identifiable piece of published work that may be: a full-text article (original or a review of other published work); an abstract or digest of a full-text article; a book chapter; an encyclopedia entry; a sectional HTML page; supplementary material associated with a full- text article (eg a supplementary data set), or non-textual resources, such as an image, a video, or audio). The item will have a defined and distinct location (URL).	3.1.2.1
Item Requests		Number of items requested by users as a result of a search. User requests include viewing, downloading, emailing and printing of items, where this activity can be recorded and controlled by the server rather than the browser. Turnaways will also be counted. (See 3.1.4.4). A request for an item within a single search by a user. User requests may be for the viewing, downloading, emailing or printing of items, where this activity is recorded and	3.1.2.11

Term	Examples / formats	Definition	Glossary Ref #
		controlled by the server rather than the browser, and include turnaways. (See 3.1.5.4)	
Journal	Tetrahedron Letters	A serial that is a branded and continually growing collection of original articles within a particular discipline	3.1.1.5
Licensee		= Subscriber (see definition below)	3.3.2
Non-textual resources	Image, audio, video	Non-textual material that is published in an online journal, book or other publication that is often associated with a full text article, encyclopedia entry, or other textual material. COUNTER allows four categories of non- textual resource: image, video, audio and other.	3.1.2.15
Online ISSN	Free text format (up to 13 characters in future)	Unique International Standard Serial Number assigned to the online version of a journal by the national ISSN agency of the country from which the journal is published. (See 'Print ISSN')	3.1.1.21
PDF		Portable Document Format, file formatted for the Adobe Acrobat reader. Items such as full- text articles or journals published in PDF format tend to replicate the printed page in appearance.	3.1.2.7.2
Platform		An interface from an Aggregator, Host, Publisher or Service that delivers the content to the user and that counts and provides the COUNTER usage reports.	3.1.1.27
Print ISSN	Free text format (up to 13 characters in future)	Unique International Standard Serial Number assigned to the print version of a journal by the national ISSN agency of the country from which the journal is published. Each ISSN is a unique identifier for a specific continuing resource. ISSN	3.1.1.20

Term	Examples / formats	Definition	Glossary Ref #
		are applicable to most continuing resources, whether past, present, or to be produced in the future, whatever the medium of production. Continuing resources are issued over time with no predetermined conclusion. ISSN are assigned to the entire population of serials and most integrating resources. Unique International Standard Serial Number - unique identifier assigned to the print version of a journal by the national ISSN agency of the country from which the journal is published. (General Assembly and Board of ISSN Network)	
Publisher	Wiley Blackwell, Cambridge University Press	An organization whose function is to commission, create, collect, validate, host, distribute and trade information online and/or in printed form	3.1.1.2
Search		A specific intellectual query, either equated to submitting the search form of the online service to the server or by clicking a hyperlinked word or name which executes a search for that word or name. The results of a specific intellectual query submitted by a user and executed by a server. This can typically be via a search form, or else by clicking a hyperlinked word or name which submits a search query.	3.1.2.10
Sectioned HTML		Display of an HTML full-text article in sections (separate pages) with navigational links to move from one section to another. Hence, portions of the article may be printed or downloaded in isolation.	3.1.2.7.1.1

Term	Examples / formats	Definition	Glossary Ref #
Service	Science Direct, Academic Universe	A branded group of online information products from one or more vendors that can be subscribed to/licensed and searched as a complete collection, or at a lower level.	3.1.1.1
Session		A successful request of an online service. It is one cycle of user activities that typically starts when a user connects to the service or database and ends by terminating activity that is either explicit (by leaving the service through exit or logout) or implicit (timeout due to user inactivity) (NISO)	3.1.4.2
Subscriber		An individual or organization that pays a vendor in advance for access to a specified range of the vendor's services and/or content for a pre-determined period of time and subject to terms and conditions agreed with the vendor.	3.3.2
Successful request		For web-server logs successful requests are those with specific return codes, as defined by NCSA	3.1.2.12
Turnaway		A rejected session (turnaway) is defined as an unsuccessful log-in to an electronic service by exceeding the simultaneous user limit allowed by the licence (NISO)	3.1.4.4
User		An individual with the right to access the online resource, usually provided by their institution, and conduct a session. An individual with the right to access a platform and interact with items.	3.3.7
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	3.1.1.16

Term	Examples / formats	Definition	Glossary Ref #
		customer has a contractual relationship	
Volume	Alpha-numeric, no leading zeros	Journals: numbered collection of a minimum of one journal issue; in printed form, volumes of more than one issue are not normally bound together by the publisher, but are frequently bound together in hardback by the purchasing library to aid preservation of the printed product. Books: Numbered collection of articles, chapters, or entries that is part of a larger, multi-volume work, either published together or serially.	3.1.1.23
Year		Year in which an article, item, issue or volume is first published in any medium	3.1.1.24

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

SUSHI

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

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

Example Reports

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

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

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

1	Journal Report 1 (R3) Number of Successful Full-Text Article Requests by Month and Journal									
2	<Criteria>									
3	Date run:									
4	yyyy-mm-dd									
5	Publisher	Platform	Print ISSN	Online ISSN	Jan-2009	Feb-2009	Mar-2009	YTD Total	YTD HTML	YTD PDF
6	Total for all journals	Platform Z			772	972	1165	2909	1832	1877
7	Journal of AA	Publisher X Platform Z	1212-3131	3225-3123	456	521	665	1642	522	1120
8	Journal of BB	Publisher X Platform Z	9821-3361	2312-9751	203	251	275	729	290	439
9	Journal of CC	Publisher Y Platform Z	2454-2121	0154-1521	0	0	0	0	0	0
10	Journal of DD	Publisher Y Platform Z	5355-5444	0165-5542	113	200	225	538	220	318
11										
12										

Note:

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

2. the 'Total for all journals' line is provided at the top of the Table to allow it to be stripped out without disrupting the rest of the Table, as the number of journals included may vary from one month to another.
3. Journals for which the number of full-text article requests is zero in every month should be included in Journal Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Section 7 below).
4. Vendors that provide online journals and books on the same platform may report usage of both categories of product in a single optional additional COUNTER report: Journal/Book Report 1: Number of successful full-text item requests by month and title. This report is specified in XML only and may be found in Appendix H to this Code of Practice.

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, See Section 3. To view Journal Report 1 in CSV format, see Appendix F. The XML Schema for Journal Report 1 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd

Journal Report 1: Display Rules

General Notes:

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

Display/Formatting Rules:

1. Cell A1 contains the text "Journal Report 1(R3)"
2. Cell B1 contains the text "Number of Successful Full-text Article Requests by Month and Journal"
3. Cell A2 contains the "criteria" as defined in the COP (eg "NorthEast Research Library Consortium" or "Yale University")
4. Cell A3 contains the text "Date run:"

5. Cell A4 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2005 would show "2005-02-12".
6. Cell A5 is left blank
7. Cell B5 contains the text "Publisher"
8. Cell C5 contains the text "Platform"
9. Cell D5 contains the text "Print ISSN"
10. Cell E5 contains the text "Online ISSN"
11. Cell F5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2009, this cell will contain "Jan-2009"
12. Cell I5 (in this example, the column after the last month of data) contains the text "YTD Total".
13. Cell J5 (in this example, two columns after the last month of data) contains the text "YTD HTML"
14. Cell K5 (in this example, three columns after the last month of data) contains the text ""YTD PDF".
15. Cell A6 contains the text "Total for all journals"
16. 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.
17. Cell C6 contains the name of the platform
18. Cells D6 and E6 are blank
19. Cell A7 down to Cell A[n] contains the name of each journal
20. Cell B7 down to Cell B[n] contains the name the publisher of each journal
21. Cell C7 down to Cell C[n] contains the name of the platform on which each journal is published
22. Cell D7 down to Cell D[n] contains the Print ISSN
23. Cell E7 down to Cell E[n] contains the Online ISSN
24. Cell F7 down to Cell F[n] contains the number of Full Text Requests Total for that journal in the corresponding month
25. 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

26. 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.
27. 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.
28. 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.
29. Cells F6 across to Cell K6 (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

Note About HTML and PDF Totals:

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

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

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

	A	B	C	D	E	F	G	H	I	J	K	L
1	Journal Report 1a (R3)	Number of Successful Full-Text Article Requests from an Archive by Month and Journal										
2	<Archive Title>											
3	<Period Covered>											
4	<Criteria>											
5	Date run:											
6	yyyy-mm-dd											
7		Publisher	Platform	Print ISSN	Online ISSN	Jan-2009	Feb-2009	Mar-2009	YTD Total	YTD HTML	YTD PDF	
8	Total for all journals		Platform Z			772	972	1165	2909	1012	1677	
9	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	456	521	665	1642	522	1120	
10	Journal of BB	Publisher X	Platform Z	9621-3361	2912-8751	203	251	275	729	290	439	
11	Journal of CC	Publisher Y	Platform Z	2464-2121	0154-1521	0	0	0	0	0	0	
12	Journal of DD	Publisher Y	Platform Z	5355-5444	0165-5542	113	200	225	538	220	318	
13												

Note:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'
2. Vendors providing Journal Report 1a must continue to report all usage for journals listed in Journal Report 1, notwithstanding their inclusion in Journal Report 1a.
3. Vendors that provide separately acquirable journal archives, but are unable to provide Journal Report 1a must provide instead Journal Report 5, specified below, which breaks down usage according to year-of-publication.

