

Project Acronym: PIRUS
 Version:1
 Contact: P Shepherd
 Date:1 August 2008



Project Document Cover Sheet

Project Information			
Project Acronym	PIRUS		
Project Title	Developing a global standard to enable the recording, reporting and consolidation of online usage statistics for individual journal articles hosted by Institutional Repositories, publishers and other entities		
Start Date	25/7/08	End Date	19/12/08
Lead Institution	COUNTER Online Metrics		
Project Director			
Project Manager & contact details	Name: Peter Shepherd Institutional Position: Director, COUNTER Online Metrics Address: 39 Drummond Place, Edinburgh EH3 6NR Tel: 0131 557 9703 Fax: 0131 558 8478 Email: pshepherd@projectCounter.org		
Partner Institutions	COUNTER Online Metrics, CrossRef, Oxford University Press, Cranfield University, University of Manchester, University of Oxford, University of Southampton		
Project Web URL			
Programme Name (and number)	JISC ITT: Publisher Metadata & Interoperability Projects 3		
Programme Manager	Alastair Dunning		

Document Name			
Document Title	Project Plan		
Reporting Period			
Author(s) & project role	Peter Shepherd, Project Manager		
Date	1/8/08	Filename	Cover sheet PIRUS Project Plan
URL			
Access	<input type="checkbox"/> Project and JISC internal		<input type="checkbox"/> General dissemination

Document History		
Version	Date	Comments



JISC Project Plan

Publisher Metadata and Interoperability Projects 3:

Developing a global standard to enable the recording, reporting and consolidation of online usage statistics for individual journal articles hosted by Institutional Repositories, publishers and other entities

Overview of Project

1. Background

COUNTER was initiated to improve the reliability of usage statistics available for online publications. It has done so by developing Codes of Practice that set standards for the recording, reporting and delivery of vendor usage statistics. Release 1 of the COUNTER Code of Practice for Journals and Databases was published in January 2003. Release 2, published in March 2005, has been widely adopted by vendors and the resulting usage reports are widely used by librarians. COUNTER's reach was further extended in 2006 with the publication of a Code of Practice covering online books and reference works. COUNTER compliant usage statistics are now available from over 100 vendors for over 15,000 online journals, as well as for a growing number of online books and reference works. Release 3 of the Code of Practice for Journals and Databases is now available in draft form, for comments, on the COUNTER website at http://www.projectcounter.org/code_practice.html. This Release contains a number of refinements, including a requirement for usage reports in XML format and the implementation of the SUSHI protocol. Release 3 will be published in final form during the summer of 2008, for implementation by vendors in 2009.

Until now the most granular level at which COUNTER requires reporting of usage is at the individual journal level. Demand for usage statistics at the individual article level from users has hitherto been low. This, combined with the unwieldiness of usage reports in an Excel environment, in which each article has a separate line, has meant that COUNTER has, until now, given a low priority to usage reports at the individual article level. A number of recent developments have, however, meant that it would now be appropriate to give a higher priority to developing a COUNTER standard for the recording and reporting of usage statistics at the individual article level. Most important among these developments are:

- Growth in the number of journal articles hosted by Institutional and other Repositories, for which no widely accepted standards for usage statistics have been developed
- Specific request from Institutional Repositories (IRs) Workshop Strand Report of the Knowledge Exchange for standards for usage reporting at the individual article level
- Emergence of online usage as an alternative, accepted measure of article and journal value and usage-based metrics being considered as

a tool to be used in the UK Research Excellence Framework (3) and elsewhere.

- Authors and funding agencies are increasingly interested in a reliable, global overview of usage of individual articles
- Implementation by COUNTER of XML-based usage reports makes more granular reporting of usage a practical proposition
- Implementation by COUNTER of the SUSHI protocol facilitates the automated consolidation of usage data from different sources.

COUNTER is in a position to bring together the relevant experts from publishers, Institutional Repositories (IRs), IR systems suppliers, authors and libraries to build on the existing COUNTER standards to develop a workable, widely accepted, new standard to govern the recording, reporting and consolidation of online usage statistics for individual articles hosted at a number of different locations.

2. Aims and Objectives

The aim of this project is to develop COUNTER-compliant usage reports at the individual article level that can be implemented by any entity (publisher, aggregator, IR, etc.,) that hosts online journal articles and will enable the usage of research outputs to be recorded, reported and consolidated at a global level in a standard way.

