



The COUNTER Code of Practice

Books and Reference Works: Release 1

March 2006

Abstract

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

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COUNTER Code of Practice

Books and Reference Works

Release 1: March 2006

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

1. Foreword

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

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.

The following organizations support COUNTER:

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

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

AAP/PSP, Association of American Publishers, Professional and Society Publishing Division
ACRL, Association of College & Research Libraries
AIP, American Institute of Physics
ALPSP, The Association of Learned & Professional Society Publishers
ARL, Association of Research Libraries
ASA, Association of Subscription Agents and Intermediaries
Atypon Systems Inc.
Blackwell Publishing
BMJ Publishing Group
EBSCO Information Services
Elsevier
HighWire Press
Ingenta

ICSTI, International Council for Scientific & Technical Information
Institute of Physics Publishing
JISC, Joint Information Systems Committee
JSTOR
Lippincott, Williams & Wilkins
Nature Publishing Group
New England Journal of Medicine
OCLC, Online Computer Library Center, Inc.
Oxford University Press
PA, The Publishers Association
ProQuest
STM, International Association of Scientific, Technical & Medical
Publishers
Swets
Taylor & Francis Group
Thieme Publishing Group
UKSG, United Kingdom Serials Group

2. General information

2.1 Purpose

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

2.2 Scope

This COUNTER Code of Practice provides a framework for the recording and exchange of online usage statistics for books and reference works at an international level. In doing so, it covers the following areas: data elements to be measured; definitions of these data elements; content and format of usage reports; requirements for data processing; requirements

for auditing; guidelines to avoid duplicate counting when intermediary gateways and aggregators are used.

2.3 Application

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

2.4 Strategy

COUNTER provides open Codes of Practice that will evolve in response to the demands of the international librarian, publishing and intermediary communities. A conscious decision was taken to limit Release 1 for books and reference works 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.

2.5 Governance

The COUNTER Codes of Practice are owned and developed by Counter Online Metrics, a not-for-profit company registered in England (Company Number 4865179). Counter Online Metrics is governed by a Board of Directors, chaired by Richard Gedye of Oxford University Press. An Executive Committee reports to the Board, and the day-to-day management of COUNTER is the responsibility of the Project Director, Peter Shepherd (pshepherd@projectCounter.org). See Section 9 below.

2.6 Definitions

This Code of Practice provides two categories of definitions of data elements and other terms. Those listed in Table 1 are directly relevant to the usage reports listed in Section 4. They are a subset of the more comprehensive Glossary provided in Appendix A. Every effort has been made to use existing ISO, NISO, etc. definitions where appropriate, and the source is cited.

2.7 Versions

This 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 and users will be alerted to its availability. It is planned that there will be no more than one new Release of this Code of Practice in any given calendar year. A separate COUNTER Code of Practice covering journals and databases is also available on the COUNTER website (www.projectCounter.org).

2.8 Auditing and COUNTER compliance

From 2007 auditing by an independent auditor will be required of each vendor's reports and processes to certify that they are compliant with this Code of Practice. The auditing process is already in place for journals and databases. It is designed to be simple, straightforward and not to be unduly burdensome or costly to the vendor.

2.9 Relationship to other standards, protocols and codes

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

2.10 Making comments on the Code of Practice

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

3. Definitions of terms used

Table 1 below lists the terms directly relevant to Release 1 of the Code of Practice for books and reference works 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 Usage Reports in Section 4

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

Term	Examples/formats	Definition	Glossary Reference Number
Aggregator	ProQuest, Gale, Lexis Nexis	A type of vendor that hosts content from multiple publishers, delivers content direct to customers and is paid for this service by customers.	3.1.1.16
Chapter		A subdivision of a book or of some categories of reference work; usually numbered and titled.	3.1.1.12
Consortium	Ohiolink	The consortium through which the institution or user obtained online access. A consortium is defined by a range of IP addresses that may be in specific groupings (e.g. institutes).	3.3.4

