

Code of Practice for Journals and Databases

Release 4

Appendix E

Auditing Requirements and Tests

I. General Auditing Requirements

Audit Philosophy

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

Third party hosts and vendors

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

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

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

Auditing and test-scripts

There are three stages in the COUNTER audit:

- Stage 1: Format: here the usage reports are tested to confirm that they adhere to the COUNTER specification, not only in terms of overall format, but also that relevant identifiers, such as ISSNs and ISBNs, are presented correctly. Deviations from the specified COUNTER format, such as blank rows or incorrectly formatted ISSNs, can cause problems when the COUNTER usage reports are processed automatically.
- Stage 2: Data Integrity: here the auditor checks that the usage statistics reported by the vendor accurately record the activity carried out by the auditor during the audit. This includes checking that the vendor provides consistent usage statistics when its reports are accessed using different browsers, with Google Chrome, Internet Explorer and Mozilla Firefox as a minimum. (COUNTER

will review the three selected browsers annually and the selection may change in the future, depending on which browsers are most widely used).

- Stage 3: Report Delivery. Here the auditor tests that the vendor has implemented SUSHI correctly and that its reports may be accessed using SUSHI according to the instructions supplied by the vendor (which must comply with the NISO / COUNTER SUSHI standard). Implementation of SUSHI is a requirement for Release 4 compliance and is covered by the Declaration of COUNTER Compliance signed by all Release 4 compliant vendors. Delivery of reports via Excel or .tab separated value (tsv) file will still be required as specified in the COUNTER Code of Practice.

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

This audit is not in a position to express an opinion as to usage reported in respect of any other accounts or institutions, or as to aspects of the Code of Practice not specifically tested below. Release 4 compliant Vendors are reminded, however, that their signed Declaration of COUNTER compliance also covers these aspects of the Code of Practice.

a. Frequency of the audit

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

b. COUNTER Usage Reports for which an independent audit is required

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

Table 1: COUNTER Usage Reports for which an Independent Audit is required

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

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

Note:

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

c. General conditions for carrying out an audit test

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

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

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

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

1. Account details for at least 2 separate institutional accounts with access to all areas required to be tested;
2. Account details for a parent (consortium) account able to view aggregated usage and consortium reports for the 2 accounts above;
3. Links to download usage reports in all required formats. COUNTER usage reports must be provided as
 - a Microsoft Excel file, a TSV file, or a file that can be easily imported into Microsoft Excel pivot tables **and**
 - in XML format in accordance with the COUNTER XML schema that is specified in the SUSHI protocol.

4. Confirmation of whether separately purchasable archives are available.
5. A declaration that federated and automated searches have been disaggregated from any searches reported. (see Code of Practice p 26 for further information on the protocols that apply to federated and automated searches)
6. Where server-side caching is implemented, information on cache settings used (Server-side caching can cause a discrepancy between the usage recorded in the audit tests and that reported by the vendor. Information on cache settings enables the auditor can take them into account when evaluating the results of the PDF parts of the JR1-2 and BR2-2 tests. If the vendor does not provide this information the auditor is likely to carry out further audit tests that may incur additional audit costs.)

II. The Required Audit Outputs

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

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

Example Audit Report

Vendor		<NAME>					
Audit Period		<MONTH/YEAR>	DATE	<MONTH/YEAR>			
Report	Test Result	Format / Structure	Data Integrity	Delivery	Opinion	Comments	
1	JR-1	100%	PASS	PASS	PASS	PASS	None
2	DB-3	112%	Format not as required	Double Counting in X Journal	SUSHI provided wrong reports	FAIL	Server outage caused reporting issues
3	DB-2	100%	Additional Column noted	PASS	PASS	QUALIFIED PASS	Client has committed to resolve format issues within 2 weeks.
4	DB3	100%	PASS	PASS	PASS	PASS	This was conducted as a Platform audit, checking sites <A> and .
5	Etc.	Etc.	Etc.	Etc.	Etc.	Etc.	Etc.