3. Overall Approach

The project will be divided into three Phases, as follows:

Phase 1 (August-September 2008): Survey/Desk research to assess: current practice in the application of individual article identifiers and other metadata; how different versions of individual articles are identified, etc. This will build on work already done on article identifiers under the PALS 2 programme. P Shepherd and P Needham will collect and analyse this data, which will be reviewed by other team members.

Phase 2 (September-November 2008): Develop draft usage reports and protocols for the recording and reporting of individual article usage, test this with publisher and IR usage data. Assess whether it will be practical to distinguish between articles that are available on an Open Access basis and those that are not, using the article identifier. IR and publisher team members will arrange and monitor tests in their own organizations.

Phase 3 (December 2008): Taking into account the results of the tests, propose a final format for COUNTER-compliant usage reports, together with supporting protocols, and submit this to COUNTER for approval as a new standard, to be adopted and maintained by COUNTER. P Shepherd will write the final report, with input from Paul Needham and this will be reviewed by the other team members.

4. Project Outputs

The outputs from this project will be:

- the development of new COUNTER usage reports and associated protocols and specifications for the recording and reporting of individual article usage statistics by publishers, IRs and other entities that host versions of full-text articles.
- A report for JISC that will describe the problem addressed, the approach taken to solving it, as well as conclusions, results and recommendations for action.
- Knowledge of the key factors that are important for the recording and reporting of usage data at the individual article level
- A basis for future co-operation between IRs and publishers on developing common standards for online publishing

5. Project Outcomes

The main project outcomes will be: the first global standard and protocol to govern the measurement of online usage of individual journal articles; a common standard for measuring usage to which both publishers and IRs can adhere. They will benefit the HE/FE communities in the following ways:

- Measurement of the usage of research outputs is becoming an increasingly important way of assessing their value, not only to researchers and educators, but also to practitioners, funding agencies and to society more generally.
- As a growing proportion of research outputs are available online in IRs, as well as from publishers and elsewhere, it is important that usage of these outputs is recorded and reported in a standardised way
- Currently there is a diversity of practice among publishers regarding the implementation of unique article identifiers. Some publishers give all formats of the same article the same article identifier; others give each format a different article identifier. A standard should be adopted by all publishers. Clearer guidance, with COUNTER's authority, on the application of such a crucial item of metadata would benefit both publishers and JISC.

COUNTER, as an established organization, has the support and processes to ensure that a new standard for reporting usage of individual articles is properly maintained and widely implemented.

6. Stakeholder Analysis

Stakeholder	Interest / stake	Importance
STM publishing community	support essential for project, as they will have to test the new protocols/standards on their articles; will be affected by the outcome, as they would be required to implement the new standards	High
IR managers	support essential for project, as they will have to test the new protocols/standards; will be affected by the outcome, as they would have to implement the new standards	High
Individual researchers	support not essential for the project to proceed, but their growing interest in monitoring the usage and impact of their research outputs means they will be interested in the outcomes	Medium
Research library directors	IRs usually fall within their area of responsibility and they are interested in how this major investment performs; reliable usage statistics will be an important measure of performance	High
HE/FE research funding agencies	Research funding agencies are interested in measuring	Medium

	the value and impact of the research outputs that they fund. Reliable usage statistics at the article level are one such measure. These groups will benefit in the following ways:	
Board of COUNTER	Further improvements in the COUNTER Code of Practice that ensure the compatibility of usage data from publishers and IRs	High

7. Risk Analysis

Risk	Probability (1-5)	Severity (1-5)	Score (PxS)	Action to prevent/manage risk
Staffing	1	3	3	Members of the project team all have the relevant experience and most have worked on other projects before. Each team member is replaceable by a colleague.
Organizational	1	4	4	All the organizations involved are well-established with proven track records of achievement. Even COUNTER is now in its sixth year. No major organizational changes are envisaged before the end of 2008, which is beyond the timescale of this project.
Technical	3	5	15	The technical challenge is the main risk, as this is the first project to attempt to set a global standard for usage statistics at the individual article level. Though we are confident a workable solution can be found, there is no guarantee that it will work for all IRs as well as for publishers. The risk is mitigated by the fact that the members of the project team have the relevant technical knowledge from both the IR and publisher perspective.
External suppliers	1	1	1	There are no external suppliers. All work will be done by members of the project team.
Legal	1	1	1	No legal permissions are required from parties outside the project team. Nor is there any risk of infringing existing legal rights, as no similar standard/protocol exists outside of COUNTER.
Community support	2	5	10	Community support from both publishers and IRs is strong, with both well represented on the project team. There is a risk that the new COUNTER report that will be the most important output of the project will not be adopted by publishers or IRs, but the risk of this is small, as COUNTER has a good record of its standards being adopted by the community.