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
Entry	A dictionary definition	A record of information in some categories of reference work.	3.1.1.13
Gateway	SWETSwise, OCLC ECO	An intermediary online service which does not store the items requested by the user, and which either a) refers these requests to a host or vendor site or service from which the items can be downloaded by the user, or b) requests items from the vendor site or service and delivers them to the user within the gateway environment.	3.1.1.15
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.	3.1.2.7.1
IP address	The IP address seen by the primary service-this may be the real end-user's IP or a proxy IP. This is always recorded, even if the authentication is not via IP address.	IP address of the computer on which the session is conducted.	3.1.3.2
ISBN		The International Standard Book Number (ISBN) is a unique identifier, consisting of a 13-digit code, allocated to the publication; it identifies the publisher, title, edition and volume number.	3.1.1.18

Item	Full text article, TOC, Abstract, Database record.	A uniquely identifiable piece of published work that may be original or a digest or a review of other published work. PDF, Postscript and HTML formats of the same full text article (for example), will be counted as separate items.	3.1.2.1
Item Requests		Number of items requested by users as a result of a search. User requests include viewing, downloading, emailing and printing of items, where this activity can be recorded and controlled by the server rather than the browser. Turnaways will also be counted. (See 3.1.5.4)	3.1.2.11
Licensee		= Subscriber (see 3.3.1 above)	3.3.2
PDF		Article formatted in portable document format so as to be readable via the Adobe Acrobat reader; tends to replicate online the appearance of an article as it would appear in printed page form.	3.1.2.7.2
Publisher	Wiley, Cambridge University Press	An organization whose function is to commission, create, collect, validate, host and distribute information online and/or in printed form.	3.1.1.2
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.	3.1.1.9
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
Section	Chapter, entry	A subdivision of a book or reference work.	3.1.1.10

Service	Science Direct, Academic Universe, Wiley Interscience	A branded group of online information products from one or more vendors that can be subscribed to/licensed and searched as a complete collection, or at a lower level.	3.1.1.1
Session		A successful request of an online service. It is one cycle of user activities that typically starts when a user connects to the service or database and ends by terminating activity that is either explicit (by leaving the service through exit or logout) or implicit (timeout due to user inactivity). (NISO)	3.1.4.2
Subscriber		An individual or organization that pays a vendor in advance for access to a specified range of the vendor's services and/or content for a pre-determined period of time and subject to terms and conditions agreed with the vendor.	3.3.2
Successful request		For web-server logs successful requests are those with specific return codes, as defined by NCSA.	3.1.2.12
Title		The designation of a separate bibliographic whole, whether issued in one or several volumes, reels, discs, slides, or other parts. (NISO)	3.1.1.7
Turnaway (Rejected Session)		A turnaway (rejected session) is defined as an unsuccessful log-in to an electronic service due to exceeding the simultaneous user limit allowed by the licence	3.1.4.4
User		An individual with the right to access the online resource, usually provided by their institution, and conduct a session.	3.3.7

Username and Password		No definition required.	3.1.3.1
Vendor	Wiley, Oxford University Press	A publisher or other online information provider who delivers its own licensed content to the customer and with whom the customer has a contractual relationship.	3.1.1.16
Volume	Alpha-numeric, no leading zeros	Numbered collection of a minimum of one journal issue; in printed form, volumes of more than one issue are not normally bound together by the publisher, but are frequently bound together in hardback by the purchasing library to aid preservation of the printed product. Books: Numbered collection of articles, chapters, or entries that is part of a larger, multi-volume work, either published together or serially.	3.1.1.23
Year		Year in which an article, item, issue or volume is first published in any medium.	3.1.1.24

4. Usage Reports

This section lists the COUNTER Usage Reports for books and reference works and specifies the content, format and delivery specifications that these reports must meet to be designated 'COUNTER-Compliant'. Vendors must supply the Usage Reports relevant to their COUNTER-compliant online product categories (as listed in the COUNTER Register of Vendors) at no additional charge to customers.

Note: to comply with this Code of Practice vendors must implement the new, 13-digit ISBN that will apply to all books and book-related products from 1 January 2007. (<http://www.niso.org/standards/resources/ISBN.html>)

4.1 Usage Reports

4.1.1 Examples are provided below of the Usage Reports. Vendors are required to supply those reports that are relevant to their online content categories. Reports must comply exactly with the formats specified in order to be COUNTER compliant.