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

III. The Required Audit Tests

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

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

The following items need to be checked:

- A. The layout of the report (headers/footers, number of fields, field sequence, totaling field and format of reported numbers);
- B. The conformity of identifiers to the required standard (e.g. ISSNs must be provided as nine digits, with a hyphen as the middle digit);
- C. The required file formats provided;
- D. The receipt and timeliness of an email alert once usage reports are updated
- E. Flexibility in the reporting period that allows customers to specify the start and end months of data reported in the COUNTER reports
- F. Report file formats: as well as being provided as either a Microsoft Excel file, or as a Tab-separated Value (TSV) file, or as a file that can be easily imported into Microsoft Excel, the COUNTER usage reports **must** be provided in XML format in accordance with the COUNTER XML schema that is specified by SUSHI and may be found on the NISO/SUSHI website at: <http://www.niso.org/schemas/sushi/> The COUNTER schema covers **all** the COUNTER usage reports.
- G. A vendor will only pass an audit test if the xml formatted report produced via SUSHI matches the total of the relevant usage counted on the equivalent .tsv / excel report offered by the vendor – i.e. a report should produce the same results irrespective of the format it is delivered in.

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

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

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

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:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all available journals as published on the platform of the vendor.
- IV. Audit-test JR1-1:
 - a. For the audit report, the auditor should perform a total of 100 requests using three different browsers (i.e. at least 30 using Google Chrome, at least 30 using Internet Explorer and at least 30 using Mozilla Firefox) for Full Text Articles from a selection of journals available on the vendor's site. For vendors that provide Full Text Articles in both HTML and PDF formats these 100 requests should be evenly divided across both formats (i.e. 50 for both); otherwise, all 100 requests should be made for files in the format provided (HTML only or PDF only). *N.B. the auditor should allow at least 30 seconds between each article request.*
 - b. The auditor must record the journals included in the audit-test and the number of requests for full text articles for each journal.
 - c. The audit report should show the Total for all requests, broken down by journal.
 - d. The vendor will pass this audit test when the reported monthly total usage in Journal Report 1 for the auditor's test account (across all journals audited) is within a -8% and +2% reliability window of the total on the auditor's report.

- V. Audit-test JR1-2: The 10 and 30 seconds filters.
- a. To ensure that the report is counting correctly as per the COUNTER Code of Practice, it is important that the browser cache settings of the machines used for testing are disabled. It is also important that the auditee confirms before the audit period if they operate a cache server. If they do, this test will not report as the Code expects and is likely to under-report the usage of successive content items outside the double-click threshold.
 - b. The auditor will audit-test the 10 and 30 seconds filter for this report. The audit-test consists of clicking links to an article full text twice in succession (double-clicks). For HTML articles, if the two clicks occur within a ten second time-span, only one full text request should be recorded, if the two clicks occur with more than 10 seconds between, then two full text requests should be counted. For articles in PDF format, the time-span is 30 seconds. The audit test should include requesting articles where double-clicking occurs within the threshold as well as requesting articles where the time between clicks exceeds the threshold.
 - c. The auditor should request full text for 10 to 20 articles, performing double-clicks within 10 seconds if the format requested is HTML or within 30 seconds if the format requested is PDF. For each article requested the auditor will record just 1 full text request for each set of double-clicks, recording the activity by journal keeping track of the HTML and PDF activity separately.
 - d. The auditor should request full text for 10 to 20 articles, performing double-clicks with 11 or more seconds between clicks for HTML and 31 or more seconds between clicks for PDF. For each article requested, the auditor will record a full text request for each click (2 per article), recording the activity by journal keeping track of the HTML and PDF activity separately.
 - e. Vendors will pass the Audit-test 2 when the total of activity on the vendor's report for the journals audited is within a threshold of -8% and +2% of the auditor's total.
- VI. Audit-test JR1-1 and audit-test JR1-2 must be separated by using separate accounts to avoid collisions of numbers.
- VII. Journal Report 1 **must** reflect ALL of the vendor's full-text article requests across both current and archived content. Thus, any usage reported in Journal Report 1a or Journal Report 5 must also be included in Journal Report 1. See the Auditing Requirements for JR-1a and JR-5 below.