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. The XML Schema for Journal Report 1a is at:

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

Journal Report 1a: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of 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 1a(R3)"
- Cell B1 contains the text "Number of Successful Full-text Article Requests by Month and Journal"
- Cell A2 contains the "Archive Title"
- Cell A3 contains the "Period Covered", provided in the following format: yyyy-mm-dd to yyyy-mm-dd. For example, an archive covering the full calendar years 2001 and 2002 would show: 2001-01-01 to 2002-12-31

- Cell A4 contains the “criteria” as defined in the COP (eg “NorthEast Research Library Consortium” or “Yale University”)
- Cell A5 contains the text “Date run:”
- Cell A6 contains the date that the report was run in yyyy-mm-dd format. For example, a report run on 12 Feb 2009 would show “2009-02-12”.
- Cell A7 is left blank
- Cell B7 contains the text “Publisher”
- Cell C7 contains the text “Platform”
- Cell D7 contains the text “Print ISSN”
- Cell E7 contains the text “Online ISSN”
- Cell F7 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2009, this cell will contain “Jan-2009”
- Cell G7, H7 etc repeat F7 for each month of data contained in the report, with the same Mmm-yyyy formatting
- Cell I7 (in this example, the column after the last month of data) contains the text “YTD Total”.
- Cell J7 (in this example, two columns after the last month of data) contains the text “YTD HTML”
- Cell K7 (in this example, three columns after the last month of data) contains the text “YTD PDF”.
- Cell A8 contains the text "Total for all journals"
- Cell B8 contains the name of the publisher/vendor, provided all the journals listed in column A are from the same publisher/vendor. If not, this cell is left blank.
- Cell C8 contains the name of the platform
- Cells D8 and E8 are blank
- Cell A9 down to Cell A[n] contains the name of each journal
- Cell B9 down to Cell B[n] contains the name the publisher of each journal
- Cell C9 down to Cell C[n] contains the name of the platform on which each journal is published
- Cell D9 down to Cell D[n] contains the Print ISSN

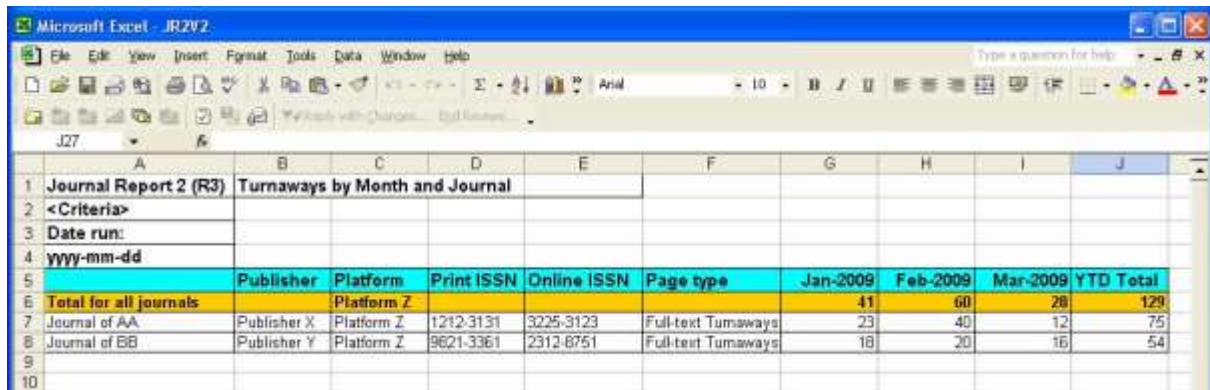
- Cell E9 down to Cell E[n] contains the Online ISSN
- Cell F9 down to Cell F[n] contains the number of Full Text Requests Total for that journal in the corresponding month
- Similarly, Cell G9 down to Cell G[n], Cell H9 down to Cell H[n] etc contain the Full Text Requests Total for the corresponding months
- Cell I9 down to Cell I[n] (or whatever column corresponds to the column after the last month of data) contains the number of Full Text Requests Total for that Year To Date - i.e. the sum of Full Text Requests Total for Jan, Feb etc up to and including the last reported month.
- Cell J9 down to Cell J[n] (or whatever column corresponds to the column after the Full Text Requests Total Year To Date) contains the number of Full Text HTML Requests Total for that Year To Date.
- Cell K9 down to Cell K[n] (or whatever column corresponds to the column after the Full Text Requests HTML Year To Date) contains the number of Full Text Requests PDF for that Year To Date.
- Cells F8 across to Cell K8 (or whatever column corresponds to the last column of the table) gives totals for each column. The figure reported in these cells in Row 6 must equal the sum of the cells for that column from row 7 to the bottom of the table.

Note About HTML and PDF Totals:

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

Journal Report 2: Turnaways by Month and Journal

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



	A	B	C	D	E	F	G	H	I	J
1	Journal Report 2 (R3)	Turnaways by Month and Journal								
2	<Criteria>									
3	Date run:									
4	yyy-mm-dd									
5		Publisher	Platform	Print ISSN	Online ISSN	Page type	Jan-2009	Feb-2009	Mar-2009	YTD Total
6	Total for all journals	Platform Z					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	9621-3361	2312-8751	Full-text Turnaways	18	20	16	54
9										
10										

Note:

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

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the above terms, see Section 3. To view Journal Report 2 in CSV format, see Appendix F. The XML Schema for Journal Report 2 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd

Journal Report 2: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of 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 2 (R3)"
- 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.

Note

Journal Report 3 and Journal Report 4 are optional additional reports that may be found in Appendix H of this Code of Practice.

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

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

Journal Report 5 (R3)	Number of Successful Full-Text Article Requests by Year-of-Publication (YOP) and Journal										
<Criteria>											
Date run:											
yyy-mm-dd											
	Publisher	Platform	Print ISSN	Online ISSN	YOP 2008	YOP 2007	YOP 2006	YOP 2005	YOP 2004	YOP Pre-2004	
Total for all journals		Platform Z			56932	128945	98435	66003	33002	118253	
Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	1320	2432	1493	1106	667	4290	
Journal of BB	Publisher X	Platform Z	9621-3361	2312-8751	1605	3006	2749	1603	768	8662	
Journal of CC	Publisher Y	Platform Z	2464-2121	0154-1521	1	4	2	0	0	10	
Journal of DD	Publisher Y	Platform Z	5355-5444	0165-5542	722	1598	843	644	342	3392	
etc.											

Note:

1. YOP = Year of Publication
2. The purpose of this report is to enable customers to distinguish usage of separately acquired archives from the total usage reported in Journal Report 1. The range of years reported in Journal Report 5 must, therefore, enable them to do this. The years and YOP-ranges used in Row 5 of Journal Report 5 may be modified by the vendor to make them appropriate to the products covered by this report. It is highly recommended that vendors provide each YOP as a separate column.

- As a minimum, however, usage for the current calendar year and the previous three years should be reported in separate columns.
3. Vendors providing Journal Report 5 must also continue to report all usage for journals in Journal Report 1, notwithstanding their inclusion in Journal Report 5.
 4. Vendors that provide separately acquirable journal archives, but are unable to provide Journal Report 5 must provide instead Journal Report 1a.
 5. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'

The XML Schema for Journal Report 5 is at:

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

Journal Report 5: Display Rules

General Notes:

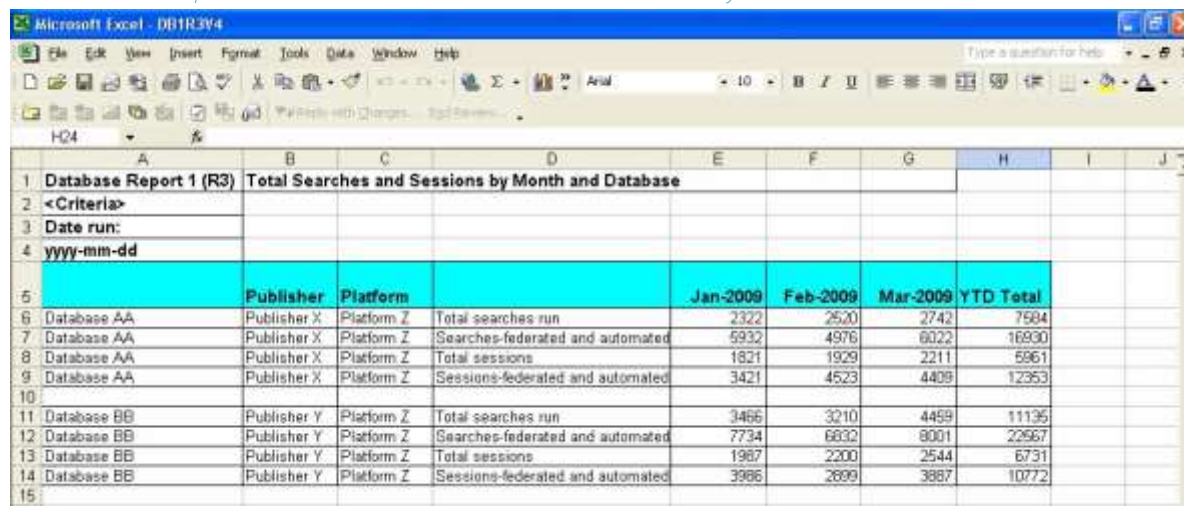
- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of JR1. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the 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 5 (R3)"
- Cell B1 contains the text "Number of Successful Full-text Article Requests by Year 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 "YOP-yyyy", where yyyy = current calendar year.
- Cell G5 contains the "YOP-yyyy", where yyyy = current calendar year-1.
- Cell H5, I5 etc repeat G5 for each year of data in yyyy formatting, in descending order
- Cell K5 contains the text 'YOP Pre-yyyy'. The value of yyyy specified in this cell may vary from vendor to vendor, but in any event must be no greater than Current Calendar Year - 4.
- 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 and E6 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 Number of Successful Full-text Article requests for the corresponding journal in the relevant calendar year
- Similarly, Cell G7 down to Cell G[n], Cell H7 down to Cell H[n] etc contain the Number of Successful Full-text Article requests for the corresponding journal in the relevant calendar years
- 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.