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

(Full title and ISBN are listed.)

1	Book Report 1 (R1) Number of Successful Title Requests by Month and Title							
2	<Criteria>							
3	Date run:							
4	yyyy-mm-dd							
5	Publisher	Platform	ISBN	ISSN	Jan-2006	Feb-2006	Mar-2006	YTD Total
6	Total for all titles				90	62	118	270
7	Title AA	Publisher X	Platform Z	9-780901-690548	n/a	56	21	66
8	Title BB	Publisher X	Platform Z	9-780901-691539	2312-8751	23	21	27
9	Title CC	Publisher Y	Platform Z	9-785411-692557	n/a	0	0	0
10	Title DD	Publisher Y	Platform Z	9-785411-693446	0165-5542	11	20	25
11								
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Note:

1. Book Report 1 is only to be supplied for those titles for which Book Report 2 cannot be provided, i.e. it applies only to those titles that are available to the customer as a single file.
2. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'Harvard University', 'Department of Chemistry'
3. the 'Total for all titles' line is provided at the top of the Table to allow it to be stripped out without disrupting the rest of the Table, as the number of books included may vary from one month to another.
4. Books for which the number of title requests is zero in every month should be included in Book Report 1, except where an aggregator or gateway is responsible for recording and reporting the usage (see Table 2 in Section 7 below).

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

Book 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 BR1. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the second column and the 6th row. In CSV, this would refer to the 2nd filed position on the 6th row of the file.

Display/Formatting Rules:

1. Cell A1 contains the text 'Book Report 1 (R1)'
2. Cell B1 contains the text 'Number of Successful Title Requests by Month and Title'
3. Cell A2 contains the 'criteria' as defined in the Code of Practice (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 February 2006 would show 2006-02-12.
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 'ISBN'.
10. Cell E5 contains the text '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 2006 this cell will contain 'Jan-2006'.
12. Cell G5, H5, etc. repeat F5 for each month of data contained in the report, with the same Mmm-yyyy formatting.
13. Cell I5 (in this example), the column after the last month of data, contains the text 'YTD Total'.
14. Cell A6 contains the text 'Total for all titles'.
15. Cell B6 contains the name of the publisher/vendor, provided that all the titles listed in column A are from the same publisher/vendor. If not, this cell is left blank.
16. Cell C6 contains the name of the platform.
17. Cells D6 and E6 are left blank.
18. Cell A7 down to Cell A[n] contains the title of each book.
19. Cell B7 down to Cell B[n] contains the name of the publisher of each book.
20. Cell C7 down to Cell C[n] contains the name of the platform on which each book is published.
21. Cell D7 down to Cell D[n] contains the ISBN of each book.
22. Cell E7 down to E[n] contains the ISSN, if the book is part of a series which has an ISSN. If not, this cell is left blank.
23. Cell F7 down to Cell F[n] contains the number of successful requests for that title in that month.
24. Similarly, Cell G7 down to Cell G[n], Cell H7 down to Cell H[n], etc. contain the number of successful requests for that title in the corresponding months.
25. Cell I7 down to I[n] (or whatever column follows the last month of data) contains the number of successful requests for that year-to-date, i.e. the sum of the successful requests for each month reported, up to and including the last reported month.

26. Cells F6 across to Cell I6 (or whatever column corresponds to the last column of the table) give totals for each column. The figure reported in the cells in Row 6 must equal the sum of the cells for that column from Row 7 to the bottom of the table.

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

(Full title and ISBN are listed.)