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

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

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 GOA: AUDITING Requirements:

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

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

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

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

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

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

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

Journal Report 1a: Auditing Requirements

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

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

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

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

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

Journal	Publisher	Platform	Journal DOI	Proprietary Identifier	Print ISSN	Online ISSN	Access Denied Category	Reporting Period Total	Jan-2011	Feb-2011	Mar-2011
Total for all journals	Publisher X	Platform Z					Access denied: concurrent/simultaneous user licence limit exceeded	156	47	45	64
Total for all journals	Publisher X	Platform Z					Access denied: content item not licenced	1110	369	289	452
Journal of AA	Publisher X	Platform Z			1212-3131	3225-3123	Access denied: concurrent/simultaneous user licence limit exceeded	105	35	27	43
Journal of AA	Publisher X	Platform Z			1212-3131	3225-3123	Access denied: content item not licenced	407	143	88	176
Journal of BB	Publisher Y	Platform Z			9821-3361	2312-8751	Access denied: concurrent/simultaneous user licence limit exceeded	51	12	18	21
Journal of BB	Publisher Y	Platform Z			9821-3361	2312-8751	Access denied: content item not licenced	703	226	201	276

Journal Report 2: AUDITING Requirements:

The tests specified below must be carried out separately

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

- I. The auditor should have access to all journals as made available on the platform of the vendor.
- II. Audit-test JR2-1 (Access denied: concurrent/simultaneous user licence limit exceeded):
 - a. The audit-test is to have 2 active (registered) users on the site requesting full text articles for one and the same journal. This means that all available sessions are active. An additional computer will then be used to log-in and attempt to carry out an article request for that same journal. This user should be refused access because of exceeding the concurrent/simultaneous user threshold. Each time access is refused, the auditor will record this as an Access denied: concurrent/simultaneous user licence limit exceeded. .
 - b. This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time an Access denied: concurrent/simultaneous user licence limit exceeded occurs and the name of the journal accessed.
 - c. The vendor's report will pass this test when the total number of instances of Access denied: concurrent/simultaneous user licence limit exceeded shown is within a -8% and +2% reliability window of the total on the auditor's report
- III. Audit test JR2-2 (Access denied: content item not licenced):

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

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

Journal Report 5: Number of Successful Full-Text Article Requests by Year and Journal
 (Full journal name, print ISSN and online ISSN are listed.)

Journal	Publisher	Platform	Journal DOI	Proprietary Identifier	Print ISSN	Online ISSN	Articles in Press	YOP 2012	YOP 2011	YOP 2010	YOP 2000	YOP Pre-2000	YOP unknown
Total for all journals		Platform Z					107	5287	9413	6955		1422	4177	1487
Journal of AA	Publisher X	Platform Z			1212-3131	3225-3123	32	1335	2765	1801		362	1091	324
Journal of BB	Publisher X	Platform Z			9821-3361	2312-8751	51	2981	5077	3891		765	2316	653
Journal of CC	Publisher Y	Platform Z			2464-2121	0154-1521	16	882	1398	1111		216	668	438
Journal of DD	Publisher Y	Platform Z			5355-5444	0165-5542	8	89	173	152		79	102	72

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 5: AUDITING Requirements:

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

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

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

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

Database	Publisher	Platform	User Activity	Reporting Period Total	Jan-2011	Feb-2011	Mar-2011
Database AA	Publisher X	Platform Z	Regular Searches	7814	2543	2267	3004
Database AA	Publisher X	Platform Z	Searches-federated and automated	4889	1689	1589	1611
Database AA	Publisher X	Platform Z	Result Clicks	12745	4022	3392	5331
Database AA	Publisher X	Platform Z	Record Views	9585	3032	2777	3776
Database BB	Publisher Y	Platform Z	Regular Searches	3478	1098	1066	1314
Database BB	Publisher Y	Platform Z	Searches-federated and automated	2613	887	814	912
Database BB	Publisher Y	Platform Z	Result Clicks	5350	1776	1759	1815
Database BB	Publisher Y	Platform Z	Record Views	3595	1215	1066	1314