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



	Publisher	Platform		Jan-2009	Feb-2009	Mar-2009	YTD Total	
1	Database Report 1 (R3) Total Searches and Sessions by Month and Database							
2	<Criteria>							
3	Date run:							
4	yyyy-mm-dd							
5								
6	Database AA	Publisher X	Platform Z	Total searches run	2322	2520	2742	7584
7	Database AA	Publisher X	Platform Z	Searches-federated and automated	5932	4976	6022	16930
8	Database AA	Publisher X	Platform Z	Total sessions	1821	1929	2211	5961
9	Database AA	Publisher X	Platform Z	Sessions-federated and automated	3421	4523	4409	12353
10								
11	Database BB	Publisher Y	Platform Z	Total searches run	3466	3210	4459	11135
12	Database BB	Publisher Y	Platform Z	Searches-federated and automated	7734	6632	8001	22367
13	Database BB	Publisher Y	Platform Z	Total sessions	1987	2200	2544	6731
14	Database BB	Publisher Y	Platform Z	Sessions-federated and automated	3966	2699	3887	10752
15								

Note:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'
2. Search and session activity generated by federated search engines and automated search agents should be categorized separately from regular searches. Any searches or sessions derived from any federated search engine or automated search agent) should be included in separate "Searches_federated and automated" and "Sessions_federated and automated" counts as indicated in the above report and are not to be included in the "Searches run" and "Sessions" counts. (See relevant protocol in Section 5 below)

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the above terms used, see Section 3. To view Database Report 1 in CSV format, see Appendix F. The XML Schema for Database Report 1 is at: http://www.niso.org/schemas/sushi/cOUNTER_2_5.xsd.

Database Report 1: Display Rules

General Notes:

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

- These rules apply to both Excel and CSV formats of 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 "Database Report 1 (R3)"
- 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 "Total searches run"
- Cell E6 contains the total 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 "Searches-federated and automated"
- Cell E7 contains the number of Searches-federated and automated for the corresponding month
- Similarly, Cell F7, CellG7, etc contain the number of searched-federated and automated for the corresponding months
- Cell H7 (or whatever column corresponds to the column after the last month of data) contains the Searches-federated and automated Total for that Year To Date - i.e. the sum of searches-federated and automated for Jan, Feb etc up to and including the last reported month.
- Cell A8 contains the name of Database AA
- Cell B8 contains the name of the publisher
- Cell C8 contains the name of the platform
- Cell D8 contains the text "Total sessions"
- Cell E8 contains the total number of sessions for the corresponding month
- Similarly, Cell F8, Cell G8, etc contain the total number of sessions for the corresponding months
- Cell H8 (or whatever column corresponds to the column after the last month of data) contains the Searches run Total for that Year To Date - i.e. the sum of total sessions run for Jan, Feb etc up to and including the last reported month.
- Cell A9 contains the name of Database AA
- Cell B9 contains the name of the publisher
- Cell C9 contains the name of the platform
- Cell D9 contains the text "Sessions-federated and automated"
- Cell E9 contains the number of Sessions-federated and automated for the corresponding month

- Similarly, Cell F9, Cell G9, etc contain the Sessions-federated and automated for the corresponding months
- Cell H9 (or whatever column corresponds to the column after the last month of data) contains the Sessions-federated and automated Total for that Year To Date - i.e. the sum of sessions-federated and automated for Jan, Feb etc up to and including the last reported month.

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

Database Report 2: Turnaways by Month and Database

	Publisher	Platform	Page type	Jan-2009	Feb-2009	Mar-2009	YTD Total
Total for all databases				41	60	28	129
Database AA	Publisher X	Platform Z	Database turnaways	23	40	12	75
Database BB	Publisher Y	Platform Z	Database turnaways	18	20	16	54

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

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the terms used, see Section 3. To view Database Report 2 in CSV format, see Appendix F. The XML Schema for Database Report 2 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd.

Database Report 2: Display Rules

General Notes:

- Background cell colour is optional for all cells. No cell should contain single or double quotation marks, commas or tab characters.
- These rules apply to both Excel and CSV formats of 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 "Database Report 2 (R3)"
- 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"
- 11. 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

	A	B	C	D	E	F	G	H	I
1	Database Report 3 (R3)	Total Searches and Sessions by Month and Service							
2	<Criteria>								
3	Date run:								
4	yyyy-mm-dd								
5		Platform		Jan-2009	Feb-2009	Mar-2009	YTD Total		
6	Total for Service AA	Platform Z	Total searches run	16567	18643	20967	56197		
7	Total for Service AA	Platform Z	Searches -federated and automated	56037	68945	76203	201185		
8	Total for Service AA	Platform Z	Total sessions	12007	12677	13003	37687		
9	Total for Service AA	Platform Z	Sessions- federated and automated	32756	41539	43667	118162		

Note:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'NorthEast Research Libraries Consortium', 'Yale University'
2. Search and session activity generated by federated search engines and other automated search agents should be categorized separately from regular searches. Any searches or sessions derived from any federated search engine (or similar automated search agent) should be included in separate "Searches_federated and automated" and "Sessions_federated and automated" counts as indicated in the above report and are not to be included in the "Searches run" and "Sessions" counts. (See relevant protocol in Section 5 below)

The above report complies with the COUNTER Code of Practice for collection and reporting of usage data. For definitions of the above terms used, see Section 3. To view Database Report 3 in CSV format, see Appendix F. The XML Schema for Database Report 3 is at: http://www.niso.org/schemas/sushi/counter_2_5.xsd.

Database Report 3: Display Rules

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 "Database Report 3 (R3)"
- 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 2009, this cell will contain "Jan-2009"
- 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 "Total 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 Total searches run Total for Jan, Feb etc up to and including the last reported month.
- Cell A7 contains the name of the service.
- Cell B7 contains the name of the platform.
- Cell C7 contains the text "Searches-federated and automated".
- Cell D7 contains the Searches-federated and automated Total for that Service in the corresponding month.
- Similarly, Cells E7 to F7, etc. contain the Searches-federated and automated Total for the corresponding months.
- Cell G7 (or whatever column corresponds to the column after the last month of data) contains the Searches-federated and automated Total for that Year To Date - i.e. the sum of the Searches-federated and automated Total for Jan, Feb etc up to and including the last reported month.
- Cell A8 contains the name of the Service.
- Cell B8 contains the name of the Platform.
- Cell C8 contains the text "Total session".
- Cell D8 contains the Total Sessions total for that Service in the corresponding month
- Similarly, Cells E8 to F8, etc., contain the Total Sessions total for the corresponding months
- Cell G8 (or whatever column corresponds to the column after the last month of data) contains the Total sessions total for Jan, Feb, etc. up to and including the last reported month.
- Cell A9 contains the name of the Service
- Cell B9 contains the name of the Platform
- Cell C9 contains the text "Sessions-federated and automated"
- Cell D9 contains the Sessions-federated and automated total for that Service in the corresponding month
- Similarly, Cells E9 to F9, etc., contain the Sessions-federated and automated total for the corresponding months

- Cell G9 (or whatever column corresponds to the column after the last month of data) contains the Sessions-federated and automated total for Jan, Feb, etc. up to and including the last reported month.

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

Usage Reports for a Library Consortium

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

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

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

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

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

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

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

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

Notes

1. The XML schema covering both of the above usage reports is available on the NISO/SUSHI website (http://www.niso.org/schemas/sushi/counter_2_5.xsd). This schema can be used with the SUSHI and COUNTER_SUSHI schemas to retrieve any of the COUNTER reports (journals, databases, books, reference works, consortium). The flexibility of the schema is achieved through the use of several self-defining elements. Rather than enumerate the allowed values within the schema, these values are defined outside of the schema to allow new reports and metrics to be added without needing to update the schema each time. The values for the "Report" data element are listed in the Report Registry. Values for other elements can be found on the COUNTER Schema Data Element Values webpage.
2. Where journal articles and book chapters are available on the same platform, usage should be included in the same consortium report. Where journal articles and book chapters are available on separate platforms usage should be reported separately.
3. A list of the definitions used in the XML schema may be found in Appendix G of this Code of Practice.
4. For those who are not familiar with XML schemas an approximation in Excel of the new COUNTER schema has been provided in Appendix I of this Code of Practice. The purpose of this approximation is only to provide a graphic representation of the structure of the XML, not necessarily to generate an Excel version of the report, which may not always be possible, owing to the very large size of some usage reports.

Customer categories for Usage Reports

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

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

Report delivery

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

- Reports must be provided in the following formats:
 - Microsoft Excel file (see Section 4.1 above), or as a CSV file (See Appendix F), or as a file that can be easily imported into Microsoft Excel pivot tables.
 - As XML formatted in accordance with the COUNTER schema (http://www.niso.org/schemas/sushi/counter_2_5.xsd). More information on XML formatting is available in Appendix G.
- Each report should reside in a separate file or page to avoid files of unwieldy size
- Reports should be made available on a password-controlled website (accompanied by an email alert when data is updated).
- For consortium usage reports the consortium administrator must be able to access both the consolidated consortium level usage statistics and the usage statistics for individual consortium member institutions, from a single login, using the same user id and password (i.e. without having to log out and back in for each individual institution).
- Reports must be readily available
- Reports must be provided monthly
- Data must be updated within four weeks of the end of the reporting period

- All of last calendar year's data and this calendar year's to date must be supplied
- XML versions of the reports must be available for harvesting via the SUSHI protocol within 4 weeks of the end of the reporting period.

Data Processing

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

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

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

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

Return codes and time filters

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:

- where only the IP address of a user is logged that IP should be taken as the field to trace double-clicks
 - when a session-cookie is implemented and logged, the session-cookie should be used to trace the double-clicks.
 - when user-cookies are available and logged, the user-cookie should be used to trace double-clicks
 - when the username of a registered user is logged, this username should be used to trace double-clicks.
4. The options 1 to 4 above have an increasing level of reliability for filtering out double-clicks: option 1 has the lowest level of precision (and may lead to under reporting from the vendor perspective) while with option 4 the result will be optimal.
 5. 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.
 6. When two requests are made for one and the same article within the above time limits (10 seconds for HTML, 30 seconds for PDF), the first request should be removed and the second retained. Any additional requests for the same article within these time limits should be treated identically: always remove the first and retain the second. (For further information on the implementation of this protocol, see Appendix D: Guidelines for Implementation).

Correcting for the effects of federated searches and internet robots on usage statistics

The growing use of federated searches and the spread of internet robots have the potential to inflate enormously the usage statistics reported in the COUNTER reports. Without some control these activities could result in significant over-counting.