8. Standards

Name of standard or specification	Version	Notes
COUNTER Code of Practice for Journals and Databases	Release 3	This Release will be the valid version from July 2009 and vendors will have to comply with it from that date. If a new report is successfully developed it would be incorporated into this Code of Practice
DOI (Digital Object Identifier)	4.4.1	The DOI is the most widely used unique article identifier
Dublin Core Metadata Element Set	1.1	A common set of metadata elements relevant to individual articles will be extracted from the Dublin Core set

9. Technical Development

The technical development aspects of the project will be lead by Paul Needham, who has much experience in the successful development of IRs and the measuring the usage in this environment. The development of the new usage report(s) and supporting standards/protocols will take place in the following three phases, with a review by the project team at the end of each phase:

Phase 1: Assess current practice in the application of individual article identifiers and associated metadata. The DOI and the Dublin Core set of metadata will be analysed. Review by Project Team. Develop proposed new usage reports and supporting protocols for testing.

Phase 2: Following approval by Project Team, test proposed new usage reports and supporting protocols with publisher and IR collections of articles

Phase 3: review of any proposed amendments to the filter by the Project Team; further testing of any significant proposed amendments prior to specifying the final usage reports and supporting protocols.

10. Intellectual Property Rights

The IPR for project outputs will be apportioned as follows:

- a. Any modifications to the COUNTER Codes of Practice will rest with COUNTER Online Metrics. The COUNTER Codes of Practice are freely available on the COUNTER website at www.projectCounter.org. The main objectives of COUNTER owning the Codes of Practice are to ensure their integrity and free availability.
- b. The report presented to JISC would be the property of JISC, and made available to the community as JISC determines.
- c. Other publications and presentations would be the property of the individual author or the organization to which he is affiliated.
- d. Some data collected in the course of the project may be intellectual property that an individual publisher, IR or library would wish to keep confidential.
- e. The publishers who are involved most actively in the project are members of COUNTER and have in the past been happy to allow COUNTER to own the filters and other features of the Codes of Practice which these publishers have developed. They have already agreed that COUNTER will own the standards/protocols that will be an outcome of this project.

Project Resources

11. Project Partners

Partner	Team member	Expertise/Tasks
Oxford University Press	Richard Gedye	Online publishing, usage statistics, author knowledge Co-ordinating input from publishers, aggregators and authors
CrossRef	Ed Pentz	Metadata
Mimas, The University of Manchester	Ross MacIntyre	Institutional Repositories, Service provision (UKPubMed Central, Zetoc & Web of Knowledge), co-ordination of input from service providers, link to Mimas
University of Southampton	Tim Brody	Institutional Repository, ePrint technology
University of Oxford	Sally Rumsey	Institutional Repository
Cranfield University	Paul Needham	Institutional Repositories, metadata Co-ordinating input from IRs and IR systems suppliers
COUNTER	Peter Shepherd (Project Manager)	Project management, strategy, online publishing, usage statistics Co-ordinating input from publishers, aggregators and authors

All Project Partners have signed letters of support, which are on record.

12. Project Management

Peter Shepherd will be responsible for the overall management of the project, including budget, monitoring progress against objectives and reporting. All members of the project team listed in the Table below report to him. Their roles are already described in Section 11 above.

Team member	Affiliation	Contact details
Tim Brody	University of Southampton	Phone: 023 8059 3255 E-mail: tdb01r@ecs.soton.ac.uk
Ed Pentz	CrossRef	Phone: 01865 722644 E-mail: Angela.Conyers@uce.ac.uk
Richard Gedye	Oxford University Press	Phone: 01865 353785 E-mail: Pete.Dalton@uce.ac.uk
Sally Rumsey	University of Oxford	Phone : 01865 283860 E-mail : sally.rumsey@ouls.ox.ac.uk
Ross MacIntyre	Mimas, University of Manchester	Phone : 0161 275 7181 E-mail : r.macintyre@man.ac.uk
Paul Needham	Cranfield University	Phone: 01793 511358 E-mail: paul.needham11@btinternet.com
Peter Shepherd (Project Manager)	Project COUNTER	Phone: 131 557 9703 E-mail: pshepherd@projectCounter.org

The project team will meet at least monthly by conference call. The first such meeting is scheduled for Thursday 7 August.