1	Book Report 2 (R1) Number of Successful Section Requests by Month and Title							
2	<Criteria>							
3	Date run:							
4	yyyy-mm-dd							
5	Publisher	Platform	ISBN	ISSN	Jan-2006	Feb-2006	Mar-2006	YTD Total
6	Total for all titles		Platform Z		772	972	1165	2909
7	Title AA	Publisher X	Platform Z	9-787543-690548	456	521	665	1642
8	Title BB	Publisher X	Platform Z	9-783924-691539	203	251	275	729
9	Title CC	Publisher Y	Platform Z	9-786432-692557	0	0	0	0
10	Title DD	Publisher Y	Platform Z	9-781945-693446	113	200	225	538
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Note:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'Harvard University', 'Department of Chemistry'
2. The 'Total for all titles' line is provided at the top of the Table to allow it to be stripped out without disrupting the rest of the Table, as the number of titles included may vary from one month to another.
3. Books for which the number of section requests is zero in every month should be included in Book Report 2, except where an aggregator or gateway is responsible for recording and reporting the usage (see Table 2 in Section 7 below).

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

Book 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 BR2. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the second column and the 6th row. In CSV, this would refer to the 2nd filed position on the 6th row of the file.

Display/Formatting Rules:

1. Cell A1 contains the text 'Book Report 2 (R1)'.
2. Cell B1 contains the text 'Number of Successful Section Requests by Month and Title'.
3. Cell A2 contains the 'criteria' as defined in the Code of Practice (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 February 2006 would show 2006-02-12.
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 'ISBN'.
10. Cell E5 contains the text '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 2006 this cell will contain 'Jan-2006'.
12. Cell G5, H5, etc. repeat F5 for each month of data contained in the report, with the same Mmm-yyyy formatting.
13. Cell I5 (in this example), the column after the last month of data, contains the text 'YTD Total'.

14. Cell A6 contains the text 'Total for all titles'.
15. Cell B6 contains the name of the publisher/vendor, provided that all the titles listed in column A are from the same publisher/vendor. If not, this cell is left blank.
16. Cell C6 contains the name of the platform.
17. Cells D6 and E6 are left blank.
18. Cell A7 down to Cell A[n] contains the title of each book.
19. Cell B7 down to Cell B[n] contains the name of the publisher of each book.
20. Cell C7 down to Cell C[n] contains the name of the platform on which each book is published.
21. Cell D7 down to Cell D[n] contains the ISBN of each book.
22. Cell E7 down to E[n] contains the ISSN, if the book is part of a series which has an ISSN. If not, this cell is left blank.
23. Cell F7 down to Cell F[n] contains the number of successful requests for sections in that title in that month.
24. Similarly, Cell G7 down to Cell G[n], Cell H7 down to Cell H[n], etc. contain the number of successful requests for sections in that title in the corresponding months.
25. Cell I7 down to I[n] (or whatever column follows to the last month of data) contains the number of successful requests for that year-to-date, i.e. the sum of the successful requests for each month reported, up to and including the last reported month.
26. Cells F6 across to Cell I6 (or whatever column corresponds to the last column of the table) give totals for each column. The figure reported in the cells in Row 6 must equal the sum of the cells for that column from Row 7 to the bottom of the table.

Book Report 3: Turnaways by Month and Title

(Full Titles and ISBN are listed)

1	Book Report 3 (R1) Turnaways by Month and Title								
2	<Criteria>								
3	Date run:								
4	yyyy-mm-dd								
5	Publisher	Platform	ISBN	ISSN	Jan-2006	Feb-2006	Mar-2006	YTD Total	
6	Total turnaways	Platform Z			41	60	28	129	
7	Title AA	Publisher X	Platform Z	9-781212-313168	n/a	23	40	12	75
8	Title BB	Publisher Y	Platform Z	9-781821-336166	2312-8751	18	20	16	54
9									
10									
11									
12									
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Note:

1. Book Report 3 is only to be supplied for those titles where turnaways are at the title level. In most cases turnaways are at the level of the service, in which case Book Report 4 applies.
2. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'Harvard University', 'Department of Chemistry.'
3. the 'Total for all titles' line is provided at the top of the Table to allow it to be stripped out without disrupting the rest of the Table, as the number of titles included may vary from one month to another.

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.

Book 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 BR3. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the second column and the 6th row. In CSV, this would refer to the 2nd filed position on the 6th row of the file.