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

Protocol for federated searches and automated search agents

Search activity generated by federated search engines and automated search agents should be categorized separately from regular searches. Any searches generated from such systems should be included in separate "Searches_federated and automated" counts within Database Reports 1 and 3, and are not to be included in the "Searches run" counts in these reports. Sessions initiated by federated search engines and automated search engines should be categorized separately from regular sessions only in cases where such sessions are being captured by the vendor, when they should be included in a separate "Sessions_federated and automated" count within Database Reports 1 and 3 and not in the "Sessions" counts in these reports. (See example Database Reports 1 and 3 in Section 4.1. above).

'Federated Searches' and 'Automated Searches' covered by this protocol are defined in Table 1 in Section 3 above.

Federated search engines may utilize a variety of techniques to conduct a search, including Z39.50; standard or proprietary XML gateways or APIs; or, by screen-scraping the standard HTML interface. Federated search activity must be recognized regardless of the method of search.

Following are some examples of how search activity can be recognized – the content provider may wish to employ one or more of these techniques.

- The Federated Search engine may be using its own IP address. This IP can be identified and used for segregation of activity.
- If the standard HTML interface is being used, the browser ID within the web logs can be used to identify the activity as coming from a federated search.
- For Z39.50 activity, access is generally achieved through username/password. Create a unique username/password that just the federated search engine will use.

- If an API or XML gateway is available, set up an instance of the gateway that is for the exclusive use of such search tools.
- If an API or XML gateway is available, require the federated search to include an identifying parameter when making requests to the gateway.

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

Protocol for internet robots and crawlers

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

Protocol for LOCKSS caches

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

Retrospective reporting of errors in usage data

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

Reporting of usage statistics when journal titles change

When the title of a journal is modified or changed, usage statistics for that journal prior to the title change should be reported against the new title, provided the ISSN is unchanged, with the original title being dropped from the list. Where a new ISSN is allocated to the new title, the usage statistics should be reported separately, and those for the original title should continue to be reported against the original ISSN.

Auditing

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

The independent audit is required within 6 months of vendors first achieving compliance with the COUNTER Code of Practice for Journals and Databases, and annually thereafter. Vendors will be reminded by COUNTER at least three months before the deadline for an audit is due. COUNTER will recognize an audit carried out by any CPA (Certified Public Accountant) (USA), by any CA (Chartered Accountant) (UK), or by their equivalent in other countries. Alternatively, the audit may be done by another, COUNTER-approved auditor, such as ABCe, which is not a CA or a CPA. Information on COUNTER-approved auditors is provided on the Code of Practice page of the COUNTER website

The Audit Process

1. COUNTER compliant vendors will be notified in writing by COUNTER that an audit is required at least 3 months before the audit is due.
2. Vendors should respond within 1 month of receiving the reminder by informing COUNTER of their planned timetable for the audit and the name of the organization that will carry out the audit. Any queries about the audit process may be raised at this time.
3. Irrespective of the auditor selected, the audit must adhere to the requirements and use the tests specified in Appendix E of the Code of Practice for Journals and Databases.

4. Upon completion of the audit the auditor is required to send a signed copy of the audit report to the COUNTER office (pshepherd@ProjectCounter.org).
5. If, for any reason, a vendor fails the audit, that vendor will be allowed a grace period of three months to rectify the reasons for the failure before being removed from the Register of COUNTER compliant vendors.

Compliance

Timetable and procedure

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

Applications for COUNTER-compliant status

A Register of vendors and their products for which COUNTER compliant usage reports are available is maintained by the COUNTER office and posted on the COUNTER website. Vendors may apply to the Project Director (pshepherd@ProjectCounter.org) for their products to be included on the Register. Upon receipt of the application vendors will be required to allow at least one of the COUNTER library test sites to evaluate their usage reports. When the usage reports are deemed to comply with the COUNTER Code of Practice the vendor will be asked to sign a Declaration of COUNTER-compliance (Appendix B), after which the vendor and its products will be added to the Register. Within 6 months thereafter a report from an independent auditor, confirming that the usage reports and data are indeed COUNTER-compliant, will be required. See Appendix E for a description of the auditing procedure.

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

- Postal address: COUNTER PO Box 23544, Edinburgh EH3 6YY UK
- Fax Number: +44 (0)131 558 8478
- Email: pshepherd@ProjectCounter.org

Licence agreements

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

'The licensor confirms to the licensee that usage statistics covering the online usage of the 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 for Journal Report 1 and Journal Report

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

Customer confidentiality

Privacy and user confidentiality

Statistical reports or data that reveal information about individual users will not be released or sold by vendors without the permission of that individual user, the consortium, and its member institutions (ICOLC Guidelines, October 2006)

Institutional or Consortia Confidentiality

Vendors do not have the right to release or sell statistical usage information about specific institutions or the consortium without permission, except to the consortium administrators and other member libraries, and to the original publisher and copyright holder of the content. Use of institutional or consortium data as part of an aggregate grouping of similar institutions for purposes of comparison does not require prior permission as long as specific institutions or consortia are not identifiable. When required by contractual agreements, vendors may furnish institutional use data to the content providers. (based on ICOLC Guidelines, October 2006).

References to other standards, protocols and codes of practice

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

- ICOLC Guidelines for Statistical Measures of usage of Web-based Information Resources. The International Coalition of Library Consortia (ICOLC) has developed a set of guidelines for statistical measures of usage of web-based information resources, revised in 2006, which specify a set of minimum requirements for usage data, and also provide guidance on privacy, confidentiality, access, delivery and report format. The ICOLC Guidelines are particularly relevant to COUNTER. Additional information may be found at <http://www.library.yale.edu/consortia/webstats06.htm>
- JICWEBS (The Joint Industry Committee for Web Standards in the UK and Ireland) is a body created by the UK and Ireland media industry. Its purpose is to ensure independent development and ownership of standards for measuring on a site-centric, census basis audience reach, frequency and activity levels including the use and effectiveness of advertising in electronic media. Additional information may be found at: <http://www.jicwebs.org/> .
- MESUR (MEtrics from Scholarly Usage of Resources): The objective of this project is to enrich the toolkit used for the assessment of the impact of

scholarly communication items, and hence of scholars, with metrics derived from usage data. The project's principal investigator is Johan Bollen of the Los Alamos National Laboratory and its timeline is October 2006 to October 2008. Additional information may be found at:
<http://www.mesur.org/MESUR.html>

- NISO Forum on Performance Measures and Statistics for Libraries and NISO Standard Z39.7. Aspects of a number of NISO standards are relevant to COUNTER. For further information, see www.niso.org
- NISO/SUSHI: The objective of the Standardised Usage Harvesting Initiative (SUSHI) is to provide a freely available protocol that allows machine to machine automation of statistic harvesting. The SUSHI protocol, as well as further information, are available on the NISO/SUSHI website at:
<http://www.niso.org/workrooms/sushi/#about>

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

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

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

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, AcademicUniverse	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 Blackwell, Cambridge UniversityPress	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

#	Term	Examples / formats	Definition
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, ReferenceWork	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 typically host the items requested by the user. The gateway will either refer the user to another site or service to download the item, or will request the item from another site or service and delivers it to the user within its own gateway environment. Items may be cached.

#	Term	Examples / formats	Definition
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')

#	Term	Examples / formats	Definition
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.
3.1.1.28	Archive	Oxford Journals Archive	Non-current collections of journals, books, articles, or other publications that are preserved because of their continuing value and which are frequently made available by publishers as separate acquisitions
3.1.1.29	Cache	LOCKSS	Automated system that collects items from remote servers to serve closer and more efficiently to a given population of users. Often populated by robots (qv).

#	Term	Examples / formats	Definition
3.1.1.30	Institutional Identifier		A unique, centrally registered number in an internationally recognised, standardised format that identifies each individual institution in the supply chain.
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: a full-text article (original or a review of other published work); an abstract or digest of a full-text article; a sectional HTML page; supplementary material associated with a full-text article (eg a supplementary data set), or non-textual resources, such as an image, a video, or audio).
3.1.2.1.1	Full-text item	Full-text article, book chapter	A category of 'item' such as a full-text journal article, a book chapter, or an encyclopedia entry
3.1.2.2	Full- Content Unit		<i>Journals:</i> article <i>Books:</i> Minimum requestable unit, which may be the entire book or a section thereof. <i>Reference Works:</i> content unit appropriate to resource (eg dictionary definitions, encyclopedia articles, biographies, etc) <i>Non-textual resources:</i> file types 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)		<i>Journals:</i> A list of all articles published in a journal issue. <i>Books and reference works:</i> 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

#	Term	Examples / formats	Definition
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 Hypertext Markup Language. A form of text markup readable by web browsers.
3.1.2.7.1.1	Sectioned HTML		Journals that offer Full-text HTML include two types of full-text HTML options: the complete HTML file and a Sectioned HTML file. Full-text HTML files can be quite large and require some scrolling. Jump links are provided to help navigate the article. The Sectioned HTML link will display sections of the article, providing navigational links to move from one section to another. Displaying each section as a different file allows the flexibility to print or download only portions of the article and in a shorter amount of time than may be experienced with the article as one file. (Scitation AIP)
3.1.2.7.2	PDF		Portable Document Format, file formatted for the Adobe Acrobat reader. Items such as full-text articles or journals published in PDF format tend to replicate the printed page in appearance
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

#	Term	Examples / formats	Definition
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)
3.1.2.10.1	Automated search		Searches where systems are searched robotically and repeatedly in search of new content.
3.1.2.10.2	Federated Search	MetaLib, MuseGlobal, WebFeat	A federated search programme allows users to search multiple databases owned by different vendors simultaneously with a single query from a single user interface. (This definition does not apply to multiple database searching within the software of a given vendor online service provider where searching is done using the databases offered by that provider. Federated search tools will have known identifiers (e.g. IP address, UserAgent).
3.1.2.10.3	Internet robot, crawler, spider		Generic terms applied to any programme which visits websites and systematically retrieves information from them, usually to create entries for a search engine. Any automated program or script which visits websites and systematically retrieves information from them, often to provide indexes for search engines.
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

