

Code of Practice for Books and Reference Works

Release 1

Appendix D

Auditing Requirements and Tests

I. General Auditing Requirements

a. Auditing and test-scripts

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

b. General conditions for carrying out an audit test:

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

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

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

c. Two types of audit tests:

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

II. The Required Audit Tests

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

The auditor will check whether each of the reports mentioned below will comply with the report examples and descriptions as made available in the COUNTER Code of Practice.

The following items need to be checked:

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

2. Checking the usage numbers as reported

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	yyyymmdd								
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	143
8	Title BB	Publisher X	Platform Z	9-780901-691539	2312-8751	23	21	27	71
9	Title CC	Publisher Y	Platform Z	9-785411-692557	n/a	0	0	0	0
10	Title DD	Publisher Y	Platform Z	9-785411-693446	0165-5542	11	20	25	56
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Note:

1. 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.
2. Titles for which the number of successful requests is zero in every month should be included in Book Report 1

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

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. 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.
 - b. 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.
 - c. 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.
 - d. 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. It is needed to separate audit-test BR1-1 and audit-test BR1-2 by using separate accounts to avoid collisions of numbers.

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	9-786432-692567	0154-1521	0	0	0	0
10	Title DD	Publisher Y Platform Z	9-781945-693446		113	200	225	538
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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 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.
 - e. 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.
 - f. 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.

- g. 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.
 - h. 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. It is needed to separate audit-test BR2-1 and audit-test BR2-2 by using separate accounts to avoid collisions of numbers.

Book Report 3: Turnaways by Month and Title

1	A	B	C	D	E	F	G	H	I	J	K
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		
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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: 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 4 computers within a unique account number; the vendor should allow 3 registered users having simultaneous access to all available vendor databases. If the vendor system cannot allow specifically 3 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number where ever the number 3 is used below. N.B. the important number for the vendor to understand is the number of sessions that are allowed to be active before the system will turn-away subsequent sessions.
- 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 BR3-1:
 - a. The audit-test is to have 3 active (registered) users on the site requesting titles (or sections of titles) for one and the same title. 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 for that same title. 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 title 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

Book Report 4: Turnaways by Month and Service

The screenshot shows an Excel spreadsheet titled 'Service NNN'. The main data table is as follows:

	A	B	C	D	E	F	G	H	I	J	K	L
1	Book Report 4 (R1)	Turnaways by Month and Service										
2	<Criteria>											
3	Date run:											
4	yyyy-mm-dd											
5		Publisher	Platform	Jan-2006	Feb-2006	Mar-2006	YTD Total					
6	Total turnaways			41	60	28	129					
7	Service MMM	Publisher X	Platform Z	23	40	12	75					
8	Service NNN	Publisher Y	Platform Z	18	20	16	54					
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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 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. Depending on the site being tested, the auditor should conduct the audit-test from 4 computers within a unique account number; the vendor should allow 3 registered users having simultaneous access to all available vendor databases. If the vendor system cannot allow specifically 3 simultaneous users, then the auditor must know number of registered users allowed for the test and use this number where ever the number 3 is used below. N.B. the important number for the vendor to understand is the number of sessions that are allowed to be active before the system will turn-away subsequent sessions.
- 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:
 - d. The audit-test is to have 3 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.
 - e. 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.
 - f. 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

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

Book Report 5 (R1)		Total Searches and Sessions by Month and Title							
<Criteria>									
Date run:									
yyyy-mm-dd									
	Publisher	Platform	ISBN	ISSN		Jan-2006	Feb-2006	Mar-2006	YTD Total
Total searches			Platform Z			688	530	701	1919
Total sessions			Platform Z			308	329	455	1092
Title AA	Publisher X	Platform Z	9-780901-121233	3131-1212	Searches run	322	220	242	784
Title AA	Publisher X	Platform Z	9-780901-121233	3131-1212	Sessions	121	129	211	461
Title BB	Publisher Y	Platform Z	9-780901-535543	n/a	Searches run	366	310	459	1135
Title BB	Publisher Y	Platform Z	9-780901-535543	n/a	Sessions	187	200	244	631

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. To be able to measure the number of sessions, the tests should consist of at least 2 sessions. During the tests, the auditor can either explicitly log-out of a session and log back in to continue the test, or, if no log-out option is available, the auditor should close the browser then open a new browser and continue the test (Note that if the vendor maintains the previous session even when the browser has been closed and re-opened, the auditor will need to wait for the session inactivity time used by the vendor – typically 30 minutes – before continuing the test as a new session.)
 - c. Each time a new session is started, the auditor should record this fact.
 - d. Each time a search is conducted, the auditor will record the search and the title searched.
 - e. As each search is conducted, the auditor will indicate that the title was accessed during the current session. (N.B. a title will only get credit for the session if it has been searched during that session.)
 - f. The audit report should show a breakdown of searches and sessions by title with a Total for each.
 - g. A vendor will pass this audit test when the Totals for searches and sessions on the auditor's report are within a -8% and +2% reliability window of the sum of the sessions and searches for all titles on the vendor's Book Report 5.

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
Service AA	Publisher X	Platform Z	Searches run	6884	5304	7010	19198
Service AA	Publisher X	Platform Z	Sessions	3080	2981	4550	10611

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 6: 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 BR6-1:
 - h. If a vendor offers more than one service, the auditor should run 100 searches on a subset of the titles made available to them. In case there is only 1 service the number of searches should be 50. Individual searches should always be run against only one service at a time. All service

searches are considered valid and, for each search, the auditor will record the service 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 service.*

- i. To be able to measure the number of sessions, the tests should consist of at least 2 sessions. During the tests, the auditor can either explicitly log-out of a session and log back in to continue the test, or, if no log-out option is available, the auditor should close the browser then open a new browser and continue the test (Note that if the vendor maintains the previous session even when the browser has been closed and re-opened, the auditor will need to wait for the session inactivity time used by the vendor – typically 30 minutes – before continuing the test as a new session.)
 - j. Each time a new session is started, the auditor should record this fact.
 - k. Each time a search is conducted, the auditor will record the search and the service searched.
 - l. As each search is conducted, the auditor will indicate that the service was accessed during the current session. (N.B. a service will only get credit for the session if it has been searched during that session.)
 - m. The audit report should show a breakdown of searches and sessions by service with a Total for each.
 - n. A vendor will pass this audit test when the Totals for searches and sessions on the auditor's report are within a -8% and +2% reliability window of the sum of the sessions and searches for all services on the vendor's Book Report 6.
- V. Audit-Test BR6-2: Searches on multiple services (federated search)
- o. It is necessary to separate audit-test BR6-1 and audit-test BR6-2 by using separate accounts to avoid collisions of numbers
 - p. The auditor should run 100 searches in total and make sure that about 50 of searches are run over combinations of 2 services and the other 50 searches are run over a combination of all services as made available by the vendor.
 - q. The auditor should keep a record of the number of searches executed for both options, indicating which services each search was applied against. 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.
 - r. The audit report should show the count of searches by service plus the total service/searches (E.G. if the audit procedure is followed exactly and the auditor has access to 10 services, the total would be 600 -- 50x2 + 50x10).
 - s. The vendor's report will pass this test if the sum of the searches by service matches the total on the audit report within a -8% and +2% reliability window.