Display/Formatting Rules:

1. Cell A1 contains the text 'Book Report 3 (R1)'.
2. Cell B1 contains the text 'Turnaways by Month and Title'
3. Cell A2 contains the 'criteria' as defined in the Code of Practice (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 February 2006 would show 2006-02-12.
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 'ISBN'.
10. Cell E5 contains the text '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 2006 this cell will contain 'Jan-2006'.
12. Cell G5, H5, etc. repeat F5 for each month of data contained in the report, with the same Mmm-yyyy formatting.
13. Cell I5 (in this example), the column after the last month of data, contains the text 'YTD Total'.
14. Cell A6 contains the text 'Total turnaways'.
15. Cell B6 contains the name of the publisher/vendor, provided that all the titles listed in column A are from the same publisher/vendor. If not, this cell is left blank.
16. Cell C6 contains the name of the platform.

17. Cells D6 and E6 are left blank.
18. Cell A7 down to Cell A[n] contains the title of each book
19. Cell B7 down to Cell B[n] contains the name of the publisher of each book.
20. Cell C7 down to Cell C[n] contains the name of the platform on which each book is published.
21. Cell D7 down to Cell D[n] contains the ISBN of each book.
22. Cell E7 down to E[n] contains the ISSN, if the book is part of a series which has an ISSN. if not, this cell is left blank.
23. Cell F7 down to Cell F[n] contains the number of turnaways for that title in that month.
24. Similarly, Cell G7 down to Cell G[n], Cell H7 down to Cell H[n], etc. contain the number of turnaways for that title in the corresponding months.
25. Cell I7 down to I[n] (or whatever column follows to the last month of data) contains the number of turnaways for that year-to-date, i.e. the sum of the turnaways for each month reported, up to and including the last reported month.
26. Cells F6 across to Cell I6 (or whatever column corresponds to the last column of the table) give totals for each column. The figure reported in the cells in Row 6 must equal the sum of the cells for that column from Row 7 to the bottom of the table.

Book Report 4: Turnaways by Month and Service

	Publisher	Platform	Jan-2006	Feb-2006	Mar-2006	YTD Total
Total turnaways			41	60	28	129
Service MMM	Publisher X	Platform Z	23	40	12	75
Service NNN	Publisher Y	Platform Z	18	20	16	54

Note:

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

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.

Book Report 4: 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 BR4. The notation used will refer to cells using standard Excel notation, with cell “B6” meaning the cell in the second column and the 6th row. In CSV, this would refer to the 2nd filed position on the 6th row of the file.

Display/Formatting Rules:

1. Cell A1 contains the text ‘Book Report 4 (R1)’.
2. Cell B1 contains the text ‘Turnaways by Month and Service’.
3. Cell A2 contains the ‘criteria’ as defined in the Code of Practice (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 February 2006 would show 2006-02-12.
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 month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2006 this cell will contain ‘Jan-2006’.
10. Cell E5, F5, etc. repeat D5 for each month of data contained in the report, with the same Mmm-yyyy formatting.
11. Cell G5 (in this example), the column after the last month of data, contains the text ‘YTD Total’.
12. Cell A6 contains the text ‘Total turnaways’.
13. Cell B6 contains the name of the publisher/vendor, provided that all the titles listed in column A are from the same publisher/vendor. If not, this cell is left blank.
14. Cell C6 contains the name of the platform.

15. Cell A7 down to Cell A[n] contains the name of each service .
16. Cell B7 down to Cell B[n] contains the name of the publisher of each service.
17. Cell C7 down to Cell C[n] contains the name of the platform on which each service is hosted.
18. Cell D7 down to Cell D[n] contains the number of turnaways for that title in that month.

19. Similarly, Cell E7 down to Cell E[n], Cell F7 down to Cell F[n], etc. contain the number of turnaways for that title in the corresponding months.
20. Cell G7 down to G[n] (or whatever column follows the last month of data) contains the number of turnaways for that year-to-date, i.e. the sum of the turnaways for each month reported, up to and including the last reported month.
21. Cells D6 across to Cell G6 (or whatever column corresponds to the last column of the table) give totals for each column. The figure reported in the cells in Row 6 must equal the sum of the cells for that column from Row 7 to the bottom of the table.