#	Term	Examples / formats	Definition
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)
3.1.2.15	Non-textual resources	Image, audio, video	Non-textual material that is published in an online journal, book or other publication that is often associated with a full text article, encyclopedia entry, or other textual material. COUNTER allows four categories of non-textual resource: image, video, audio and other.
3.1.3	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 service's 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 cooperative 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

#	Term	Examples / formats	Definition
			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

#	Term	Examples / formats	Definition
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) A group of institutions ("consortium members"), defined by a group of IP address ranges , for which collective and individual usage may be reported
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		IP address of the computer on which the session is conducted The identifying network address (typically four 8-bit numbers, aaa.bbb.cc.dd) of the user's computer or proxy.
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: Declaration of COUNTER Compliance

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

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

Signed: _____

Name: _____

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

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

Cheques should be made payable to 'Project COUNTER' and mailed to the address below. This signed declaration may be sent to COUNTER by fax or as an Email attachment: Fax: +44 (0)131 558 8478; Email: pshepherd@projectCounter.org

Appendix C: Organizational Structure of COUNTER

COUNTER Online Metrics is a not-for-profit company registered in England (Company No: 4865179). The company has a Board of Directors, who have delegated responsibility for the overall management and direction of COUNTER to an Executive Committee, chaired by Richard Gedye of Oxford University Press. Day-to-day management rests with 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 Board of Directors, Executive Committee and International Advisory Board are listed below:

Board of Directors

- Olaf Ernst, Springer Science+Business Media, Germany
- Cliff Morgan, Wiley, UK
- Ann Okerson, Yale University, USA
- Carol Tenopir, University of Tennessee, USA Hazel Woodward, Cranfield University, UK (Chair)
- Company Secretary:, Peter Shepherd

Executive Committee

- Richard Gedye, Oxford University Press, UK (Chair)
- Mick Archer, AstraZeneca, UK
- Marthyn Borghuis, Elsevier Science, The Netherlands Terry Bucknell, , Liverpool University, UK
- Adam Chandler, Cornell University, USA
- Terry Hulbert, American Institute of Physics, USA
- Tony Kidd, University of Glasgow, UK
- John McDonald, Claremont College, USA
- Jack Ochs, American Chemical Society, USA
- Kathy Perry, Virtual Library of Virginia (VIVA), USA
- Oliver Pesch, EBSCO, USA

- Peter Shepherd, (Project Director), UK
- David Sommer, MPS Technologies, UK
- Hazel Woodward, Cranfield University, UK

International Advisory Board

- Gayle Baker, University of Tennessee, USA
- Diana Bittern, Knovel, USA
- Lars Bjornshauge, Lund University, Sweden Johan Bollen, MESUR, USA
- Patricia Brennan, Thomson Scientific, USA
- Todd Carpenter, NISO, USA
- Diane Costello, CAUL, Australia
- John Cox, NUI Galway, Ireland
- Brian Crebs, Safari Books, USA
- Lorraine Estelle, JISC, UK
- Brian Green, BIC/EDItEUR, UK
- Tony Hammond, Nature Publishing Group, UK Timo Hannay, Nature Publishing Group, UK
- Warren Holder, University of Toronto, Canada
- Ruth Jones, MyiLibrary, USA
- Heather Joseph, ARL, USA
- Kornelia Junge, Wiley, Germany
- Bernd-Christoph Kaemper University of Stuttgart, Germany Shinya Kato, University of Tokyo, Japan Alexander Kousnetsov, NERC, Russia
- Martha Kyrrillidou, Association of Research Libraries, USA Judy Luther, , Informed Strategies, USA
- Michael Mabe, STM, UK
- Ross MacIntyre, University of Manchester, UK
- Kirsty Meddings, Ingenta, UK
- Lisa Moske, California State University, USA
- James Mouw, University of Chicago, USA
- David Nicholas, CIBER, UK
- Henning Nielsen, Novo Nordisk, Denmark
- Bo Ohstrom, National Library of Denmark, Denmark

- Jill O'Neill, NFAIS, USA
- Chris Parker, CABI, UK
- Norman Paskin, DOI, UK
- Bill Russell, Emerald, UK
- Wendy Queen, MUSE, USA
- Ian Russell, ALPSP, UK
- John Sack, HighWire Press, USA
- Sherrie Schmidt, ARL, USA
- Joachim Schöpfel, INIST, France
- Graham Taylor, Publishers' Association, UK
- Jill Taylor-Roe, University of Newcastle, UK

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.

4.1: Usage Reports

Filing order of journal titles

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

Institutional Identifiers

Cells B3 and B4 in the usage reports, currently blank, will be allocated to Institutional Identifiers, when a NISO standard for these has been agreed. Cell B3 will contain the text 'Institutional Identifier' and Cell B4 will contain the Institutional Identifier number appropriate to the customer. Vendors will be notified when this becomes a COUNTER requirement.

Categories of content covered by the COUNTER usage reports

COUNTER currently provides two Codes of Practice; one covers journals and databases, while the other covers books and reference works. It is recognized, however, that while these categories covers a large proportion of the online content purchased by librarians and library consortia, they do not cover everything. Pending the development of additional Codes of Practice that cover further categories of online content in the future, COUNTER allows such content, where appropriate, to be covered in the existing Codes of Practice. Each case is judged on its own merits, but examples include:

- Newspaper articles: where a collection of full text articles includes articles from periodical publications, such as newspapers, that are not journals and which may not have an ISSN number, usage of such articles may be counted in JR1 and JR3, as they constitute part of a package of content that has been purchased by a customer.

- Reports: reports that have neither an ISSN nor an ISBN may be part of a collection of online content that includes books and/or journals. Usage of such reports may be counted in the appropriate COUNTER journal or books reports (but not in both)
- Supplementary data sets, video clips, etc.: it is acknowledged that an online journal, for example, is more than a collection of articles and that a growing portion of the value of an online journal lies in the supplementary data and other features to which the user has access. To enable vendors to usage of such features, COUNTER has expanded the scope of Journal Report 3.

Journal Report 5

The usage statistics reported in Journal Report 5 are for the current calendar year-to- date, broken down by year-of-publication. The XML version of this report must be consistent with the Excel example provided in Section 4.1 of the Code of Practice; i.e. the usage statistics for each year-of-publication should not be broken down by month.

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>

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.

Note: the implementation of SUSHI by vendors does not fall within the scope of this audit: SUSHI is a new and developing protocol and there is not, at this stage, a standard audit test for SUSHI that can be applied to all COUNTER Release 3 compliant vendors. Vendors are reminded, however, that implementation of SUSHI is a requirement for Release 3 compliance and is covered by the Declaration of COUNTER Compliance signed by all Release 3 compliant vendors.

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 test- scripts.

The Required Audit Tests

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

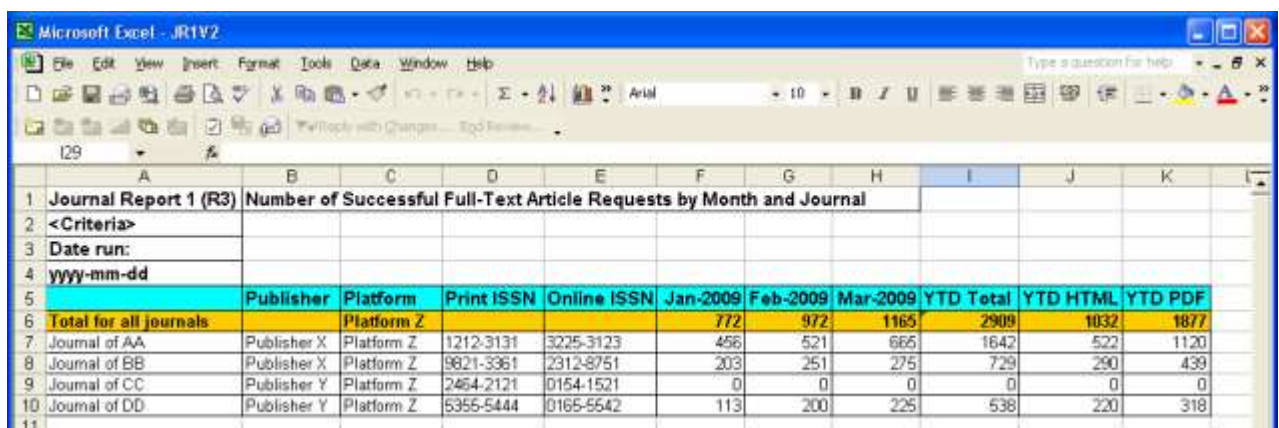
The auditor will check whether each of the reports mentioned below will comply with the report examples and descriptions as made available in the COUNTER Code of Practice. The following items need to be checked:

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 an Excel spreadsheet with the following data:

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

Note:

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 double-clicks within 10 seconds if the format requested is HTML or within 30 seconds if the format requested is PDF. For each article requested the auditor will record just 1 full text request for each set of double-clicks, recording the activity by journal keeping track of the HTML and PDF activity separately.
 - c. The auditor should request full text for 10 to 20 articles, performing double-clicks with 11 or more seconds between clicks for HTML and 31 or more seconds between clicks for PDF. For each article requested, the auditor will record a full text request for each click (2 per article), recording the activity by journal keeping track of the HTML and PDF activity separately.
 - 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 auditor's 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 1a: Number of Successful Full-Text Article Requests from an Archive by Month and Journal

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

	A	B	C	D	E	F	G	H	I	J	K
1	Journal Report 1a (R3)	Number of Successful Full-Text Article Requests from an Archive by Month and Journal									
2	<Archive Title>										
3	<Period Covered>										
4	<Criteria>										
5	Date run:										
6	yyyy-mm-dd										
7		Publisher	Platform	Print ISSN	Online ISSN	Jan-2009	Feb-2009	Mar-2009	YTD Total	YTD HTML	YTD PDF
8	Total for all journals		Platform Z			772	972	1165	2909	1032	1877
9	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	456	521	665	1642	522	1120
10	Journal of BB	Publisher X	Platform Z	9621-3361	2312-8751	203	251	275	729	290	439
11	Journal of CC	Publisher Y	Platform Z	2464-2121	0154-1521	0	0	0	0	0	0
12	Journal of DD	Publisher Y	Platform Z	5355-5444	0165-5542	113	200	225	538	220	318
13											

Note:

- 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.
- 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 1a: Auditing Requirements:

As for Journal Report 1 (see above)

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.