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The project manager will spend 50% of his time working on the project to project management. This will amount to 10 days out of the 20 he has allocated to this project.

The project team members have no training needs for this project. They all already have the skills required for this project and already have much experience working in project teams.

13. Programme Support

The main area where the team may require support for the project manager is in meeting the reporting requirements of JISC as the project progresses.

14. Budget

The budget is the same as agreed in the original proposal. See Appendix A.

Detailed Project Planning

15. Workpackages

See Appendix B

16. Evaluation Plan

Timing	Factor to Evaluate	Questions to Address	Method(s)	Measure of Success
January-June 2009	New COUNTER usage reports and supporting protocols	<ol style="list-style-type: none"> 1. Will the new usage reports be incorporated in the COUNTER Code of Practice? 2. Will the new usage report solve the problem it is intended to address 	<ol style="list-style-type: none"> 1. Discussion and agreement by COUNTER EC. 2. Evaluation by COUNTER EC of the practical implications of implementing the new usage report(s) 	<p>Agreement by Executive Committee to incorporate the new usage reports into the COUNTER Code of Practice.</p> <p>2. A common basis for the reporting of usage statistics at the individual article by publishers and IRs.</p>
December 2008	Report to JISC	Has JISC accepted the proposal?	Feedback to the project team from JISC.	Acceptance of the final report by JISC

17. Quality Plan

Output	Quality criteria	QA Method(s)	Evidence of Compliance	Quality responsibilities
New COUNTER Usage Report(s) and supporting protocols	Clear documentation; New report works in practice	Evaluation by project team and by COUNTER EC; Feedback from users and from test sites.	Reports from individual test sites; Independent audit	Project team; COUNTER EC; test sites; independent auditors
Report to JISC	Addresses issues listed in project proposal; adheres to JISC format	Report reviewed by project team	Report adheres to JISC specifications	Project Team

18. Dissemination Plan

Timing	Dissemination activity	Audience	Purpose	Key message
Aug 08	Announcement on COUNTER website	Librarians, IR managers, publishers, researchers	Inform international community about the project	COUNTER is participating in this project to set a common standard for both IRs and publishers to report individual article usage
Nov 08	Presentation at Charleston Conference	Librarians, publishers	Inform US library, publisher community about the project, which should result in a new international standard	COUNTER is participating in this project to set a common standard for both IRs and publishers to report individual article usage
Dec 08	Presentation at STM Innovations Seminar	Publishers	Inform international publishers about the project	COUNTER is participating in this project to set a common standard for both IRs and publishers to report individual article usage
Jan 09	COUNTER website and press release	Librarians, IR managers and publishers	Describe final results and proposed changes to the COUNTER Code of Practice	Results of project; new usage reports and associated protocols; implementation plans
Aug08- Dec 08	Postings on relevant listservs	Librarians, IR managers and publishers	Increase profile of the project, stimulate interest and debate, provide progress reports	Objectives, progress; results of project; implementation plans

19. Exit and Sustainability Plans

Project Outputs	Action for Take-up and Embedding	Action for Exit
New COUNTER usage report(s) at individual article level	The new usage reports and associated protocols developed in this project will be reviewed by the COUNTER EC with a view to incorporating it into the Code of Practice. If accepted it will be included in the Code of Practice, fully documented and made freely available on the COUNTER website for the long term.	n/a
Report to JISC	n/a	n/a
Knowledge and learning	Members of the project team and the COUNTER EC regularly write articles and give presentations on issues relating to usage statistics. They will include the outcomes of this project in future presentations and articles	n/a