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

(Full title and ISBN are listed.)

1	Book Report 5 (R1) Total Searches and Sessions by Month and Title									
2	<Criteria>									
3	Date run:									
4	yyyy-mm-dd									
5	Publisher	Platform	ISBN	ISSN		Jan-2006	Feb-2006	Mar-2006	YTD Total	
6	Total searches		Platform Z			688	530	701	1919	
7	Total sessions		Platform Z			308	329	455	1092	
8	Title AA	Publisher X	Platform Z	9-780901-121233	3131-1212	Searches run	322	220	242	784
9	Title AA	Publisher X	Platform Z	9-780901-121233	3131-1212	Sessions	121	129	211	461
10										
11	Title BB	Publisher Y	Platform Z	9-780901-535543	n/a	Searches run	366	310	459	1135
12	Title BB	Publisher Y	Platform Z	9-780901-535543	n/a	Sessions	187	200	244	631
13										
14										
15										
16										
17										
18										
19										
20										
21										
22										
23										
24										
25										
26										
27										
28										
29										
30										

Note:

1. Book Report 5 is to be supplied only for those titles where searches and sessions can be counted at the title level. In most cases searches

and sessions are at the level of the service, in which case Book Report 6 applies.

2. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'Harvard University', 'Department of Chemistry.'
3. the 'Total for all titles' line is provided at the top of the Table to allow it to be stripped out without disrupting the rest of the Table, as the number of titles included may vary from one month to another.

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.

Book 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 BR5. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the cell in the second column and the 6th row. In CSV, this would refer to the 2nd filed position on the 6th row of the file.

Display/Formatting Rules:

1. Cell A1 contains the text 'Book Report 5 (R1)'.
2. Cell B1 contains the text 'Total Searches and Sessions by Month and Title'.
3. Cell A2 contains the 'criteria' as defined in the Code of Practice (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 February 2006 would show 2006-02-12.
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 'ISBN'.
10. Cell E5 contains the text 'ISSN'.
11. Cell F5 is left blank.
12. Cell G5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2006 this cell will contain 'Jan-2006'.
13. Cell H5, I5, etc. repeat G5 for each month of data contained in the report, with the same Mmm-yyyy formatting.
14. Cell J5 (in this example), the column after the last month of data, contains the text 'YTD Total'.
15. Cell A6 contains the text 'Total searches'
16. Cell B6 contains the name of the publisher/vendor, provided that all the titles listed in column A are from the same publisher/vendor. If not, this cell is left blank.
17. Cell C6 contains the name of the platform.
18. Cells D6, E6 and F6 are left blank.
19. Cell A7 contains the text 'Total sessions'
20. Cell B7 contains the name of the publisher/vendor, provided that all the titles listed in column A are from the same publisher/vendor. If not, this cell is left blank.
21. Cell C7 contains the name of the platform.
22. Cells D7, E7 and F7 are left blank.
23. Cell A8 contains the title of the book.
24. Cell B8 contains the name of the publisher of the book.
25. Cell C8 contains the name of the platform on which the book is hosted.
26. Cell D8 contains the ISBN of the book.
27. Cell E8 contains the ISSN, if the book is part of a series which has an ISSN. if not, this cell is left blank.
28. Cell F8 contains the text 'Searches run'.
29. Cell G8 contains the number of searches for that title in that month.
30. Similarly, Cell H8, Cell I8, etc. contain the number of searches for that title in the corresponding months.
31. Cell J8 (or whatever column follows the last month of data) contains the number of searches for that year-to-date, i.e. the sum of the searches for each month reported, up to and including the last reported month.
32. Cell A9 contains the title of the book