	A	B	C	D	E	F	G	H	I	J
1	Journal Report 2 (R3)	Turnaways by Month and Journal								
2	<Criteria>									
3	Date run:									
4	yyyy-mm-dd									
5		Publisher	Platform	Print ISSN	Online ISSN	Page type	Jan-2009	Feb-2009	Mar-2009	YTD Total
6	Total for all journals		Platform Z				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	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 above terms, see Section 3.

Journal Report 2: Auditing Requirements:

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

Database Report 1 (R3) Total Searches and Sessions by Month and Database							
<Criteria>							
Date run:							
yyyy-mm-dd							
	Publisher	Platform		Jan-2009	Feb-2009	Mar-2009	YTD Total
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 Database BB	Publisher Y	Platform Z	Searches run	3466	3210	4459	11135
9 Database BB	Publisher Y	Platform Z	Sessions	1987	2200	2544	6731
10 Database AA	Publisher X	Platform Z	Searches-federated	5932	4976	6022	16930
11 Database AA	Publisher X	Platform Z	Sessions-federated	3421	4523	4409	12353
12 Database BB	Publisher Y	Platform Z	Searches-federated	7734	6832	6001	20567
13 Database BB	Publisher Y	Platform Z	Sessions-federated	3986	2899	3687	10772

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

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

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

The screenshot shows an Excel spreadsheet with the following data:

	A	B	C	D	E	F	G	H	I	J	K
1	Database Report 2 (R3) Turnaways by Month and Database										
2	<Criteria>										
3	Date run:										
4	yyyy-mm-dd										
5		Publisher	Platform	Page type	Jan-2009	Feb-2009	Mar-2009	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											

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.

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 Service

	Platform		Jan-2009	Feb-2009	Mar-2009	YTD Total	
6	Total for Service AA	Platform Z	Searches run	16567	18643	20907	56197
7	Total for Service AA	Platform Z	Sessions	12007	13677	13003	37687
8	Total for Service AA	Platform Z	Searches - federated	56037	68545	75203	201185
9	Total for Service AA	Platform Z	Sessions - federated	32766	41539	43667	118162

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.

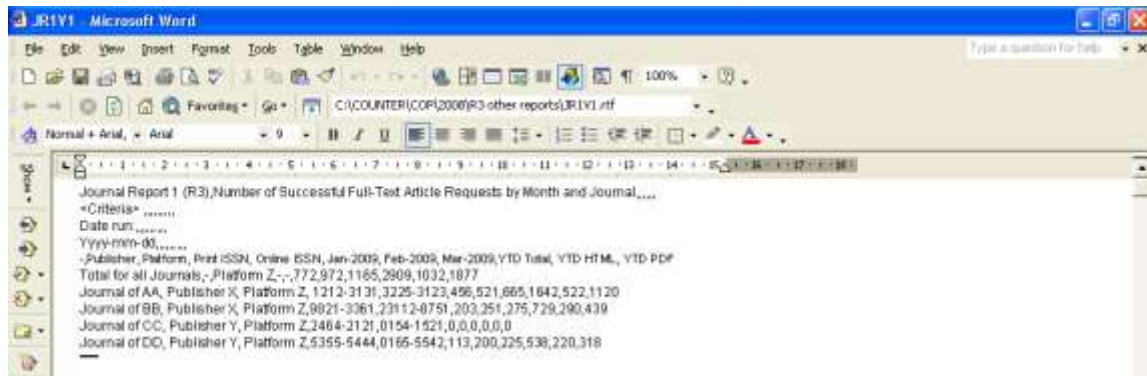
2. Database Report 3 only counts the discrete searches and sessions. For example, if a 100 searches run for Database Report 1 were conducted in 10 session of 10 searches each and the auditor had accesses to 10 databases, Database Report 3 would be expected to show a total of 10 sessions and 100 searches (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 3 Usage Reports in CSV format.

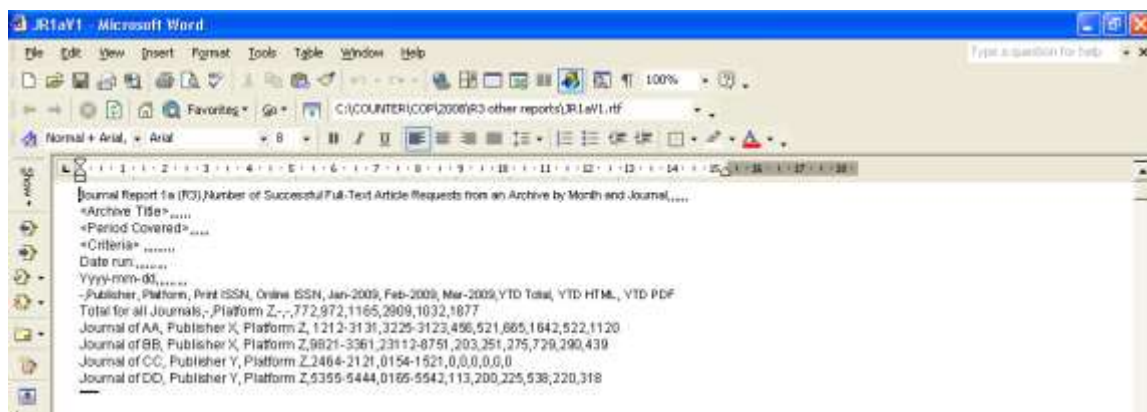
Journal Report 1: Number of Successful Full-Text Article Requests by Month and Journal

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



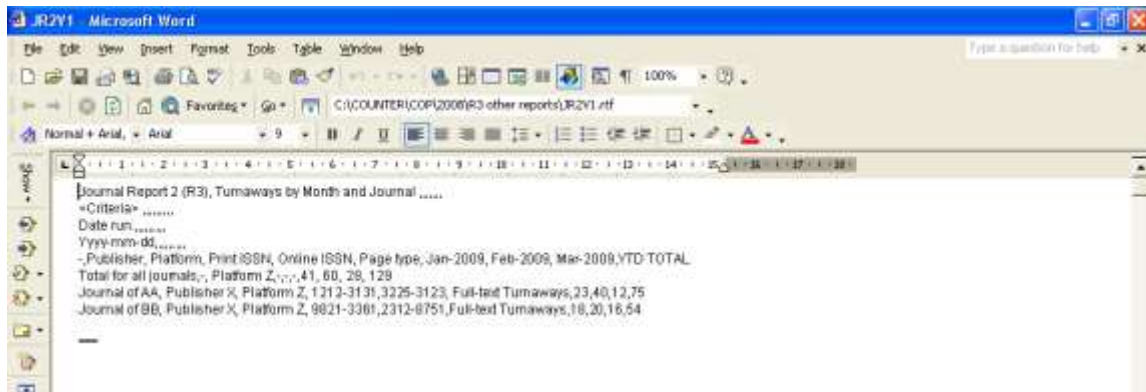
Journal Report 1a: Number of Successful Full-Text Article Requests from an Archive by Month and Journal

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



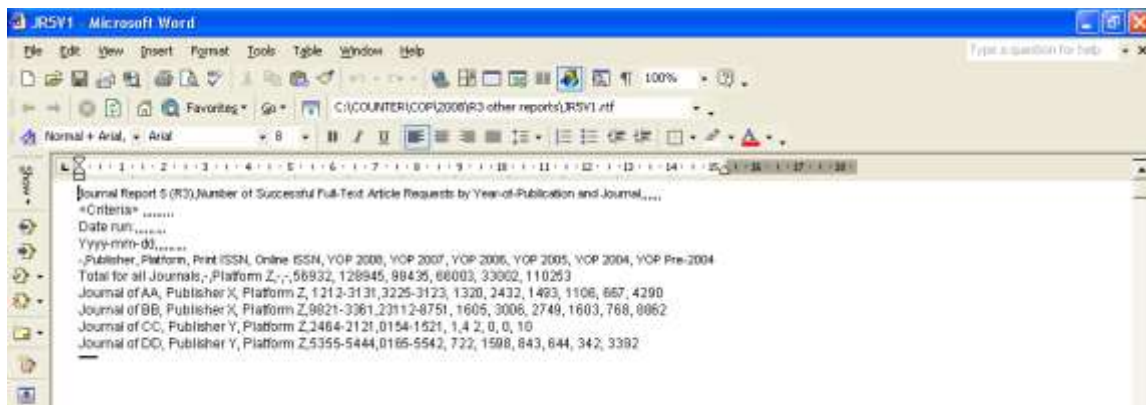
Journal Report 2: Turnaways by Month and Journal

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

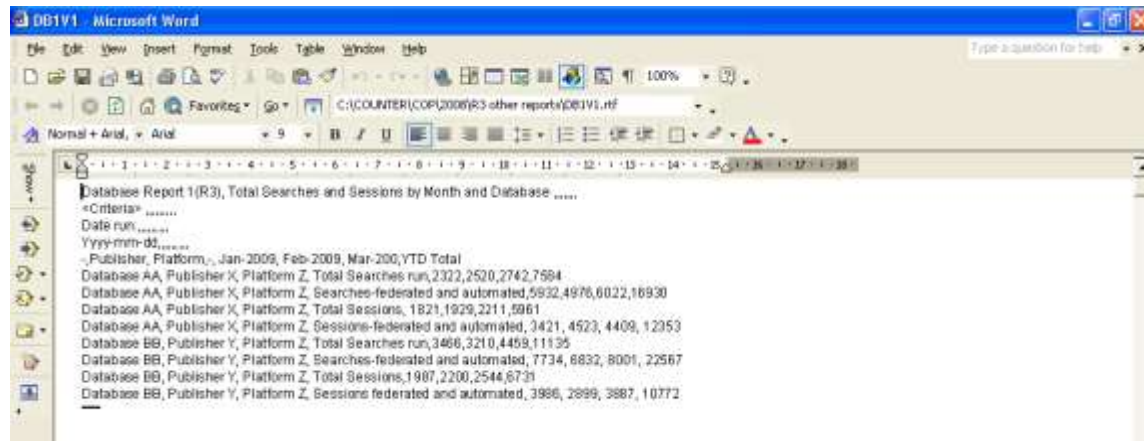


Journal Report 5: Number of Successful Full-Text Article Requests by Year-of-Publication and Journal