Appendixes

Appendix A. Project Budget

Directly Incurred Staff	July-August 08 (Phase 1)	August – November 08 (Phases 2& 3)	TOTAL £
Peter Shepherd, COUNTER 20 days at £500 per day	£3000	£7000	£10000
Paul Needham, Cranfield University 13 days at £415.44 per day	£1661.76	£3738.96	£5400.72
Richard Gedye, Oxford University Press 8 days at £600 per day	£1200	£4800	£6000
Ed Pentz, CrossRef 2 days at £450 per day	£450	£450	£900
Sally Rumsey, Oxford University 2 days at £400 per day	£450	£450	£900
Ross MacIntyre, University of Manchester	£450	£450	£900
Total Directly Incurred Staff (A)	£7211.76	£16888.96	£24100.72
Non-Staff			
Non-Staff	July-August 08	August – November 08	TOTAL £
Travel and expenses (including meeting room costs)	£500	£1000	£1500
Hardware/software	£	£	£
Dissemination	£	£	£
Evaluation	£	£	£
Telecom	£100	£200	£300
Total Directly Incurred Non-Staff (B)	£600	£1200	£1800
Directly Incurred Total (A+B=C) (C)	£7811.76	£18088.96	£25900.72
Directly Allocated			
Directly Allocated	March – July 08	August – November 08	TOTAL £
Staff	£	£	£
Estates	£	£	£
Other	£	£	£
Directly Allocated Total (D)	£	£	£
Indirect Costs (E)	£	£	£
Total Project Cost (C+D+E)	£7811.76	£18088.96	£25900.72

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Amount Requested from JISC	£3346.32	£10023.52	£13369.84
Institutional Contributions	£4465.44	£8065.44	£12530.88
Percentage Contributions over the life of the project	JISC 52%	Partners 48 %	Total 100%

Appendix B. Workpackages



PIRUS – Workpackages- 1 August 2008

WORKPACKAGES	Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1: Survey and desk research to assess current status		X	X																						
2: Develop draft usage reports and protocols for testing			X																						
3: Set up IR and publisher test sites			X																						
4: Test draft usage reports and protocols				X	X																				
5: Assess results of tests, propose final format for usage reports and protocols					X	X																			
6: Prepare and submit final report for JISC and recommend modifications to the COUNTER Code of Practice					X	X																			

Project start date: 25-7-2008

Project completion date: 19-12-2008

Duration: 5 months

COUNTER filter– Project Plan Workpackages – Version – Date

Workpackage and activity	Earliest start date	Latest completion date	Outputs (clearly indicate deliverables & reports in bold)	Milestone	Responsibility
YEAR 1					
WORKPACKAGE 1:					
<u>Objective:</u> Survey and desk research to assess current status					
1. Survey to provide an overview of current practice by publishers and IRs in the application of article identifiers and other metadata	7/8/08	12/9/08	Report to project team on results of survey	Yes	P Shepherd P Needham
2. Desk research to assess current status of individual article usage reporting by publishers and IRs	1/8/08	12/9/08	Report to project team on results of desk research	Yes	P Shepherd P Needham
WORKPACKAGE 2:					
<u>Objective:</u> Develop draft usage reports and protocols for testing					
3. Review results of Workpackage 1	15/9/08	19/9/08			Project team
4. Propose draft usage reports and protocols	15/9/08	30/9/08	Draft usage report and protocols	Yes	P Shepherd, P Needham
WORKPACKAGE 3:					
<u>Objective:</u> Set up IR and publisher test sites					
5. Set up publisher test sites	1/9/08	30/9/08			R Gedye, P Shepherd
6. Set up IR test sites	1/9/08	30/9/08			P Needham, R MacIntyre, S Rumsey
7. Prepare survey documentation	1/9/08	19/9/08	Survey documentation package		P Shepherd

COUNTER filter– Project Plan Workpackages – Version – Date

Workpackage and activity	Earliest start date	Latest completion date	Outputs (clearly indicate deliverables & reports in bold)	Milestone	Responsibility
WORKPACKAGE 4:					
<u>Objective:</u> test draft usage reports and protocols					
8. Circulate survey documentation to publishers. Follow up and monitor progress by email and phone	1/10/08	14/11/08			R Gedye, P Shepherd
9. Circulate survey documentation to IRs. Follow up and monitor progress by email and phone	1/10/08	14/11/08			P. Needham, P Shepherd
WORKPACKAGE 5:					
<u>Objective:</u> Assess results of tests, propose final format for usage reports and protocols					
10. Project team to review and discuss results	21/11/08	28/11/08			Project team
WORKPACKAGE 6:					
<u>Objective:</u> Final report to JISC and recommended modifications to the COUNTER Code of Practice					
11. Prepare final report to JISC	21/11/08	19/12/08	Final report to JISC	Yes	P Shepherd
12. Prepare proposed modifications to the COUNTER Code of Practice	5/12/08	19/12/08	List of modifications to the COUNTER Code of Practice specifying the new usage report(s) and standards/ protocols for recording and reporting usage at individual article level	Yes	P Shepherd

Members of Project Team: P Shepherd, R. Gedye, E. Pentz, R. MacIntyre, P. Needham, T. Brody, S. Rumsey