33. Cell B 9 contains the name of the publisher of the book.
34. Cell C9 contains the name of the platform on which the book is hosted.
35. Cell D9 contains the ISBN of the book.
36. Cell E9 contains the ISSN, if the book is part of a series which has an ISSN; if not, this cell is left blank.
37. Cell F9 contains the text 'Sessions'
38. Cell G9 contains the number of sessions for that title in that month.
39. Similarly, Cell H9, Cell I9, etc. contain the number of sessions for that title in the corresponding months.
40. Cell J9 (or whatever column follows the last month of data) contains the number of sessions for that year-to-date, i.e. the sum of the sessions for each month reported, up to and including the last reported month.
41. Row 10 is left blank
42. Steps 23-41 above are repeated from Row 11 onwards for each title listed in the report.
43. Cells G6 across to Cell J6 (or whatever column corresponds to the last column of the table) give total searches for each column. The figure reported in the cells in Row 6 must equal the sum of the 'searches' cells for that column from Row 8 to the bottom of the table.
44. Cells G7 across to Cell J7 (or whatever column corresponds to the last column of the table) give total sessions for each column. The figure reported in the cells in Row 6 must equal the sum of the 'sessions' cells for that column from Row 9 to the bottom of the table.

Book Report 6: Total Searches and Sessions by Month and Service

Book Report 6 (R1)		Total Searches and Sessions by Month and Service						
<Criteria>								
Date run:								
yyyy-mm-dd								
	Publisher	Platform		Jan-2006	Feb-2006	Mar-2006	YTD Total	
6	Service AA	Publisher X	Platform Z	Searches run	6884	5304	7010	19198
7	Service AA	Publisher X	Platform Z	Sessions	3080	2981	4550	10611
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								
21								
22								
23								
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25								
26								
27								
28								
29								
30								

Note:

1. For 'criteria' specify, for example, the organizational level to which the usage reports refer: eg 'Harvard University', 'Department of Chemistry'

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.

Book Report 6: 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 BR6. The notation used will refer to cells using standard Excel notation, with cell "B6" meaning the

cell in the second column and the 6th row. In CSV, this would refer to the 2nd filed position on the 6th row of the file.

Display/Formatting Rules:

1. Cell A1 contains the text 'Book Report 6 (R1)'.
2. Cell B1 contains the text 'Total Searches and Sessions by Month and Service'.
3. Cell A2 contains the 'criteria' as defined in the Code of Practice (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 February 2006 would show 2006-02-12.
6. Cell A5 is left blank.
7. Cell B5 contains the text 'Publisher'.
8. Cell C5 contains the text 'Platform'.
9. Cell D5 is left blank.
10. Cell E5 contains the month and year of the first month of data in this report in Mmm-yyyy format. Thus for January 2006 this cell will contain 'Jan-2006'.
11. Cell F5, G5, etc. repeat E5 for each month of data contained in the report, with the same Mmm-yyyy formatting.
12. Cell H5 (in this example), the column after the last month of data, contains the text 'YTD Total'.
13. Cell A6 contains the name of the service.
14. Cell B6 contains the name of the publisher of each service.
15. Cell C6 contains the name of the platform on which each service is hosted.
16. Cell D6 contains the text 'Searches run'.
17. Cell E6 contains the number of searches on that service in that month
18. Similarly, Cell F6, G6, etc contain the number of searches for that title in the corresponding months.
19. Cell H6 (in this example) contains the number of searches for that year-to-date, i.e. the sum of the searches for each month reported, up to and including the last reported month. This is repeated in the equivalent cell in Column H for each service listed.
20. Cell A7 contains the name of the service.

21. Cell B7 contains the name of the publisher of each service.
22. Cell C7 contains the name of the platform on which each service is hosted.
23. Cell D7 contains the text 'Sessions'.
24. Cell E7 contains the number of sessions on that service in that month
25. Similarly, Cell F7, G7, etc contain the number of sessions on that service in the corresponding months.
26. Cell H7 contains the number of sessions for that year-to-date, i.e. the sum of the sessions for each month reported, up to and including the last reported month.
27. Row 8 is left blank
28. Steps 13-27 above are repeated from Row 9 onwards for each service listed in the report.

4.2 Customer categories for Usage Reports:

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

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

4.3 Report delivery

Report delivery must conform to the following standards:

- Reports must be provided either as a CSV file, as a Microsoft Excel file, or as a file that can be easily imported into Microsoft Excel pivot tables. In addition reports may also be provided in XML format and an XML DTD for such reports is available on the COUNTER website.
- Reports should be made available on a password-controlled website (accompanied by an e-mail alert when data is updated). Access to consortia level reports must be through the same user id and password for all consortium members. (This user id and

password must be different from those used for administrative purposes for each institution.)