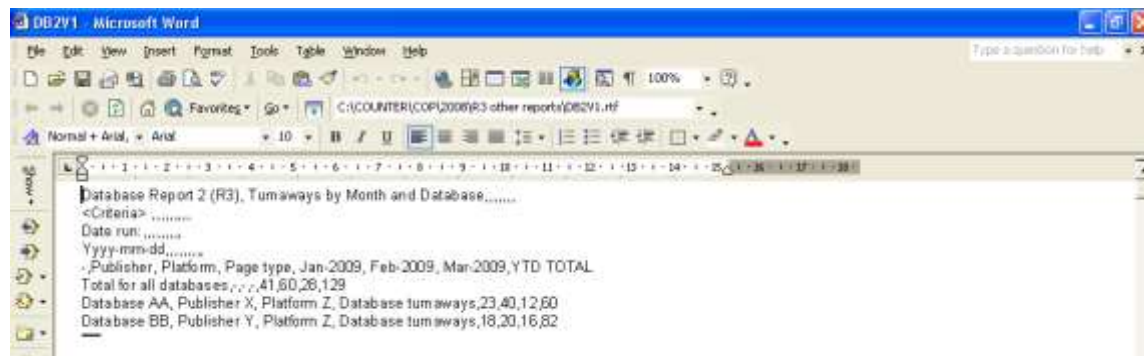
(Full journal name, print ISSN and online ISSN are listed.)



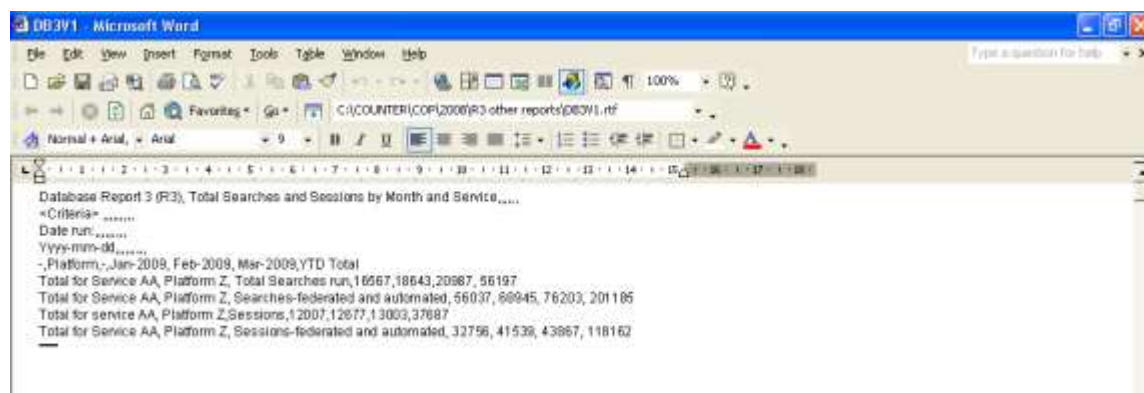
Database Report 1: Total Searches and Sessions by Month and Database



Database Report 2: Turnaways by Month and Database



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



Appendix G: COUNTER Schema 3.0

Definitions

The design of the new COUNTER schema makes it capable of supporting all COUNTER reporting needs, including the new Consortium Report.

The flexibility of the schema is achieved through the use of several self-defining elements. Rather than enumerate the allowed values within the schema, these values are defined outside of the schema to allow new reports and metrics to be added without needing to update the schema each time. This document lists those elements and the current set of allowed values for each.

Report

The reports are defined through elements of the main “Report” element. The following table defines the elements and lists the approved values.

Name	Title
BR1	Book Report 1: Number of Successful Title Requests by Month and Title
BR2	Book Report 2: Number of Successful Section Requests by Month and Title
BR3	Book Report 3: Turnaways by Month and Title
BR4	Book Report 4: Turnaways by Month and Service
BR5	Book Report 5: Total Searches and Sessions by Month and Title
BR6	Book Report 6: Total Searches and Sessions by Month and Service
CR1	Consortium Report 1: Number of successful full-text requests by month
CR2	Consortium Report 2: Total searches by month and database
DB1	Database Report 1: Total Searches and Sessions by Month and Database
DB2	Database Report 2: Turnaways by Month and Database
DB3	Database Report 3: Total Searches and Sessions by Month and Service
JR1	Journal Report 1: Number of Successful Full-Text Article Requests by Month and Journal
JR2	Journal Report 2: Turnaways by Month and Journal

ItemIdentifierType

The identifier type is used to qualify the identifier as ISSN, ISBN, etc. Following is the list of approved values:

IdentifierType	Description
online_ISSN	Online ISSN
print_ISSN	ISSN of the print edition
online_ISBN	ISBN of the online version
print_ISBN	ISBN of the print version
DOI	Digital Object Identifier

Data Type

The data type defines the nature of the item the metrics are being gathered for.

Data Type	Description
journal	Used for journal and consortium reports
database	Used for database and consortium reports
platform	Defines the "service" for book reports 4 & 6 and journal report 3.
book	Used for book reports and consortium reports

Category

The category defines the nature of the usage data being gathered. The following table lists valid categories and indicates which DataTypes a given Category would apply to.

Category	Valid DataTypes for Category
requests	Journal, Book
searches	Database, Platform
sessions	Database, Platform
turnaways	Journal, Book, Database

MetricType

Within a category, multiple metrics may be gathered. Following is the list of valid MetricTypes and the categories they apply to.

MetricType	Description	Valid Categories for MetricType
ft_ps	Postscript file full text requests	Requests
ft_pdf	PDF file full text request	Requests
ft_html	HTML full text requests	Requests
ft_total	Total full text requests	Requests

count	Simple count of usage (no breakdown) for the Category	Searches, Sessions, Turnaways
other	The "other" category was provided for within the original COUNTER schema	

Appendix H: Optional Additional Usage Reports

Updated: November 2011

Below are listed examples of usage reports that are not mandatory for compliance with COUNTER Release 3, but which vendors are welcome to provide should their customers request more detailed usage information. These reports fall into two categories. The first category covers a new usage report for vendors that provide both online journals and online books on the same platform, while the second includes reports that provide more granular information on journal usage

Usage Reports for Vendors that provide online journals and online books on the same platform

The advent of the SUSHI protocol (http://www.niso.org/committees/SUSHI/SUSHI_comm.html) has greatly facilitated the handling of large volumes of usage data, which is a particular advantage for reporting the usage of large numbers of titles – both book and journal. For this reason, COUNTER has developed a new report to cover usage of online journals and books that are provided on the same platform. This report, in view of its potential size, is specified only in XML format. This report is described below:

Journal/Book Report 1: Number of successful full-text item requests by month and title (XML only).

This report is a single XML file that contains the full-text usage data for every online journal and online book taken by the customer specified in the report.

XML Schema: http://www.niso.org/schemas/sushi/counter3_0.xsd

Note:

- The XML schema covering the above usage reports is available on the NISO/SUSHI website (http://www.niso.org/schemas/sushi/counter3_0.xsd). This schema can be used with the SUSHI and COUNTER_SUSHI schemas to retrieve any of the COUNTER reports (journals, databases, books, reference works, consortium). The flexibility of the schema is achieved

through the use of several self-defining elements. Rather than enumerate the allowed values within the schema, these values are defined outside of the schema to allow new reports and metrics to be added without needing to update the schema each time. The values for the "Report" data element are listed in the Report Registry. Values for other elements can be found on the COUNTER Schema Data Element Values webpage.

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

Delivery of the above book/journal report must conform to the specifications below:

- XML is the only approved format for Journal/Book Report 1.
- 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 posted and available 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

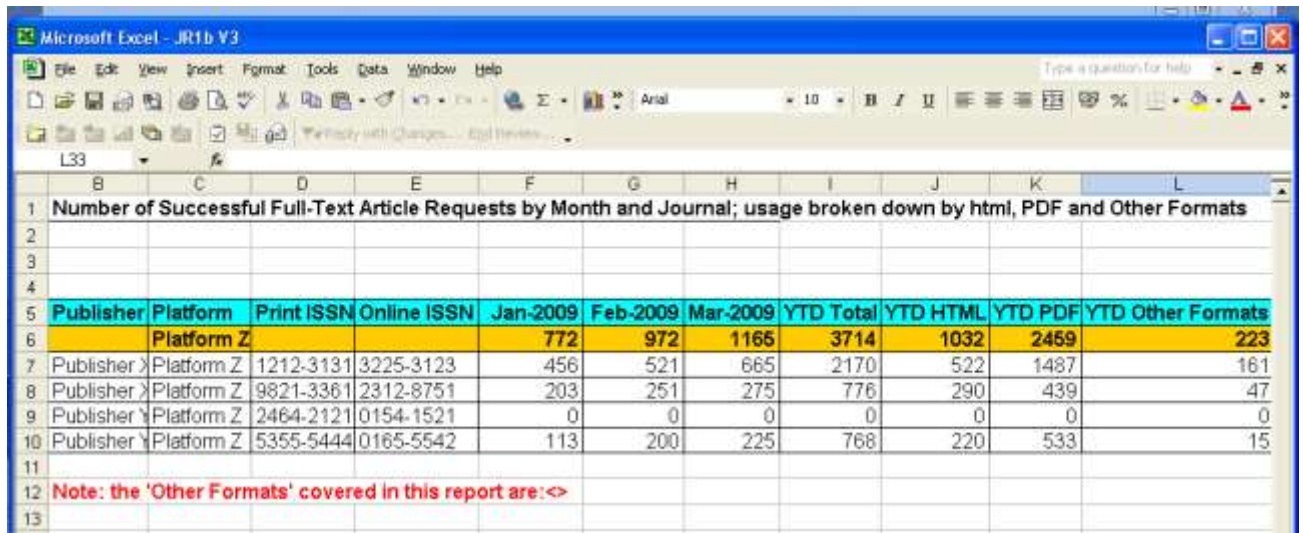
Journal Usage Reports

Below are optional additional reports that provide more granular information on journal usage.