Database Report 1: AUDITING Requirements:

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all databases as made available on the platform of the vendor.
- IV. Audit-test DB1-1:
 - a. Regular Searches: If a vendor offers more than one database, the auditor should run 100 searches on a subset of the databases made available to them. If there is only 1 database the number of searches should be 50. Individual searches should always be run against only one database at a time. All database searches are considered valid and, for each search, the auditor will record the database and result total number returned by the search (if applicable). If a vendor's COUNTER reports do not include searches yielding zero results or when the number of results exceeds some predefined threshold, then these categories of searches should be recorded separately and not included in the final tally. *N.B. the auditor should allow at least 11 seconds between each search when repeating the same search on the same database.*
 - b. Each time a search is conducted, the auditor will record the search and the database searched.
 - c. As each search is conducted, the auditor will indicate that the database was accessed during the current session
 - d. The audit report should show a breakdown of regular searches by database with a Total for each.
 - e. A vendor will pass this audit test when the sum of the searches reported by the vendor in Database Report 1 for the auditor's test account is within a -8% and +2% reliability window of the sum of the searches on the auditor's report.

- V. Audit-Test DB1-2: Searches on multiple databases (searches: federated and automated)
IMPORTANT NOTE: This test cannot be carried out where the vendor supplies only 1 database or where searches across multiple databases cannot be conducted. Hence, the vendor **must** declare the database structure to the auditor and the COUNTER EC prior to testing.
- a. It is necessary to separate audit-test DB1-1 and audit-test DB1-2 by using separate accounts to avoid collisions of numbers.
 - b. The auditor should run 100 searches in total and make sure that about 50 of searches are run over combinations of 2 databases and the other 50 searches are run over a combination of all databases as made available by the vendor.
 - c. The auditor should keep a record of the number of searches executed for both options, indicating which database each search was carried out on. If a vendor's COUNTER reports do not include searches yielding zero results or when the number of results exceeds some predefined threshold, then these categories of searches should be recorded separately and not included in the final tally.
 - d. The audit report should show the count of searches by database plus the total database/searches (E.G. if the audit procedure is followed exactly and the auditor has access to 10 databases, the total would be 600 -- $50 \times 2 + 50 \times 10$).
 - e. The vendor's report will pass this test if the sum of the searches: federated and automated by database matches the total on the audit report within a -8% and +2% reliability window.

VI Audit test DB1-3: Result Clicks:

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

VII Audit test DB1-4: Record Views:

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

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

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

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

Database Report 2: AUDITING Requirements:

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from multiple computers with a unique account number; the number of computers should **exceed** the number of registered users having simultaneous access to all available vendor sites by 1. The recommended number of computers is 3. If the vendor system cannot allow specifically 2 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number wherever the number 2 is used below. N.B. the important number for the vendor to understand is the number of session that can be active before the system will turn-away subsequent sessions.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all databases as made available on the platform of the vendor.
- IV. Audit-tests DB2:
 - a. The database used for this test should be different from the one used for Database Report 1, if possible.
- V. Audit-test DB2-1 (Access denied: concurrent/simultaneous user licence limit exceeded):
 - a. The audit-test is to have 2 active (registered) users on the site requesting access to the database. This means that all available sessions are active. An additional computer will then be used to log-in and attempt to access the same database. This user should be refused access because of exceeding the concurrent/simultaneous user threshold. Each time access is refused, the auditor will record this as an Access denied: concurrent/simultaneous user licence limit exceeded.
 - b. This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time an Access denied: concurrent/simultaneous user licence limit exceeded. occurs and the name of the database accessed.