- Reports must be readily available
- Reports must be provided monthly
- Data must be updated within four weeks of the end of the reporting period
- All of last calendar year's data and this calendar year's to date must be supplied

5. Data Processing

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

Because the way usage records are generated can differ across platforms, it is impractical to describe all the possible filters used to clean up the data. This Code of Practice, therefore, specifies only the requirements to be met by the data to be used for building the reports.

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

Requirements

- a. Only successful and valid requests should be counted. For webserver-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 C).
- b. Records generated by the server together with the requested page (e.g. images, gif's, style sheets (.css)) should be ignored.
- c. All users' double-clicks on an http-link should be counted as only 1 request.

The time window for occurrence of a double-click should be set at **10 seconds** between the first and the second mouse-click.

There are a number of options to make sure that a double click comes from one and the same user:

1. where only the IP address of a user is logged that IP should be taken as the field to trace double-clicks
2. when a session-cookie is implemented and logged, the session-cookie should be used to trace the double-clicks.
3. when user-cookies are available and logged, the user-cookie should be used to trace double-clicks
4. when the username of a registered user is logged, this username should be used to trace double-clicks.

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

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

6. Auditing

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

7. Compliance

7.1 Timetable and procedure

The COUNTER Code of Practice for books and reference works was published in final form on the COUNTER website (www.projectCounter.org) in January 2006.

Applications for COUNTER-compliant status

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

Fax Number

+44 (0)131 558 8478

7.2 Licence agreements

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

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

7.3 Aggregators, gateways and hosts

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

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

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

Source of page	Responsibility for recording usage and reporting to customer	Report zero usage	Comments
Direct from vendor's server	Vendor	Yes	Delivery of content to the user is from the vendor's own service/site, to which the user has direct access.

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

7.4 Customer confidentiality

7.4.1 Privacy and user confidentiality

Statistical reports or data that reveal information about individual users will not be released or sold by vendors without the permission of that individual

user, the consortium, and its member institutions (ICOLC Guidelines, December 2001).

7.4.2 Institutional or Consortia Confidentiality

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

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

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

- ***ARL New Measures Initiative***. This has been set up in response to two needs: increasing demand for libraries to demonstrate outcomes/impacts in areas important to the institution, and increasing pressure to maximise resources. Of particular interest is the work associated with the E-metrics portion of this initiative, which is an effort to explore the feasibility of defining and collecting data on the use and value of electronic resources. This sets a useful context for COUNTER. Further information on the ARL E-metrics project can be found at www.arl.org/stats/newmeas/newmeas.html
- ***E-measures project: University of Central England, Centre for Information Research***. This project is designed to support the management of electronic information services in UK higher education institutes. Its objectives are to develop a new set of performance measures for electronic information sources and to pilot these with a view to establishing a new set of standard

performance measures. Further information on e-measures can be found at www.cie.uce.ac.uk/cirt/emeasures/index.htm

- ***ICOLC Guidelines for Statistical Measures of usage of Web-based Information Resources.*** The International Coalition of Library Consortia (ICOLC) has developed a set of guidelines, revised in 2001, which specify a set of minimum requirements for usage data, and also provide guidance on privacy, confidentiality, access, delivery and report format. The ICOLC Guidelines are particularly relevant to COUNTER. Additional information may be found at:
www.library.yale.edu/consortia/2001webstats.html
- ***NISO Forum on Performance Measures and Statistics for Libraries and NISO Standard Z39.7.*** Aspects of a number of NISO standards are relevant to COUNTER. For further information, see www.niso.org

9 . **Governance of COUNTER**

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

10 . **Maintenance and development of the COUNTER Code of Practice**

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

Appendices

Appendix A: Glossary of Terms Relevant to COUNTER

Appendix B: Vendor Declaration of COUNTER-compliance

Appendix C: Guidelines for Implementation

Appendix D: Auditing Requirements and Tests