Journal Report 1b: Number of Full-Text Article Requests by Month and Journal; usage broken down by html, PDF and Other Formats

This report provides a more detailed breakdown of the article formats reported.

In addition to reporting html and PDF usage, it also enables usage of Other Formats to be reported separately. Other Formats may include, for example, EPUB, which is widely used for viewing content on mobile devices.



	B	C	D	E	F	G	H	I	J	K	L
1	Number of Successful Full-Text Article Requests by Month and Journal; usage broken down by html, PDF and Other Formats										
2											
3											
4											
5	Publisher	Platform	Print ISSN	Online ISSN	Jan-2009	Feb-2009	Mar-2009	YTD Total	YTD HTML	YTD PDF	YTD Other Formats
6		Platform Z			772	972	1165	3714	1032	2459	223
7	Publisher X	Platform Z	1212-3131	3225-3123	456	521	665	2170	522	1487	161
8	Publisher X	Platform Z	9821-3361	2312-8751	203	251	275	776	290	439	47
9	Publisher X	Platform Z	2464-2121	0154-1521	0	0	0	0	0	0	0
10	Publisher Y	Platform Z	5355-5444	0165-5542	113	200	225	768	220	533	15
11											
12	Note: the 'Other Formats' covered in this report are:<>										
13											

Note:

1. Other Formats may include, for example, EPUB, which is widely used for viewing content on mobile devices.
1. Vendors must specify, where indicated in the report above, the Other Formats included in the report.
2. 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 3: Number of Successful Item Requests and Turnaways by Month, Journal and Page-Type

This report enables vendors to report usage of, for example, non-textual resources, such as video clips, audio clips or images, which are becoming an increasingly important feature of online journals.

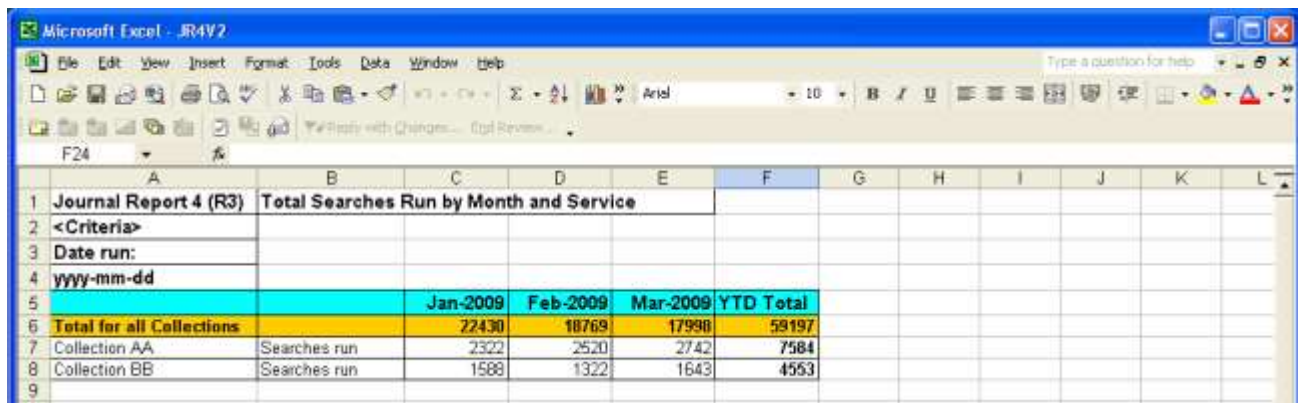
1	Journal Report 3 (R3) Number of Successful Item Requests and Turnaways by Month, Journal and Page Type									
2	<Criteria>									
3	Date run:									
4	yyyy-mm-dd									
5	Publisher	Platform	Print ISSN	Online ISSN	Page type	Jan-2009	Feb-2009	Mar-2009	YTD Total	
6	Journal of AA	Publisher X	Platform 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	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Sectioned HTML	109	112	153	374
16	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Supplementary data set	34	35	54	123
17	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Non-textual resource: audio	6	7	19	31
18	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Non-textual resource: image	6	10	12	28
19	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Non-textual resource: video	13	22	31	66
20	Journal of AA	Publisher X	Platform Z	1212-3131	3225-3123	Non-textual resource: other	3	7	6	16
21	Journal of BB	Publisher X	Platform Z	9821-3361	0154-1521	Table of Contents	220	300	346	866
22	Journal of BB	Publisher X	Platform Z	9821-3361	0154-1521	Abstracts	180	202	154	536
23	Total for all journals	Publisher X	Platform Z			Table of Contents	66322	70312	81554	218188
24	Total for all journals	Publisher X	Platform Z			Abstracts	54126	46005	55265	155396
25	Total for all journals	Publisher X	Platform Z			References	4532	3987	5473	13992
26	Total for all journals	Publisher X	Platform Z			Full-text Postscript	11345	10947	12534	34826
27	Total for all journals	Publisher X	Platform Z			Full-text PDF	32112	34554	36221	104887
28	Total for all journals	Publisher X	Platform Z			Full-text HTML	22500	24000	19500	66000
29	Total for all journals	Publisher X	Platform Z			Full-text Total	54612	58554	57721	170887
30	Total for all journals	Publisher X	Platform Z			Full-text PDF turnaways	3221	4112	2113	9446
31	Total for all journals	Publisher X	Platform Z			Full-text HTML turnaways	1123	1321	1511	3955
32	Total for all journals	Publisher X	Platform Z			Sectioned HTML	109	112	153	374

Note: 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 allows vendors to report the number of searches done across a collection of full-text journals in a Service



	A	B	C	D	E	F	G	H	I	J	K	L
1	Journal Report 4 (R3)	Total Searches Run by Month and Service										
2	<Criteria>											
3	Date run:											
4	yyyy-mm-dd											
5			Jan-2009	Feb-2009	Mar-2009	YTD Total						
6	Total for all Collections		22430	18769	17998	59197						
7	Collection AA	Searches run	2322	2520	2742	7584						
8	Collection BB	Searches run	1588	1322	1643	4553						
9												

Note: 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.

Multimedia Content

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

Only Successful Requests for Multimedia Full Content Units may be counted. Usage of thumbnails or descriptive text associated with an image, etc must not be counted.

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

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

Note:

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

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

The XML Schema for Multimedia Report 1 is at:

http://www.niso.org/schemas/sushi/counterElements4_0.xsd

Reports for a Library Consortium

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

Appendix J: List of Known Federated Search Engines

AGENTPORT-SCOCIT
AGENTPORT-SDICIT
AHMKEYS-SCOCIT
AHMKEYS-SCOFUL
ARCHIMINC-SCOCIT
ARCHIMINC-SDICIT
CITAVI-SCOCIT
CITAVI-SDICIT
COSMADRALI-SCOCIT
COSMADRALI-SDICIT
DEEPEX-SCOCIT
DEEPEX-SDIABS
DEEPEX-SDICIT
EDINGET-SCOCIT
EDINGET-SDICIT
ENCOMP-SCOCIT
ENCOMP-SDIABS
ENCOMP-SDICIT
GROGRO-SDICIT
HENKINTRA-SCOCIT
INERAEX-SCOCIT
INTELLIFED-SCOCIT
INTELLIFED-SDICIT
MEKPAPERS-SCOCIT
MEKPAPERS-SDICIT
METALIB-SCOCIT
METALIB-SDICIT
MUSESEARCH-SCOCIT
MUSESEARCH-SDICIT

NJIT-SCOCIT
NRLNAVY-SCOCIT
OCLCPICAZ2-SCOCIT
OCLCPICAZ2-SDICIT
OOIPSDWID-SDICIT
POTIRORDY-SCOCIT
POTIRORDY-SDICIT
QES-SCOCIT
QES-SDICIT
QINETIQ-SCOCIT
RIGHTS-SDIABS
RITENSE-SCOCIT
SERSOL-SCOCIT
SERSOL-SDICIT
SYSONEMCKIN-SCOFUL
SYSONEMCKIN-SDIABS
TDNETDF-SCOCIT
TDNETDF-SDICIT
TDNSRCHR-SCOCIT
TDNSRCHR-SDICIT
UAG-SCOCIT
UMIARERES-SCOCIT
UWASOCR-SCOCIT
UWASOCR-SCOFUL
VSPACES-SCOCIT
VSPACES-SDICIT
WEBFEAT-SCOCIT
WEBFEAT-SDICIT

Note:

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

Appendix K: List of Internet robots, crawlers, etc

Alexandria prototype project	MSNBot
Arachmo	NaverBot
Brutus/AET	Offline Navigator
Code Sample Web Client	playstarmusic.com
dtSearchSpider	Python-urllib
FDM 1	Readpaper
Fetch API Request	Strider
GetRight	Teleport Pro
Goldfire Server	Teoma
Googlebot	T-H-U-N-D-E-R-S-T-O-N-E
httpget-5.2.2	Web Downloader
HTTrack	WebCloner
iSiloX	WebCopier
libwww-perl	WebReaper
LWP::Simple	WebStripper
lwp-trivial	WebZIP
Microsoft URL Control	Wget
Milbot	Xenu Link Sleuth
Note:	

1. The above list is a core minimum list
2. Will be updated
3. Depending on the log format used, the matching algorithm that checks the user-agent against this list may require replacement of " " (spaces) by "+" (plusses) (e.g. "Teleport+Pro" instead of "Teleport Pro").

Appendix I: Consortium Report

Consortium Report 1(R3): Number of successful full text journal article or book chapter requests by month

(Appendix I)

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_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
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