- c. The vendor's report will pass this test when the total number of accesses denied: concurrent/simultaneous user licence limit exceeded shown is within a -8% and +2% reliability window of the total on the auditor's report
- VI. Audit test DB2-2 (Access denied: content item not licenced):
 - a. The auditor should perform 40-50 requests to access content items in databases available on the vendor's site. allowing at least 20 seconds between each test. The auditor should record each time an Access denied: content item not licenced occurs and the name of the database accessed.
- VII. The vendor's report will pass this test when the total number of accesses denied shown is within a -8% and +2% reliability window of the total on the auditor's report
- VIII. Audit-tests DB2-1 and DB2-2 must be separated by using separate accounts to avoid collisions of numbers.

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

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

Platform Report 1: AUDITING Requirements:

An audit of this report requires the following:

- The audit-test should be conducted in conjunction with the test results for Database Report 1 as conducted in section V. With Database Report 1, the auditor has recorded the number of searches performed as well as the number of result clicks and record views and indicated which databases they apply to.
- Platform Report 1 only counts the discrete, deduplicated searches and sessions. For example, if a 100 searches run for Database Report 1 were conducted in 10 session of 10 searches each and the auditor had accesses to 10 databases, Platform Report 1 would be expected to show a total of 10 sessions and 100 searches (even though the sum of the searches and sessions on Database Report 1 will equal 600 and 60 respectively).
 - A vendor will pass this audit test if their Platform Report 1 shows totals for searches, result clicks and record views that are within the reliability window of -8% and +2% of the total of unique sessions and searches counted on the auditor's report for Database Report 1.

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

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

Book Report 1: Auditing Requirements:

An audit of this report requires the following:

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

- b. The auditor will audit-test the 10 and 30 seconds filter for this report. The audit-test consists of clicking links to a title full text twice in succession (double-clicks). For HTML titles, if the two clicks occur within a ten second time-span, only one successful request should be recorded, if the two clicks occur with more than 10 seconds between, then two successful requests should be counted. For titles in PDF format, the time-span is 30 seconds. The audit test should include requesting titles where double-clicking occurs within the threshold as well as requesting titles where the time between clicks exceeds the threshold.
 - c. The auditor should request full text for 10 to 20 titles, performing double-clicks within 10 seconds if the format requested is HTML or within 30 seconds if the format requested is PDF. For each title requested the auditor will record just 1 successful request for each set of double-clicks, recording the activity by title keeping track of the HTML and PDF activity separately.
 - d. The auditor should request full text for 10 to 20 titles, performing double-clicks with 11 or more seconds between clicks for HTML and 31 or more seconds between clicks for PDF. For each title requested, the auditor will record a successful request for each click (2 per article), recording the activity by journal keeping track of the HTML and PDF activity separately.
 - e. Vendors will pass the Audit-test 2 when the totals of activity on the vendor's report for the titles audited are within a threshold of -8% and +2% of the auditor's total.
- VI. Audit-test BR1-1 and audit-test BR1-2 must be separated by using separate accounts to avoid collisions of numbers.

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

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

Book Report 2: Auditing Requirements:

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all available titles as published on the platform of the vendor.
- IV. Audit-test BR2-1:
 - a. For the audit report, the auditor should perform 100 requests for sections from a selection of titles available on the vendor's site. *N.B. the auditor should allow at least 30 seconds between each article request.*
 - b. The auditor must record the titles included in the audit-test and the number of requests for each section.
 - c. The audit report should show the Total for all successful requests, broken down by title.
 - d. The vendor will pass this audit test when the YTD Totals (across all titles) on the auditor's report is within a -8% and +2% reliability window of the total presented on the vendor's Book Report 2.
- V. Audit-test BR2-2: The 10 and 30 seconds filters.
 - a. To ensure that the report is counting correctly as specified in the COUNTER Code of Practice, it is important that the browser cache settings of the machines used for testing are disabled. It is also important that the auditee confirms before the audit period whether they operate a cache server. If they do, this test will not report as the Code expects and is likely to under-report the usage of successive content items outside the double-click threshold.
 - b. The auditor will audit-test the 10 and 30 seconds filter for this report. The audit-test consists of clicking links to a section twice in succession (double-clicks). For HTML sections, if the two clicks occur within a ten second time-span, only one successful request should be recorded, if the two clicks occur with more than 10 seconds between, then two successful requests should be counted. For sections in PDF format, the time-span is 30 seconds. The audit test should include requesting sections where double-clicking occurs within the threshold as well as requesting sections where the time between clicks exceeds the threshold.
 - c. The auditor should request sections from 10 to 20 titles, performing double-clicks within 10 seconds if the format requested is HTML or within 30 seconds if the format requested is PDF. For each title requested the auditor will record just 1 successful request for each set of double-clicks, recording the activity by title keeping track of the HTML and PDF activity separately.
 - d. The auditor should request sections from 10 to 20 titles, performing double-clicks with 11 or more seconds between clicks for HTML and 31 or more seconds between clicks for PDF. For each section requested, the auditor will record a successful request for each click (2 per article), recording the activity by title keeping track of the HTML and PDF activity separately.
 - e. Vendors will pass the Audit-test 2 when the totals of activity on the vendor's report for the titles audited are within a threshold of -8% and +2% of the auditor's total.
- VI. Audit-test BR2-1 and audit-test BR2-2 must be separated by using separate accounts to avoid collisions of numbers.

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

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

Book Report 3: Auditing Requirements:

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor’s activities during the audit-test can be isolated from other activities on the vendor’s site. Depending on the site being tested, the auditor should conduct the audit-test from 3 computers within a unique account number; the vendor should allow 2 registered users having simultaneous access to all available vendor databases. If the vendor system cannot allow specifically 2 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number where ever the number 2 is used below. N.B. the important number for the vendor to understand is the number of sessions that are allowed to be active before the system will turn-away subsequent sessions.
 - II. The auditor should accept user/machine and session cookies when prompted.
 - III. The auditor should have access to all titles as made available on the platform of the vendor.
- Audit-test BR3-1 :(Access denied: concurrent/simultaneous user licence limit exceeded):
- a. The audit-test is to have 2 active (registered) users on the site requesting access to a title. This means that all available sessions are active. An additional computer will then be used to log-in and attempt to access the same title. This user should be refused access because the content item requested is not licenced. Each time access is refused, the auditor will record this as an Access denied: content item not licenced. .
 - b. This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time an ‘Access denied: content item not licenced’ occurs and the name of the title accessed. .
- IV. The vendor’s report will pass this test when the total number of accesses denied: concurrent/simultaneous user licence limit exceeded shown is within a –8% and +2% reliability window of the total on the auditor’s report
 - V. Audit test BR3-2 (Access denied: content item not licenced):

- a. the auditor should perform 100 requests for content items from a selection of titles available on the vendor's site. allowing at least 20 seconds between each test. The auditor should record each time an Access denied: content item not licenced occurs and the name of the title accessed.
 - c. The vendor's report will pass this test when the total number of accesses denied shown is within a -8% and +2% reliability window of the total on the auditor's report
- VI. Audit-test BR3-1 and audit-test BR3-2 must be separated by using separate accounts to avoid collisions of numbers.

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

	Publisher	Platform	Proprietary Identifier	Access Denied Category	Reporting Period Total	Jan-2011	Feb-2011	Mar-2011
9	Total for all services	Publisher X	Platform Z	Access denied: turnaway	1627	541	443	643
10	Total for all services	Publisher X	Platform Z	Access denied: content item not licenced	135303	43221	36754	55328
11	Total for all services	Publisher X	Platform Z	Access denied: other	1266	286	397	583
12	Service AA	Publisher X	Platform Z	Access denied: turnaway	805	300	201	304
13	Service AA	Publisher X	Platform Z	Access denied: content item not licenced	76335	21220	18671	36444
14	Service AA	Publisher X	Platform Z	Access denied: other	639	166	202	271
15	Service BB	Publisher Y	Platform Z	Access denied: turnaway	826	241	242	343
16	Service BB	Publisher Y	Platform Z	Access denied: content item not licenced	58968	22001	18083	18884
17	Service BB	Publisher Y	Platform Z	Access denied: other	629	122	195	312

Book Report 4: Auditing Requirements:

An audit of this report requires the following:

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

- b. This audit-test should be repeated between 40 and 50 times and at different periods of the day allowing at least 20 seconds between each test. The auditor should record each time a turn-away occurs and the name of the service accessed.
 - c. The vendor's report will pass this test when the total number of turnaways shown is within a –8% and +2% reliability window of the total on the auditor's report
- V. Audit test BR4-2
- a. the auditor should perform 40 - 50 requests for content items from a selection of titles available on the vendor's site. allowing at least 20 seconds between each test. The auditor should record each time an Access denied: content item not licenced. occurs and the name of the service accessed.

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

Book Report 5: Total Searches by Month and Title

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

Book Report 5: AUDITING Requirements:

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all titles as made available on the platform of the vendor.
- IV. Audit-test BR5-1:
 - a. If a vendor offers more than one title, the auditor should run 100 searches on a subset of the titles made available to them. In case there is only 1 title the number of searches should be 50. Individual searches should always be run against only one title at a time. All title searches are considered valid and, for each search, the auditor will record the title and result total number returned by the search (if applicable). If a vendor's COUNTER reports do not include searches

yielding zero results or when the number of results exceeds some predefined threshold, then these categories of searches should be recorded separately and not included in the final tally. *N.B. the auditor should allow at least 11 seconds between each search when repeating the same search on the same title.*

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

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

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

Multimedia Report 1: Auditing Requirements

An audit of this report requires the following:

- I. The audit-test must be conducted in such a way that the auditor's activities during the audit-test can be isolated from other activities on the vendor's site. Depending on the site being tested, the auditor should conduct the audit-test from a computer with a unique IP address and/or using a unique account number.
- II. The auditor should accept user/machine and session cookies when prompted.
- III. The auditor should have access to all available collections as published on the platform of the vendor.
- IV. Audit-test MR1-1:
 - a. For the audit report, the auditor should perform 100 requests for full content items from a selection of collections available on the vendor's site. *N.B. the auditor should allow at least 30 seconds between each full content unit request.*
 - b. The auditor must record the collections included in the audit-test and the number of requests for each full content item.
 - c. The audit report should show the Total for all successful requests, broken down by collection.

- d. The vendor will pass this audit test when the Reporting Period Totals (across all collections) on the auditor's report is within a -8% and +2% reliability window of the total presented on the vendor's Book Report 2.
- V. Audit-test MR1-2: The 30 seconds filters.
- a. The auditor will audit-test the 30 seconds filter for this report. The audit-test consists of clicking links to a full content unit twice in succession (double-clicks). If the two clicks occur within a thirty second time-span, only one successful request should be recorded, if the two clicks occur with more than 30 seconds between, then two successful requests should be counted. The audit test should include requesting full content units where double-clicking occurs within the threshold as well as requesting sections where the time between clicks exceeds the threshold.
 - b. The auditor should request full content units from more than one collection, where possible, performing double-clicks within 30 seconds. For each full content unit requested the auditor will record just 1 successful request for each set of double-clicks,
 - c. The auditor should request full content units from more than one collection if possible, performing double-clicks with 31 or more seconds between clicks. For each full content unit requested, the auditor will record a successful request for each click (2 per full content unit), recording the activity by collection.
 - d. Vendors will pass the Audit-test 2 when the totals of activity on the vendor's report for the collections audited are within a threshold of -8% and +2% of the auditor's total.

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

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

Consortium Report 1: AUDITING Requirements:

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

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

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

Consortium Report 2: AUDITING Requirements:

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

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

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

Consortium Report 3: Auditing Requirements

This should be tested by accessing the XML report and checking that the reported usage for full-text journal articles is as generated by audit-tests MR-1-1 and MR-1-2 (which have been performed by 2

different accounts, and so 2 different consortium members). Hence, validation of this report requires validation of Report MR-1.

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

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

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

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